

Kentucky Public Library Trustee Manual

Kentucky Department for
Libraries and Archives



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Kentucky Public Library Trustee Manual

Kentucky Department for Libraries and Archives

An agency of the Education and Workforce Development Cabinet

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Dear Public Library Trustee:

Providing public library service in today's information age is very challenging. Leadership by public library trustees is essential if public libraries are to provide high quality service for their communities. Great public libraries require dedicated trustees.

The purpose of this manual is to provide information and resources that will make your work as a trustee more successful and more rewarding. Just as the role of the library in your community is constantly changing to meet the needs of residents, this manual is designed so that changes can be easily made to better meet the needs of trustees. Your suggestions for additions and recommendations for changes will be welcomed.

Your willingness to undertake oversight of your public library is much appreciated. Trustees have the opportunity to impact their community through education for residents of all ages. We hope this manual provides tools to assist in your work. Congratulations on your appointment to your library's board of trustees and best wishes for continued success in your important work.

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Kentucky Public Library

Trustee Manual

Chapter 1
KDLA Welcomes You

KDLA Welcomes You as a New Public Library Trustee!

The Kentucky Department for Libraries and Archives (KDLA) is the state government agency whose mission is to support and promote access to library services and to ensure that documentation of government activities is created, preserved, and made available for public use. The most visible aspect of KDLA for public libraries is the regional consultant.

There are eight regions in KDLA's regional system. Each region is comprised of 15 counties and is served by KDLA Library Development Branch Consultants and staff.

Your regional consultant is a librarian who will be serving your need to know more about the details and varied requirements of your duties and will provide guidance and support as you navigate the complicated arena of contemporary libraries. All of the KDLA team is committed to helping your board, library director, and staff in creating a library that plays a valuable and indispensable role in improving the quality of life in your community.

Ten Things Every New Trustee Needs to Know

NOTE: The statute under which the library district was formed determines which section of the Kentucky Revised Statutes (KRS) applies to the operation of your library. See pages 73-75 for the statute used to create your library.

1. No authority rests in the individual trustee; only in the board taking action as a quorum.
2. A trustee term is four years, unless fulfilling an unexpired term.
[KRS 173.340](#); [173.490](#); [173.730](#)
3. More than three absences from regular monthly board meetings during any 12-month period of a trustee's term results in an automatic resignation.
[KRS 173.340](#); [173.490](#); [173.730](#)
4. A quorum, or majority, of trustees needs to be present to take an action (for most libraries this is 3 of the 5 trustees).
5. Boards must meet once each month at a regularly scheduled time.
[KRS 173.060](#); [173.350](#); [173.500](#); [173.735](#)

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6. Board meetings are open to the public and must be held in a public place. [KRS 61.800-61.850](#)
7. The library board's minutes, budget, annual report, and many other documents are subject to open records requests. [KRS 61.870-61.884](#)
8. Be familiar with the library's long range or strategic plan, policies, and procedures.
9. Review the contents of the board packet sent out in advance of the monthly board meeting and ask questions if you have them.
10. Be an advocate for the library in your community and with local and state officials!

Getting Started

The library director can provide the following information to help familiarize you with your new position as a library trustee:

- A tour and brief history of the library and introduction to key staff;
- General library information including hours of operation, library calendar and brochures, an overview of programs, services, and facilities;
- The date and time of board meetings; length of your appointment; board bylaws and policies; a list of the board members, including their position; term of office; and contact information;
- A copy of the most recent annual report, audit, current budget, and strategic plan;
- The last six months of board packets which include the minutes, financial statements, and other documents that were considered during the meetings;
- A copy of library personnel policies and operation policies.

Where to Find Additional Information

KDLA Website:

<http://kdla.ky.gov>

KDLA Regional Map:

<http://kdla.ky.gov/librarians/plssd/Documents/RegionalMap.pdf>

What to Expect From KDLA's Regional Consultant:

<http://kdla.ky.gov/librarians/Documents/KDLARegionalConsultants.pdf>

and page 71

KY Public Library Trustee Manual:

<http://kdla.ky.gov/librarians/trustees/Documents/Trustee%20Manual.pdf>

Trustee Oath of Office:

<http://kdla.ky.gov/librarians/trustees/Documents/Oathoffice.pdf> and page

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How to Go Into Closed Session:

<http://kdla.ky.gov/librarians/trustees/Documents/ExecutiveSession.pdf> and

page 90

Your Duty under the Law (August 2016): Receipt of this document is required within 60 days of your appointment.

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/YourDutyUndertheLaw.pdf>

Managing Government Records (August 2012): Receipt of this document is required within 60 days of your appointment.

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/ManagingGovernmentRecordsFinal.pdf>

Proof of Receipt: This form is signed and retained on library premises.

A copy may also be provided to the County Judge/Executive.

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/proofofreceipt.pdf>

Kentucky Public Library Standards:

<http://kdla.ky.gov/librarians/plssd/Pages/LibraryStandards.aspx>

Sample Library Policies: A list of recommended policies is on page 65.

<http://kdla.ky.gov/librarians/librarypolicies/Pages/default.aspx>

Auditor of Public Accounts Recommendations for Public and Nonprofit Boards – 3/4/2010:

<http://auditor.ky.gov/cpatools/Pages/32BoardOversightRecommendations.aspx>.

Kentucky Public Library Statistics:

<http://kdla.ky.gov/librarians/plssd/Pages/LibraryStatistics.aspx>

National Public Library Statistics:

<http://collectconnect.baker-taylor.com>

NOTE: Your director can provide the user name and password to access this data.

Stay Updated – E-Resources

Trustee Tip of the Month: Distributed by your regional consultant, the *Tip* will provide helpful information on topics that are important in fulfilling your duties as a Trustee. Previous *Tips* are also available online at:

<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeTips.aspx>.

Trustee List: An e-mail discussion list to ask other Trustees questions and to provide and receive notices on important information.

To join the list, provide your e-mail address to your Regional Librarian who will get you enrolled. You will receive instructions for posting messages to this moderated discussion list.

KPLA Listserv®: An e-mail list for anyone interested in public libraries.

To subscribe to the KPLA Listserv®, send an e-mail message to LISTSERV@LSV.UKY.EDU with the following message: sub KPLA-LIST Your Name (example: sub KPLA-LIST Mary Smith).

Kentucky Public Library News Digest: The Digest is a compilation of links to articles and editorials relating to public libraries in Kentucky and nationwide. It is available online at:

<http://kdla.ky.gov/librarians/plssd/Pages/KentuckyPublicLibraryNewsDigest.aspx>. If you would like to receive the Digest via e-mail, please send your request to nikole.wolfe@ky.gov.

Public Library News & Notes: KDLA E-newsletter:

PLN&N is sent via e-mail to anyone who wishes to receive it. To subscribe, give your e-mail address to your regional consultant or send an e-mail message to the editor, Paige.Sexton@ky.gov. Issues are archived at:

<http://archive.constantcontact.com/fs049/1101886007838/archive/1102159125479.html>

Organizations of Interest

Kentucky Library Association (KLA): <http://www.klaonline.org/index.cfm>

Provides leadership and initiatives for continuing improvement of all types of libraries. Holds a fall conference with a focus on general library issues.

Kentucky Public Library Association (KPLA): <http://kpla.org/>

Provides leadership and initiatives for KY's public libraries. Holds a spring conference with a focus on public library issues.

American Library Association (ALA): <http://www.ala.org/>

The oldest and largest national library association in the world, providing leadership for the development, promotion, and improvement of library services to ensure access to information for all.

United for Libraries: <http://www.ala.org/united/>

The Association of Library Trustees, Advocates, Friends and Foundations provides support for citizens who govern, promote, advocate, and fundraise for all types of libraries.

National Documents of Interest

American Library Association Library Bill of Rights:

<http://www.ala.org/advocacy/intfreedom/librarybill>

ALA Advocacy, Legislation & Issues: Additional information and resources are available on topics and issues of interest at:

<http://www.ala.org/advocacy/>

Trustee Ethics Sample Policy:

<http://www.ala.org/altaff/files/trustees/orgtools/policies/ethics-1.doc>

Job Description for Public Library Trustees

“Government is a trust, And the officers of government are trustees; and both the trust and trustees are created for the benefit of the people.” Henry Clay (1829)

Public Library Boards Have Five Primary Roles:

1. **Hire and evaluate the library director.** One of the most important decisions that a board will make is in hiring a qualified and effective director. This selection will have a major impact on the future success of the library. The board, speaking as one voice, partners with the director by providing direction through the goals set in the library’s strategic plan; by delegating all day-to-day management responsibility, including supervision of all other library staff, to the director; and by monitoring the director’s achievement in providing library services to the community. The board evaluates the director’s performance on a regular basis—usually annually. This is an opportunity to reflect on the previous year’s progress and to plan for the upcoming year. Regular evaluation ensures that the director and board are in agreement on the progress made in providing the excellent library services that every community deserves.
2. **Monitor and evaluate the overall effectiveness of the library.** Boards are entrusted with the responsibility to make sure the library is operating efficiently and effectively. Major areas that the board monitors include the handling of the finances, the director’s accomplishments, and the progress on the strategic plan. Careful examination of the financial reports, vouchers, and the library’s statistics are important tools for monitoring the wise use of resources. In addition, the Annual Report of Public Libraries and the Kentucky Public Library Standards can also be used in measuring the success of library services. The board should also adopt a tool to monitor its own performance on an annual basis.
3. **Plan for the future of the library.** The library board is ultimately responsible for seeing that the library provides the best possible service to its community. A strategic plan prepares for the library’s future. It provides a tool for accountability to the community and makes the job of the board, director, and library staff easier by pulling together all the decisions about

budgeting, personnel, capital improvements, and library services in response to the community's needs. The plan's specific goals and objectives describe how the library will focus its resources and which programs and services the library will provide, giving the board, director, staff, and public a tool for measuring the library's successes.

4. **Set library policies.** The library board spends much of its time on developing policies that reflect the library's philosophy of service. Well-defined and well-written policies guide the trustees and staff in carrying out their duties. Policies ensure conformity to federal, state, and local laws. They allow high quality service and fair treatment of all patrons and staff. Once adopted by the board, library employees carry out the policies on a day-to-day basis. Policies should be reviewed every one to three years to ensure proper oversight and responsiveness to a continually changing environment.
5. **Advocate for the library.** To be a library advocate is to work for the betterment of library services for the community. Advocacy includes working to obtain adequate funding for the library by telling the library's story to taxpayers, donors, and elected officials. As a library advocate, you may pursue opportunities to speak with community groups where you can talk about the library. Some carefully chosen statistics and having some example stories of how people are using and benefiting from the library can make a persuasive impression when speaking to civic groups, legislators, or even your friends and neighbors. Because trustees are citizen volunteers with no direct financial stake in library funding issues, they are in a unique position to be effective in the governmental arena by keeping the library's financial needs in front of elected officials. Boards and trustees can do that by writing, calling, and visiting their elected officials frequently.

Expanded and adapted from: *The Library Trustee: A Practical Guidebook*, edited by Virginia G. Young, American Library Association, Chicago, 1995.

Division of Duties

Responsibilities	Board	Director
Daily Operations	None	Responsible for the daily operation of the library.
Library Personnel	Hire, monitor, and annually evaluate library director.	Hire, monitor and evaluate library staff.
Fiscal Operations	Evaluate and approve a budget that supports library goals. Monitor income and expenditures.	Determine financial needs of library. Expend money accordingly.
Policies	Regularly review and adopt policies.	Recommend new and revised policies.
Strategic Planning	Develop and adopt a Strategic Plan. Monitor annually for progress.	Coordinate planning activities and draft a Strategic Plan.
Advocacy	Participate in organized events to promote support for library funding and issues. Regularly contact community leaders and officials to raise awareness of library impact and needs.	Advise board of library advocacy initiatives and provide statistics and stories for Trustees to use. Participate in organized advocacy events.
Continuing Education	Attend forums or educational activities on library issues to obtain and maintain certification.	Advise board of CE opportunities. Manage library staff certification activities.



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Chapter 2
General Duties of Trustees

Overview

Library boards have been created by law to act as the governing body of the library.

Members of the library board are called library trustees and are public officials with powers delegated to them as a public trust. Duties and responsibilities include fulfilling legal responsibilities established by statute as well as establishing policies governing the day-to-day operation of the library. Although the board and director must work closely together in developing a library program, their obligations and responsibilities are entirely different.

Library Board/Director Relationship

Library boards and directors are all interested in ensuring the success of the library and it is the job of both parties to see that the library is run properly and serves its community effectively. The board sets policy and the director carries out the board's vision on a day-to-day basis using the policies as a guide. It is important for the board to avoid involvement in the daily administration of the library. The chart in the previous chapter showed the roles of the board compared to those of the director. Here are more examples of the differences in the roles of the board and the director.

Responsibilities of the Library Board

- Assumes legal responsibility for the library.
- Provides direction and supervision for the director.
- Monitors the administration of the library for effective use of personnel and materials, quality of programs, and maintenance of buildings and grounds.
- Approves library policies, library budget, and strategic plan.
- Encourages the director to apply for grant funds and approves grant applications when required.
- Explores all possible innovative methods for delivery of library services and programs, including electronic resources.
- Monitors usage of library materials and services.

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- Acts as an advocate for the library.
- Promotes and supports outreach services.
- Familiarizes self with the services provided by KDLA.

Responsibilities of the Director

- Organizes and administers the daily operation of the library.
- Prepares library policies, a budget and coordinates strategic planning for board approval.
- Keeps the board informed about current trends in service and explores ways of implementing new services.
- Supervises the activities of all library personnel including staff training and development.
- Markets outreach services to appropriate clientele in the service area.
- Prepares or approves written grant applications to improve the quality of materials, services, and facilities.
- Provides statistical reports on usage of library materials, services, and facilities.
- Assesses the library based on the Kentucky Public Library Standards.
- Submits required reports to KDLA and other governmental units.
- Uses the services and programs offered by KDLA.

Library Law

A trustee cannot be expected to be well-versed in the specifics of all laws and cases that apply to public libraries in Kentucky, but it is important to take the time to become generally aware of library law to make sure that the library is in compliance. As the laws are complex and legal compliance is so important, the board should have an attorney to provide legal advice to the board when necessary.

The trustee is legally appointed, with powers and duties set out in the [Kentucky Revised Statutes, Chapter 173](#). All authority for operation of the library resides in the board taking action as a quorum in a public meeting. No authority resides in the individual trustee.

Oath of Office

Each trustee must take an oath of office before assuming his/her position on the board and it must be given within 30 days of his/her appointment or reappointment. [KRS 62.010\(1\) and \(2\)](#)

The official oath for trustees may be administered by:

- Any state or federal judge, Kentucky jurisdiction;
- Any member of the Kentucky General Assembly;
- Any county judge/executive, notary public, or clerk of a court, within his/her district or county. [KRS 62.020\(1\) and \(2\)](#)

The Oath of Office is in the appendix or at:

<http://kdl.ky.gov/librarians/trustees/Documents/Oathoffice.pdf>. A signed copy of the Oath of Office needs to be kept at the library and on file at the County Clerk's Office. [KRS 62.020\(2\)\(e\)](#)

Duties of a Trustee

When a person becomes a trustee, he/she must assume these general duties and responsibilities:

- Attend all board meetings, participate in discussions, and support board decisions.
- Advocate for the library in the community and advocate for the community as a member of the library board.
- Secure adequate funds for the library.
- Hire a qualified and competent library director and delegate all management responsibilities to him/her.
- Support the library director, but also demand accountability for a high quality library.
- Plan for the future with a written strategic plan and annual action plans derived from the strategic plan.
- Monitor and evaluate the finances, the director's performance, the library's progress toward its goals, and the board's performance.

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- Adopt policies for the library.
- Comply with federal, state, and local laws and regulations that pertain to public libraries.
- Remember, all authority for operation of the library resides in the board, taking action as a quorum. No authority resides in the individual trustee. Individual trustees do not have power or authority to obligate the library or to speak for the board, unless so authorized on a case-by-case basis.

Liabilities

Trustees are not liable if they are acting within their official capacity, as they are covered by limited sovereign immunity. In Kentucky, limited sovereign immunity means that the entity may not be sued except in instances where the immunity has been waived by the legislature. Limited sovereign immunity does NOT protect the trustee in the following situations and the library, as a local government entity, may also refuse to pay a judgment or settlement in any action against a trustee under certain circumstances. [KRS 65.200](#); [KRS 65.2005](#)

These include:

1. The trustee acted or failed to act because of fraud, malice, or corruption.
2. The action was outside the actual or apparent scope of his/her authority.
3. The trustee willfully failed or refused to assist the defense of the cause of action, including the failure to give notice to the executive authority of the library.
4. The trustee compromised or settled the claim without the approval of the governing body of the library.
5. The trustee obtained private counsel without the consent of the library, in which case, the library may also refuse to pay any legal fees incurred by the trustee.

Errors and omissions insurance protects the library from legal fees and a court judgment ([KRS 65.2005](#)) assuming the board member was acting properly and within his/her official capacity. Under numbers 1 and 2 in the list above, errors and omissions insurance would also refuse to pay (generally speaking), and

may refuse to pay under numbers 3, 4, and 5, depending upon policy terms. Any additional insurance would likely also refuse to pay under some, if not all, of these circumstances. If library trustees act reasonably, and within the realm of their legitimate duties as defined by statute and local policy (local policy should NOT conflict with statute) they should have little to worry about. However, if they move outside that realm (negligence, criminal acts, etc.) they are placing themselves in jeopardy.

The board as a whole may lessen liability by:

- Assuring the library's records are available to the public.
- Reviewing and approving standard budget forms.
- Reviewing financial statements and vouchers monthly.
- Reviewing fiscal controls and assuring an audit is completed as required by law.
- Conducting the library board's business by generally accepted parliamentary procedures.
- Reviewing library and board policy manuals annually.
- Assuring timely filing of all required reports (Annual Report, UFIR, budget, etc.; see list of some deadlines in the appendix).
- Maintaining confidentiality in matters of personnel or other matters protected by law.
- Obtaining appropriate liability insurance.

Individual trustees may lessen liability by:

- Being active: attending meetings, studying, questioning, voting on all issues, monitoring progress, and maintaining active committees.
- Reading the minutes and making corrections.
- Reading the financial statements and understanding them.
- Voting against proposed actions if insufficient information is available to make a decision. Absenteeism and abstentions are probably not enough to protect against liability. If a trustee abstains because of insufficient information, he/she should follow up on the issue and let the record show his/her position.
- Voting no if the rest of the board votes to do an illegal or improper act.

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- Assuring that the minutes of each meeting are maintained and that votes are properly recorded.
- Not condoning conflicts of interest on the board, including those involving money, services, or influence. Such conflicts, or the appearance of such conflicts of interest, should be brought to the attention of the entire board.
- Informing the board of a potential or suspected conflict of interest related to oneself.
- Ensuring the library board and staff have adopted the County Ethics Policy and abide by its guidance.

Terms

Except for the initial establishment or filling unexpired terms, trustees may serve for two consecutive terms (four years each) after which they shall not succeed themselves for at least one year. [KRS 173.340](#); [173.490](#); [173.730](#) A term year is the 12-month period from which the trustee's appointment began; it is not necessarily a fiscal year or a calendar year.

Compensation

Library trustees shall not receive compensation for their services, but shall be reimbursed for their actual expenses necessarily incurred in the performance of their duties. [KRS 173.340](#); [173.510](#); [173.740](#)

Officers and Their Duties

The library board is directed by the Kentucky Revised Statutes to establish and adopt bylaws "for their own guidance." [KRS 173.350\(2\)](#); [173.520\(2\)\(c\)](#); [173.745\(2\)\(c\)](#)

The bylaws adopted by the board should stipulate the board officers, their duties, responsibilities, and authority. The procedure for nomination and election of officers as well as the procedures for filling officer vacancies should also be

included in the bylaws. The bylaws should contain other written rules that define how the board will conduct business and manage its internal affairs.

While most of the specific duties of the board officers are determined by the bylaws and local policy, there are several legal requirements provided for in statute.

According to KRS, officers are to be elected and then serve in that capacity for a term of two years. They may serve consecutive terms, but need to be reelected. The officers identified by KRS to be elected are: president, treasurer, secretary, and other “officers as deemed necessary.” [KRS 173.350\(1\)](#); [173.500](#); [173.735](#)

Although not stated in library statute, OAG 67-458 states that it may be unconstitutional for a trustee to hold two offices simultaneously. Having each of the board offices filled by a different person also provides a clear segregation of duties and a better system of internal controls.

The election of officers is handled according to the bylaws adopted by the board.

President

The president presides, guides, and ensures coverage of all topics during a meeting. The president should strive to facilitate quick coverage of routine business and dispose of minor items as quickly as possible to leave time for discussion of important matters.

The president does not have the authority to act independently for the board. He/she may be authorized by the board, voting in a quorum, to act on their behalf on a specific issue.

Other duties include:

- Prepares, with the director, the agenda for the board meetings;
- Starts meetings promptly at the appointed time;
- Signs approved payment voucher at each meeting, authorizing payment of bills as stated in [KRS 173.360\(2\)](#); [173.540\(1\)](#); [173.755\(1\)](#);

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- Signs official board correspondence;
- Establishes committees as necessary and appoints all committee members;
- Signs all grant applications as required and with approval of board;
- Signs approved contracts with approval of the board;
- May authorize special meetings.

Vice-President

The vice-president serves as the presiding officer in the absence of the president including signing official paperwork. It is not legally required for a board to have a vice-president.

Secretary

The secretary is responsible for recording the proceedings of each meeting (minutes), though the actual task may be delegated.

It is best to distribute the minutes as soon as possible after the meeting so they can be read while the events of the meeting are still fresh in the memory of the participants. The minutes are reviewed at the next meeting, corrected if necessary, and approved (this should be noted in the current meeting's minutes). An example of minutes appears in the appendix.

The approved minutes are the official record of board action. The minutes should be kept in a secure place known to all members of the board and should be readily accessible. Only information recorded in the minutes can be considered official.

At a minimum, meeting minutes should include:

- The nature of the meeting, whether regular or special;
- The time, date, and place of the meeting;
- The names of those in attendance, noting trustees who are absent, the time of late arrival or early departure of trustees in order to show the existence of a quorum whenever any action is taken;
- Approval of the previous meeting's minutes and the current financial report;

- A complete record of official actions taken by the board and the vote of the trustees present;
- The record of all motions exactly as stated;
- The record of adjournment (no business may be legally transacted following adjournment or at any time when less than a quorum is present);

Other duties include:

- Signs the payment vouchers, along with the president, after they have been approved at each regular monthly meeting as [KRS 173.360\(2\)](#); [173.540\(1\)](#); [173.755\(1\)](#); specifies “money shall be paid only upon vouchers approved by the board.”
- Notifies, in writing and by certified or registered mail, any trustee that has missed three regular monthly meetings in any 12-month period of his/her term, and is copied to the president. This will serve as a reminder that absence of a trustee from four regular monthly meetings of the board during any 12-month period of the trustee’s term shall constitute resignation. [KRS 173.340](#); [173.490](#); [173.730](#)
 - The first absence of a trustee from a regular monthly meeting is the beginning of the 12-month period. For example, if a trustee misses a regular monthly meeting in September, they cannot miss more than two additional regular monthly meetings until the following August.
 - All official correspondence of the board should be written on library letterhead and signed by the president or secretary.

Treasurer

In general, the treasurer has custody of all money, securities, and obligations belonging to the district, and shall disburse money only for the uses and purposes of the district and in the manner prescribed by the bylaws on itemized vouchers allowed by the board, signed by the secretary and countersigned by the president.

The treasurer must:

- Keep a full and accurate account of all receipts and payments as directed by the bylaws or as the board prescribes;
- Render statements of library accounts whenever required by the board;

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- Have all accounts and records for the fiscal year balanced and closed. This must be presented to the board within 90 days following the close of that fiscal year;
- Be bonded in an amount determined by the board.

The treasurer is responsible for all fiscal records and controls. The treasurer is the only officer required to be bonded as stated in [KRS 173.360\(2\)](#); [173.540\(5\)](#); [173.755\(5\)](#).

The treasurer is responsible for reporting on the state of the finances at the monthly meetings. Library checks should require two signatures, one of which must be a trustee, preferably the treasurer. Signature cards at all banks should be kept current, with careful attention to removing names once an individual leaves the library board. The treasurer signs checks for disbursements from the library account, upon receipt of a board-approved, itemized voucher. [KRS 173.360\(2\)](#); [173.540\(1\)](#); [173.755\(1\)](#)

It is recommended that the treasurer chair the budget/finance committee. If there is no budget/finance committee, the treasurer should be involved in preparing the annual proposed budget for board consideration.

Advisory Board

An advisory board may be appointed and serve as specified in the bylaws of the board of trustees. [KRS 173.340\(2\)](#); [173.490\(1\)](#); [173.730\(1\)](#)

Board Committees

The board may establish an ad hoc committee as necessary. The complex issues on which the library board will be working cannot always be handled efficiently by the full board. Many of those issues may be handed to board committees for study and recommendation to the full board. Such committees may include members that are selected from outside the board so that additional expertise can be utilized. Involving non-board members also builds ownership for the library's mission, opens a new avenue of communication with the community, and provides recruiting and training for potential trustees.

Whatever the name or type of committee, the only purpose it serves is to expedite the work of the board. Committees are not autonomous groups with loose connections to the board, but are simply extensions of the board and always responsible to the full board.

Committees have no power or authority beyond what is granted to them by the full board. The only action committees can take is to study an issue and make recommendations to the full board about the assigned issues.

Each library will have different needs for committees and those needed will vary over time. The same open meetings laws that govern regular board meetings also apply to committees appointed by the board and require the same posting and record-keeping as specified by law. Some typical committees are: building or construction, personnel, policy, planning, and budget.

Nepotism and Conflict of Interest

No board shall newly employ as a member of its library staff any member of the board or any person related closer than a second cousin to any member of the board. [KRS 173.340](#); [173.510](#); [173.740](#)

No person is eligible to this office who is directly or indirectly interested in the sale to the library of books, magazines, supplies, equipment, materials, insurance, or services for which library funds are expended. [KRS 173.340](#); [173.510](#); [173.740](#)

Determining a conflict of interest through the sale of books, land, or equipment is simple to determine. Trustees gaining financially through services offered can be more subtle or complex, but nevertheless equally critical to avoid. Examples of “services” are legal counsel, insurance, banking, and accounting assistance.

The library board and staff are subject to the ethics policy of the establishing entity, usually the county or city, as required by [KRS 65A.070](#) and may be required by law to have more stringent provisions regarding conflict of interest and/or nepotism than those in the establishing entity’s Code of Ethics. Adopting a code of ethics can help to avoid potentially damaging situations for the library. For

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examples, please see the United for Libraries (Association of Library Trustees, Advocates, Friends and Foundations) website:

<http://www.ala.org/altaff/files/trustees/orgtools/policies/ethics-1.doc> or on the KDLA website at:

<http://kdla.ky.gov/librarians/Documents/Ethics%20Policy.docx>.

Open Records Act

The Kentucky Open Records Act ([KRS 61.870](#) - [KRS 61.884](#)) gives the public access to the library's records. This includes any records, whether electronic or printed, that are prepared, owned, used, possessed, or retained by a public agency, and must be made available upon request. These records include, but are not limited to: financial documents such as annual budgets, audits and monthly expense vouchers, minutes of previous meetings after approval at the next board meeting, and library policies.

Records pertaining to employees are also considered open records, including, but not limited to: name, position, work station, and salary of employees, reprimands regarding job-related misconduct, letters of resignation, and public employee time sheets. Some information pertaining to employees and library patrons are not considered open information, including: race, gender, home addresses, social security numbers, medical records, and marital status; library staff evaluations, applications and resumes from unsuccessful applicants for jobs; and patron registration and circulation records.

Libraries have three days in which to respond to an open records request; however, the library does not have to furnish the records within the three-day time frame. After the response to the request, libraries should take a reasonable amount of time to gather and prepare the records for inspection. Inspection may be delayed if a detailed explanation of the cause for the delay is given and the place, time, and earliest date on which the public record will be available for inspection is stated.

Exempt information must be removed from the record before it is provided to the requestor. In the case of requested information that contains exempt information, the library should copy the original, masking the protected information on the copy.

A library must make suitable facilities available for exercising the right of inspection of public records. Persons may inspect public records during the library's regular operating hours. A community room or other public space in the library is recommended for inspection. Since libraries are responsible for protecting open records from removal or alteration, the inspection should be supervised by a library employee.

Open records and open meetings laws are covered more completely in *Your Duty Under the Law* and *Managing Government Records*. Newly appointed trustees are required to be given copies of these documents within 60 days of appointment and sign a *Proof of Receipt* form that is then filed in the library and with the county judge/executive's office. [KRS 65.055](#)

Your Duty Under the Law:

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/YourDutyUndertheLaw.pdf>

Managing Government Records:

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/ManagingGovernmentRecordsFinal.pdf>

Proof of Receipt:

<http://ag.ky.gov/civil/civil-enviro/orom/Documents/proofofreceipt.pdf>

Hiring a Library Director

Selecting the library director is one of the most important tasks any library board will undertake. The director the board chooses will set the course for the library's current and future place in the community and be a key determinant in public goodwill. This will, in turn, contribute to the funding necessary for the library to grow and prosper.

There are many legal issues to consider during the hiring process. The scope of such an undertaking is too great to cover in a manual designed for general trustee orientation and instruction, but your KDLA regional consultant can provide step-by-step assistance, from advertising the opening through conducting a lawful, nondiscriminatory interview through orientation for newly appointed directors. The board should take the time to enlist whatever assistance is needed in making this most important decision.

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Here are the basic steps:

- Contact the KDLA regional consultant that serves the library for advice and assistance.
- Find out the minimum certification level set by the state for a director at a library with the population level of the county.
- Write or update the job description.
- Determine whether a professional firm will be used to assist with the search.
- Construct the job ad and post it on KDLA's free Kentucky Library Job List as well as other national library job banks. Allow the ad to be active for about 6 weeks.
- Determine the specific competencies needed in the new director. This should be discussed by the entire board and a consensus reached on which are the most important ones. Again, the regional consultant can help the board with this.
- Determine the interview questions. It is of utmost importance that the interview committee asks all candidates the same questions and that the committee does not ask any questions that are legally prohibited.
- Determine the interview process.
- Call a special board meeting to review the resumes once all have been received.
- Schedule the interviews.
- Take a few minutes after each candidate to discuss the committee's reactions and impressions.
- Determine the answers to these questions: What will be the process after interviews are completed? Who will send rejection letters in a timely manner? Who will make the job offer? Ideally this will be the board president or secretary.
- Make a decision and make an offer to the appropriate candidate.

Evaluating the Library Director

Conducting an evaluation of the library director is essential to the success of the library. After all, how is the director to know if he/she is doing their job correctly without any feedback? This is not a time to go through a list of mistakes, but a time to look at the achievements of the library, plan for the future, help a director improve job performance, and ultimately improve the library. It is a way the board can provide support, encouragement, and feedback. The evaluation of the library director must take place in an open meeting.

Successful evaluations are ones that have been carefully planned and each board will need to determine what evaluation instrument to use. Once determined, the form should be shared with the library director so he/she will know the criteria for assessment. The director needs to be evaluated based on his/her job description, progress towards library goals, sound financial practices, and maintaining a good relationship with the board and staff.

Trustees are entrusted by local tax-payers to provide the best, highest quality library service. The board functions best when the administration is functioning at its best. Annual evaluations are one tool to ensure the public is getting the best return on its investment.

Library Policies

One of the duties of a trustee is to adopt library policy. Policies provide the structure for creating decision-making tools that guide the director and staff in the smooth operation of the library. Well-developed policies ensure consistency in dealing with staff and patrons, encourage the best use of library resources, and inform both the public and staff of guidelines which are to be followed in the daily operation of the library.

Library boards approve policies covering many different issues, but the two main categories of policies include library operations and library personnel. Library board bylaws and policies are also required, but are concerned with the internal operations of the library board itself, not the library in general.

Creating Policy

In most cases, the director recommends policies that need to be adopted by the board. The board discusses the issues, makes changes if needed, and approves the policy. If an issue seems complicated or may have legal ramifications, the board should have an attorney or human resources professional review the proposed policy before adopting it. Once adopted, the director informs the staff and patrons of the new policy and, if necessary, develops procedures to implement the policy. If possible, policies should be reviewed every one to three years to make certain they are still applicable and do not need to be revised.

KDLA has developed a collection of example policies that boards and directors are encouraged to review and adapt to their particular library's situation. These examples can be found on the KDLA website at:

<http://kdl.ky.gov/librarians/librarypolicies/Pages/default.aspx>.

The following basic steps provide for careful development and review of library policies:

- Director, with staff (and maybe public) input, develops recommended policies.
- Board discusses, revises (if necessary), and approves policies.
- Director makes sure staff and public are aware of policies.
- Board reviews policies on a regular cycle so all policies are reviewed at least every three years. Perhaps use a rolling calendar to ensure that one or two policies are reviewed per meeting so all of the policies have been reviewed, and revised if necessary in the timeframe desired.

Strategic Planning

A strategic plan is a management tool used to ensure that the director, staff, and board of the library are working toward the same goals. The strategic plan can identify a library's goals for one to five years. Public libraries should revisit and rethink its strategic plan at least every two years. The strategic plan is an excellent tool to use to judge the performance of the library director during his/her yearly evaluation.

Developing a strategic plan is a process that will require the involvement of trustees, library staff, and community leaders to ensure that the library is using its resources to provide excellent services to the community. Some library boards choose to hire a professional consultant to guide the library through the process.

Excellence is different for every community and is a moving target. Keeping the library's strategic plan updated will ensure that the staff and board are using library resources to provide what matters most to the citizens of the community.

With the rapid change in technology and the economy, it is important that the library review the strategic plan frequently to ensure that it is continuing to provide services that are relevant and essential. Once the goals are developed, it is helpful to create an annual action plan with measurable activities in order to accomplish the library's goals and move in the direction envisioned in the strategic plan.

Through strategic planning the library board is able to:

- Re-evaluate the mission statement to ensure it represents the organization's goals and objectives.
- Assess and adjust library direction in response to its changing environment.
- Intentionally set goals and develop an approach to achieving those goals.
- Assess library strengths and weaknesses.
- Improve staff morale through clear communications and team efforts to achieve organizational goals.
- Determine how limited resources can be stretched for the maximum benefit of the library.

Recruiting New Trustees

Another of the most important decisions a library board will make is the choice of who will serve on the library board. A well-rounded board working in partnership with the director is essential to the smooth operation of the library and the future of library facilities and services.

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Since library trustees by statute may serve for only two consecutive terms of four years each [[KRS 173.340\(2\)](#); [173.490\(1\)](#); [173.730\(1\)](#)] and must wait at least one year before being eligible for reappointment, library boards need to have a method for replacing trustees whose terms have expired or for a member who may resign before his/her term expires. For each vacancy on the board, two candidates must be nominated. As either candidate may be chosen for the board, both candidates must possess the qualifications needed for service.

Having a board policy that outlines the method(s) by which new trustees will be chosen is key to the effective recruitment of new trustees. The main goal in this process is to ensure a balanced board of diverse members who can successfully work together to provide the community with the highest-quality library facilities and services. A well- rounded board includes not only people from different areas of the county, but also members of different age-groups, races, genders, and backgrounds with diverse skills and/or community influence.

There are some steps that can be used to help create a well-rounded board:

- Use an evaluation tool to identify gaps in the board’s composition and characteristics to look for in a new trustee.
- Study the strategic plan and the library’s Kentucky Public Library Standards rating to assess what skills and areas of expertise might help in reaching future goals.
- Create a trustee job description or brochure outlining the library’s mission, goals, trustee duties, and desired characteristics for trustees.
- Begin marketing the open trustee position using a variety of outlets.
- Check your board bylaws and policies and follow the recruiting method as outlined in them.

Whatever method is used to find potential trustees, it is helpful to have them submit an application outlining their experience, skills, and reason(s) for wanting to serve on the library board. The board may appoint a committee to review the applications or they may be reviewed by the entire board. An interview may also be part of the recruitment process. This gives the potential trustee an opportunity to learn more about the “job” of the library trustee and also gives the interviewers an opportunity to get to know a little more about them. The interview may

include, but is not limited to: general information about the library; discussion of how the board operates and the time required to fulfill the trustee's duties; the challenges and opportunities that the board faces; an explanation of the trustee recruitment and appointment process. Sample applications and recruitment advertisements are available at:

<http://kdla.ky.gov/librarians/trustees/Pages/default.aspx>

KY statute [[KRS 65.008\(1\)](#)] requires that the library board provide notice to the appointing authority of an expiring term at least 60 days in advance of the term expiration. To assist library boards in observing this legal requirement, the Kentucky Department for Libraries and Archives will be notifying the library director three to four months in advance of an expiring term. This will give the board time to select two candidates. The two selected names need to be received by KDLA approximately 65 days before the term expiration date. To be prepared to send the required names in advance of the expiration, it is suggested that library boards put new trustee appointments on the meeting agenda six months before a term expires.

Building a Good Board

The most essential components of a strong and vital board are the selection of a diverse group of talented people and their thorough training about the library. Trustee training is an ongoing process, and it only works well if the selection has been done well. It is important to look at the entire community for well-connected, dedicated individuals who are willing to volunteer their time to the library. Diversity is important and this doesn't mean simply geographic distribution, gender, ethnicity, age, etc. With only a few members, it is vitally important to have a diversity of skills and community representation.

Approaching prospective trustees should be carefully planned. Since the director is the employee of the board, it should be done by trustees, acting with the full consent of the board, rather than the director. Be honest with the prospective trustees by explaining the time commitment, the responsibilities, and the appointment process. Some libraries advertise board openings in the library, on

the library website or in the local paper and then interview the prospective board members to determine the best fit for the board.

To quantify the areas in which the board needs to become more diverse, please refer to the Library Board Profile Worksheet in the appendix. Trying to have a very diverse board with only five members can be difficult, so look at the big picture and plan to have certain strengths during times when they are needed; for example, having a trustee with building experience during a construction project.

Please keep in mind that the removal of a trustee is a difficult process and care must be taken to choose appropriate trustees. A library trustee may be removed only by vote of the legislative body of the respective governmental unit from which he/she was appointed. [KRS 173.340\(4\)](#); [173.490\(3\)](#); [173.730\(3\)](#)

KDLA Regional Consultants

KDLA regional consultants attend monthly public library board meetings, coordinates library director meetings, youth services staff meetings and regional workshops, and provide professional guidance to trustees, library directors, and library staff. They are the State Library's representatives in the eight regions defined by KDLA.

One of the services of the regional consultants is the *KDLA Monthly Report* which is a combination of timely news items and a *Trustee Tip of the Month* compiled especially for public library trustees. The last 3 months of the Monthly Report are available at: <http://kdla.ky.gov/librarians/plssd/Pages/MonthlyReport.aspx>. The *Trustee Tip of the Month* and many previous tips are available at: <http://kdla.ky.gov/librarians/trustees/Pages/TrusteeTips.aspx>.

A list of regional offices is available at:

<http://kdla.ky.gov/librarians/plssd/Documents/regionalconsultants.pdf>

Map of the regions:

<http://kdla.ky.gov/librarians/plssd/Documents/RegionalMap.pdf>

The duties of the regional consultant are reviewed in: *What to Expect From KDLA's Regional Consultants* available at:

<http://kdla.ky.gov/librarians/Documents/KDLARegionalConsultants.pdf> and on page 71.

Recommended Resources

Trustee trouble: the misadventures of a new library board member. [Cheyenne, Wyo.]: Wyoming State Library, c2008. KDLA Call Number: VC DV 021.82. Available on the web: <http://wyominglibraries.org/trusteetrouble.html>.

Miller, Ellen G. *Library board strategic guide: going to the next level.* Lanham, Md.: Scarecrow Press, 2007. KDLA Call Number: 021.82 Mill

Reed, Sally Gardner. *The complete library trustee handbook.* New York : Neal-Schuman Publishers, c2010. KDLA Call Number: 021.82 Reed

Moore, Mary Y. *The successful library trustee handbook.* Chicago: American Library Association, 2010. KDLA Call Number: 021.82 Moor

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Chapter 3
Effective Board Organization

Library Board Meetings

Library boards are required by law to meet once each month. ([KRS 173.060](#); [173.350\(1\)](#); [173.500](#); [173.735](#)) Board meetings are the heart of a trustees' job because all library business must take place during these meetings. The information to follow will provide many details, but in general, trustees will approve the meeting minutes and financial statements, hear reports on various library issues and updates, and handle any business that requires a decision for action to be taken.

While most regular meetings will not take an extended amount of time to handle the library's business, there will be times when there are issues or projects that require extra time to absorb detailed reports and permit thoughtful discussion. Construction projects; hiring a new director; adopting, reviewing, and updating policies; strategic planning; trustee training; and advocacy events will require more of the trustee's time – and longer meetings. For some projects, such as new construction, there may be many special meetings required to handle the many decisions that require board approval.

The board meeting is where decisions are made that are central to the smooth and successful operation of the library. Being a trustee is an extremely important job and through the decisions made at board meetings, the library will continue to grow and be an essential community asset.

Building the Agenda

When diligently managed, the agenda is the framework for productive meetings. The president is responsible for the tempo of the meeting, but he/she works in tandem with the library director for a smoothly run business meeting. While the president is responsible for the pace of following the agenda, both the president and the library director should collaborate on creating it. Asking the other trustees for agenda items is recommended.

The typical agenda covers three types of business: what is required by law; information sharing; and decision making. The order is flexible, however, consider

putting the required items first (where members are getting acclimated and latecomers are arriving), the business or decision items in the middle (where attention and productivity are highest), and save the reports or information items for last (where attention starts to fade and early leavers are gone).

Required Agenda Items

Minutes

At each monthly library board meeting, the minutes of the previous meeting are approved and so noted in the current meeting's minutes. It is best if the draft minutes are sent out and read as soon as possible after the previous meeting while memories are fresh. When approved, these minutes are subject to the Open Records Act ([KRS 61.870](#) – [61.884](#)) and their accuracy is extremely important. Once approved, they become the legal record of the library's business – whether what they say actually happened or not! Minutes must be available to anyone wishing to see them “within a reasonable time” after approval at the next meeting.

A library board is an agency of record, which must act in its corporate capacity and only speaks authoritatively through its minutes (OAG 81-387). This OAG also states that those minutes are an official record of the board's actions once approved. Board minutes are only required to show motions, votes, and actions. To promote brevity, reports of the director, treasurer, regional consultant, and board committees should not be listed in full. A simple sentence such as, “A report was made by the KDLA regional consultant,” might be all that is needed. As the treasurer's report becomes an official document once it has been approved, specifics from the report do not need to be repeated in the minutes. Listing the trustees in attendance, including when a trustee comes in late and leaves early, should be in the minutes in order to prove the existence of a quorum and a record of who was present for a vote. Listing the director, public officials, KDLA representatives, etc. might also be helpful.

Financial Reports

The next standard action on most library board meeting agendas is the financial report. What is most critical about this report is that all trustees understand it.

Each trustee is responsible for the wise stewardship of the public's money. Kentucky law requires trustees to approve itemized vouchers at each meeting. [KRS 173.360](#); [173.540](#); [173.755](#). The libraries established as a taxing district are required to have these vouchers signed by both the president and secretary after approval by the board.

Financial reports that can be used monthly by the board in order to stay abreast of the library's financial status are as follows:

- Vouchers (General Account and Petty Cash Account)
- Financial Statement for current month (Statement of Assets, Liabilities, Revenues and Debts)
- Budget (Monthly and Annual)

Business Items

A helpful agenda will not only list the items, but give some additional information. Either as part of the agenda or on a separate page of notes attached to the agenda, each item needs to be briefly explained. For example, if the agenda item is library security, the agenda might include information such as what security exists now, why it needs changing (if indeed it does), what options are reasonable to consider, how it would impact the budget, and possibly include price quotes or estimates. Trustees need enough information to make an informed decision.

Reports or Information Items

Reports given to the board are usually information sharing, and differ from library to library. The Director's Report and Regional Consultant's Report are standard, but key staff, committees of the board, and Friends of the Library representative often give reports to the board in many libraries.

Public Attendance at Meetings

Libraries should adopt a policy regarding public input during a board meeting. Care must be taken to follow the rules of the Open Meetings Act as well as to maintain an orderly, efficient meeting.

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Your Duty Under the Law states, “to the extent possible, meeting room conditions should allow for effective public observation of the meetings. No person attending the meeting can be required to identify himself/herself in order to attend a meeting. The agency cannot place conditions on attendance of the public at a meeting other than the conditions required to maintain order. Since the General Assembly has not established procedural rules for the conduct of meetings and citizen participation, each agency must adopt its own rules of procedure, but those rules cannot conflict with the Open Meetings Act.”

Board Packets

Prior to each monthly board meeting, the library director will send each trustee a copy of the agenda, previous meeting minutes, financial reports to be reviewed, copies of correspondence, and any reports or documents that need to be considered at the upcoming meeting.

These board packets may be sent to the trustees either by mail, e-mail, or may be hand-delivered within at least 3-4 days prior to the scheduled meeting. Each trustee should read the materials and be prepared to discuss the issues or make decisions based on the information included in the board packet.

Open Meetings Act

The Open Meetings Act applies to all meetings held by state and local government agencies. All state or local government agencies are covered by the Act, including committees, advisory committees, and ad hoc committees, which are established, created, and controlled by a public agency. Under the Open Meetings Act there are only two kinds of meetings. Regular meetings are governed by the provisions of [KRS 61.820](#) and special meetings are controlled by the provisions of [KRS 61.823](#). All meetings where business of the library is discussed by the board or any committees or subcommittees of the board, shall be open to the public. All meetings must be held at specific times and places which are convenient to the public.

E-mail and Meetings

Library board meetings, just like all other government entities, are bound by the Open Meetings Act as described in [KRS 61.805 – 61.850](#). Strictly informational items may be e-mailed, but discussions by board members about library business cannot be done by e-mail or outside of official board meetings.

All boards of a government entity conduct the public's business every time they discuss any library business. This applies to committees of the board as well as the full board. All e-mails regarding library business are public record and subject to the Open Records Act, found in [KRS 61.870 – 61.884](#).

Special Meetings

There are instances when the board may need to meet at a time other than the regularly scheduled monthly meeting. [KRS 61.823](#)

The president or a majority of the members of the library board may call a special meeting. This can occur for a number of reasons. Some of the most common include: members failing to make a quorum for the regular business meeting, personnel issues, or construction plans. The board must provide written notice of the special meeting consisting of the date, time, and place of the special meeting along with the agenda. Discussion and actions at the meeting must be limited to the items on the agenda.

As soon as possible, written notice must be personally delivered, transmitted by facsimile, or mailed to every member of the agency and each media organization which files a written request to receive notice of special meetings. Notice should be received at least 24 hours before the special meeting.

Written notice of special meetings may be transmitted by e-mail to public agency members and media organizations that have filed a written request with the public agency indicating a preference to receive e-mail notification. The written request must include the e-mail address of the agency member or media organization.

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As soon as possible, written notice must also be posted in a conspicuous place in the building where the special meeting will take place, and in a conspicuous place in the building where the agency has its headquarters. Notice should be posted at least 24 hours before the special meeting.

Specific information regarding legal requirements is found in the publication, *Your Duty Under the Law*, published by the Kentucky Office of the Attorney General. This publication, and the accompanying, *Managing Government Records*, provides information about the Open Records Act, are available on the website of the Office of the Attorney General at: <http://ag.ky.gov/publications/Pages/default.aspx>.

As appointed officials, trustees are required to receive a copy of these documents within 60 days of appointment to the board and are required to sign a proof of receipt which is kept on file at the library and the county judge/executive's office.

Going into Closed Session

Infrequently, it is in the best interest of the library to discuss certain items privately. This is legally allowed by going into closed (also called executive) session after notice is given of the general nature of the business to be discussed, the reason, and the specific exemption allowing the board to go into closed session, and a motion is made and carried to do so. The most common exemptions for a library board are [KRS 61.810\(1\)](#)(b), (c), and (f): (b) deliberations on the future acquisition or sale of real property by a public agency when publicity would be likely to affect the value of the property; (c) discussions of proposed or pending litigation involving a public agency; (f) discussions or hearings that might lead to the appointment, dismissal, or discipline of an individual employee, member, or student. However, general personnel matters may not be discussed in private. According to [KRS 61.815](#), a closed session may be held only after a motion is made and carried in open session, and no final action may be taken in closed session; therefore, no minutes are taken during the closed session. The time that the board moved into closed session and returned to open session should be noted in the meeting minutes.

Once back in open session, the board may take action on the item discussed during closed session.

If no action will be taken, the President will state that no action will be taken and that will also be entered in the minutes. No matters may be discussed in the closed session other than those publicly announced prior to convening the closed session.

Further information is included in the appendix in *How to Go Into Closed Session Quick Reference*.

Bylaws

Bylaws are the rules written and adopted by the library board to provide the structure for how the board will conduct its business. Bylaws are a framework for board operations. They should be direct and factual. Many are based on legal requirements.

The bylaws should include the following:

- General information: name and establishment authority of the organization
- Board information: number of members, appointment procedures, term length, resignation, absences, conflict of interest
- Board officers: offices held, election procedure, duties and responsibilities of each office
- Meetings: meeting frequency, special meeting procedure, meeting notification, order of business, attendance, quorum
- Open Meetings Act
- Finances: fiscal year, bonding of treasurer, audit
- Required reports: distribution method, minutes, financial reports, statistical reports, annual report, standards
- Committees
- Library director: duties and responsibilities
- Parliamentary authority: include which rules of order will be used to govern proceedings and conduct – Robert’s, Sturgis’, or locally adopted rules of order
- Amendments: process used for amending and/or changing the bylaws

Board Policies

Policies are the rules and guidelines by which the board has determined the library will operate. There are three categories of policies that a board needs to consider:

- board policies which guide the board in its governance
- library personnel policies
- library operations policies

Board policies are statements to staff, patrons, and the public of board intent and belief. Written policies are needed for several reasons:

- Trustees need to know what's expected of them
- The board needs guidelines to make consistent decisions
- Having policies in place prevents crisis policy-making
- The board policy manual should address your board's organization, responsibilities delegated to the director, the board meeting, library finances, board officers and their duties, committees of the board, and facilities. Bylaws and policies ensure continuity during leadership transitions such as when a new director or trustee joins the library. Some of these are mandated by federal and state laws, but many are left to the discretion of the local board.

Each library board needs to write its own policy manual tailored to its needs, but assistance is available from your KDLA regional office. Setting aside a time at each monthly board meeting to review a few policies is a very good idea. Each new trustee should receive copies of the bylaws and policies when they are appointed.

How to Make a Motion

1. The board member addresses the board president.
2. The president recognizes the member.
3. The member states the motion by stating, "I move that...."
4. Another member seconds the motion by saying, "I second the motion" so that the motion can be considered by the board members.
5. The president states the motion by stating, "It is moved and seconded that"

6. The president then asks, “Is there any discussion?”
7. The president asks the members whether they want to adopt the motion by saying, “All those in favor say, ‘Aye’.” “All opposed say, ‘No’.”
8. The president announces the result after the board members have voted.
9. The president tells the board members what will happen as a result of the vote.

For example: The library director tells the board members about a new bookmobile program to make e-book readers available to members of the community who find it difficult to get to the library. You think the library foundation and Friends should make a \$1000 donation to the public library to support this special bookmobile project, so you address the board president, are recognized, and suggest your idea by making a motion by saying, “I move that we ask the library foundation and Friends to make a \$1000 donation to the library to support the bookmobile e-book reader project.” Another member states, “I second the motion.” The president then states, “It has been moved and seconded that we ask the library foundation and Friends to make a \$1000 donation to the library to support the bookmobile e-book reader project.” The president then asks “Is there any discussion?” The president asks the members whether they want to adopt the motion by saying, “All those in favor say, ‘Aye’.” “All opposed say, ‘No’.” The president announces the result after the board members have voted. Finally, the president tells the board members what will happen as a result of the vote.

Adapted from: Jennings, C. Alan. *Robert’s Rules for Dummies*. Indiana: Wiley Publishing, 2005.

Recommended Resources

Recommended resources to run effective board meetings are all available through Interlibrary Loan. Items with call numbers are in the State Library Collection.

Frank, Milo O. *How to Run a Successful Meeting in Half the Time*. New York: Simon and Schuster, 1989.

Jennings, C. Alan. *Robert’s Rules for Dummies*. Indiana: Wiley Publishing, 2005.

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Kelsey, Dee and Pam Plumb. *Great meetings! : how to facilitate like a pro*. Portland: Hanson Park Press, 1999.

Mosvick, Roger K., and Robert B. Nelson. *We've got to start meeting like this : a guide to successful meeting management*. Indianapolis : Park Avenue, 1996.

Parker, Glenn, and Robert Hoffman. *Meeting excellence: 33 tools to lead meetings that get results*. San Francisco: Jossey-Bass, 2006. KDLA Call Number: 658.456 Park

Pohl, Alice N. *Committees & boards : how to be an effective participant*. Lincolnwood: NTC Business Books, 1990.

Running meetings: expert solutions to everyday challenges. Boston : Harvard Business School Pub., 2006. KDLA Call Number: 658.456 Runn



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Chapter 4
Fiscal Issues

All funds received by the library from any source become public funds and trustees are charged with ensuring that all funds are budgeted and expended in an effective and transparent manner and in compliance with applicable state and federal laws and regulations. Fiscal issues will include approving a budget, setting the tax rate, engaging a CPA for required audits, and providing financial reports as required by law. A good deal of the trustee's time will be spent in monitoring financial reports and endorsing wise usage of library assets. An overview of some of the fiscal issues that trustees will encounter are provided here.

Auditor of Public Accounts Recommendations for Public and Nonprofit Boards

In 2010, the Auditor of Public Accounts provided 32 recommendations to assist public and nonprofit boards in designing and implementing internal financial controls. These recommendations should assist library boards in providing appropriate financial oversight. The recommendations contain a brief summary of various financial policy areas that board members should consider. After each control area is considered, a policy should be developed to address the specific business model of the organization.

Using this document will enable the library board to demonstrate sound fiscal management and ensure successful completion of an audit. The document is available at the Kentucky State Auditor's website at: <http://auditor.ky.gov/cpatools/Pages/32BoardOversightRecommendations.aspx>.

Audits, Attestation Engagements, and Financial Statements

All Special Purpose Government Entities (SPGEs) must prepare an annual financial statement which is to be prepared by a Certified Public Accountant or the Special Purpose Governmental Entity. The location where the adopted budget, financial statements, and most recent audit or attestation engagement reports may be examined by the public must be published in compliance with [KRS Chapter 424](#). [[KRS 65A.080\(2\)](#)]

The audit or attestation engagement must be performed by a Certified Public Accountant or the Auditor of Public Accounts and conform to generally accepted (GASB) governmental auditing/attestation standards. The audit must be

completed within 12 months of the close of the fiscal year (June 30) and submitted to the Department for Local Government within two weeks of receipt of the completed audit/attestation [[KRS 65A.030](#)]. Those with either an annual operating budget, funds received, or funds expended of \$500,000 or more in a single year must have an annual audit. All SPGEs with annual funds received, budgeted, or expended equal to or greater than \$100,000 but less than \$500,000 must have an audit at least every four years per [KRS 65A.030](#). SPGEs that receive or expend less than \$100,000 must contract for the application of an attestation engagement every four years as determined by the Department for Local Government.

Non-taxing districts should be audited as part of the larger governing body.

Budget Adoption

Kentucky law requires that every Special Purpose Governmental Entity annually prepare a proposed budget for the expenditure of all funds [[KRS 65.065A.080\(1\)](#)], including all those from local, state and federal sources. The budget must be based on a fiscal year from July 1 to June 30 ([KY Constitution §169](#)), unless otherwise authorized by the Kentucky General Assembly. Districts must adopt a balanced budget, with budgeted expenditures not exceeding budgeted revenues, cash and receipts.

The budget must show all funds, in any account and from any source. This includes all carry-over funds, investments, and capital outlay funds (such as construction). In the interest of transparency all funds should be clearly accounted for by being on the budget document.

The library's budget must be filed with the [Department for Local Government](#) (DLG) by June 30 before the beginning of each new fiscal year. No moneys can be expended from any funds or any sources, except in accordance with the budget which has been filed with the DLG which is available for public inspection. No budget of a district is effective until it is submitted to the Department for Local Government.

If your budget changes during the year the library board is required to amend the budget and to report that amendment on the DLG's online form. Basic accounting practices require that an entity has an appropriately designated budget from which to monitor control of its fiscal operations. Since no funds may be expended which are

not incorporated in the budget document even a positive change in funds available would render an amended budget to be appropriate.

Any amendments to the budget may be made up to June 30th of the current fiscal year. If an additional expenditure must be made and there exists adequate funding from a previously approved line item which may be dedicated to another line item, a simple transfer of funds would be sufficient. The determination as to when to amend the budget must also take into consideration the type of budget being utilized. A line item budget certainly has more detail than a fund budget, thus the requirements would be relative.

Note that the fiscal court does not have the authority to amend the budget or vote upon it. [KRS 67.080\(3\)](#) states: “The fiscal court shall not exercise executive authority except as specifically assigned by statute.” The fiscal court is acting beyond its authority if it is voting on or modifying the library budget.

However, if the budget is not filed with the DLG as required, the failure to submit the required information may result in funds being withheld by any “agency, entity, or branch of state government,” and a publication of the non-compliance in the local newspaper. Continued non-compliance may also subject the library to a special audit by the KY Auditor of Public Accounts. [\[KRS 65A.040\]](#) for which the library would pay.

Fundraising

The library board may find that local funding and state support are not sufficient to fund all services and programs of the library. The board can examine other fundraising options. Before starting a major fundraising campaign or establishing an endowment fund or foundation, the library board should consult an attorney to avoid violation of any state or federal laws on soliciting charitable donations.

Many libraries, rather than be directly involved in fundraising events, work with a local Friends of the Library group or library foundation. Such groups, usually with 501(c)(3) status, maintain their own treasury and use their proceeds to fund specific projects at the library.

Grants

KDLA also offers various competitive and/or discretionary grants with funding coming from a variety of sources including the Bill and Melinda Gates Foundation, the federal government (often through LSTA – the Library Services and Technology Act), and the State Legislature. Each grant opportunity is announced in advance of the respective deadline and libraries are encouraged to apply.

While many grants require some percentage of local match, others do not. Subject emphasis may vary from time to time, while others remain stable.

For additional information on grants, check the KDLA website: <http://kdla.ky.gov/librarians/funding/Pages/default.aspx>.

Investment Policy

All funds the library receives, from any source, are considered “public funds” as soon as the library takes possession. The investment of donations, interest, bequests, etc., must all be handled under the same guidelines that cover the investment of tax revenue.

A library taxing district may only invest funds in areas specifically allowed in [KRS 66.480](#). Each library board needs to have adopted a written investment policy as described in [KRS 66.480\(3\)](#).

Library Districts with Taxing Authority

Local District Tax

In Kentucky, most public libraries are established as taxing districts under sections [KRS 173.450](#); [173.710](#); [65.180](#); and [KRS 67.715](#) and receive the majority of their funding from the taxes collected for them by the sheriff. Official forms and information on the rates available to the board are sent each year by KDLA. Once the legal requirements for setting the chosen rate have been met and the form filed with the appropriate office, the tax is authorized for collection. Most taxing districts receive the majority of their anticipated annual tax revenue in one or two

large checks; smaller amounts are collected throughout the year. Funds may be invested in compliance with [KRS 66.480](#) and according to the individual library board's investment policy.

Setting the Tax Rate

Based on information provided by the Property Valuation Administrators in each county, the Kentucky Finance and Administration Cabinet, and the Kentucky Department for Local Government, KDLA sends two proposed tax rates to each library taxing district:

- the Compensating Rate established by statute which “produces an amount of revenue approximately equal to that produced in the preceding year from real property.”
- the 4% Rate which is calculated to provide an additional 4% in revenue above that produced from the Compensating Rate.

While districts by law are furnished with these two rates, library districts have the ability to take other rates if they so choose. KDLA encourages library districts to carefully examine their revenue needs and then select a rate which meets the community's library needs without placing undue burden on taxpayers. To facilitate this, library districts may request alternate rates for consideration. If a district requests alternate rates, up to nine alternatives will be provided by KDLA. For questions about setting tax rates, please contact your regional consultant or Terry Manuel (terry.manuel@ky.gov) at KDLA.

The adopted tax rate must be set within 45 days of the Kentucky Revenue Cabinet's certification and by September 15th at the latest.

Once the library has adopted the tax rate, the legal requirements include:

- The *Property Tax Rate Certification* form sent to the library by KDLA will be completed and filed with KDLA on the KDLA-supplied form. A copy will also be kept on file at the library.
- Written notification of the tax rate that was set must be presented to the fiscal court at least 30 days before the tax rate becomes effective; and,
- A testimony regarding the tax rate must be presented at a regular fiscal court meeting at least 10 days before the tax rate becomes effective.

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- If a rate is set that exceeds the Compensating Rate, additional requirements include a public hearing held immediately before a fiscal court meeting in the same building where the fiscal court meets.
 - This public meeting must be advertised in the newspaper for 2 consecutive weeks.
 - All citizens who wish to be heard will be allowed time for an oral testimony. The Special Purpose Governmental Entity may set reasonable time limits on these testimonies [
- The fiscal court cannot vote to alter or veto the tax rate adopted; these reporting requirements are only to provide transparency.

Non-taxing District Libraries

Barren, Crittenden, Elliott, Fayette, Hardin, and Knott County Public Libraries are established as a unit of local government; and Ballard and Carlisle, Carter, Christian, Hickman, Hopkins, Jefferson, and Livingston County Public Libraries are established under inter-local agreements and receive the majority of their funding from that government's general appropriation.

Model Procurement Code

Public libraries, as governmental entities, are required to bid any expense over \$20,000, excluding professional services, or to purchase from vendors on the "State Price Contract" list. The Model Procurement Code is an option open to libraries, but it is not mandatory. It must be adopted by the board as its official method of purchase, and until officially rescinded, remains the procedure which the board must continue to use for its purchasing methods. It is found in [KRS 45A.345 – 45A.460](#) which spells out in great detail how a government agency may and may not spend funds. The Code also covers selling surplus property under [KRS 45A.425](#).

Adopting the Code allows flexibility in making purchasing decisions; consolidates buying power of state and local governments; increases public confidence; provides alternative methods of source selection; minimizes political influences; provides direction and policy; gives the library director full and final authority to make

procurement decisions; allows for an audit trail of purchases; and keeps all procurement matters documented at a centralized location.

Spending Public Funds

Governmental appropriations must be for a “public purpose.” Generally, a public purpose has for its objective the promotion of the public health, safety, morals, general welfare, security, prosperity, and contentment of all, or at least a substantial part of, the inhabitants or residents. Otherwise stated, the test of a public purpose should be whether the expenditure confers a direct benefit of reasonably general character to a significant part of the public, as distinguished from a remote or theoretical benefit.

The use of public funds for the purpose of making a gift or bonus is addressed in the Constitution of the Commonwealth. If the library district were to award a bonus to an employee, the library board would need to be prepared to defend the “gift” or “award” as an expenditure for a “public purpose.” This has been accomplished within the case of teacher bonuses because of legislative intent – the legislature clearly intended for the funds to be expended in this manner (OAG 00-2). No such legislative intent exists for utilizing library funds for this purpose.

State Aid

Since 1952, the Commonwealth of Kentucky has provided a state aid grant to Kentucky public libraries. Although the funding formula [[KRS 171.201\(6\)\(a\)](#)] has changed significantly over the years, public libraries continue to receive state aid funding as appropriated by the Kentucky General Assembly and distributed by the Kentucky Department for Libraries and Archives. The formula is calculated on a base grant plus a per capita amount based on the latest official census data.

Each library’s Annual Report of Public Libraries – Application for State Support is also its application for the next funding cycle of state aid. The deadline for filing this application is in August of each year as per [KRS 173.370](#); [KRS 173.570](#); [KRS 173.770](#). These funds may be used for local library needs and services.



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Chapter 5
Special Topics

Kentucky Public Library Trustee Certification Program

The Kentucky Public Library Trustee Certification Program has been created to provide trustees with the tools that will enable them to fulfill their legal responsibilities to the library and their community. When a community member becomes a public library trustee, he/she must assume these general duties and responsibilities:

- Attend all board meetings, participate in discussions, and support board decisions.
- Advocate for the library in the community and advocate for the community as a member of the library board.
- Secure adequate funds for the library.
- Hire a qualified and competent library director and delegate all management responsibilities to him/her.
- Support the library director, but also demand accountability for a high quality library.
- Plan for the future with a written strategic plan not to exceed three years' coverage and annual plans derived from the strategic plan.
- Monitor and evaluate:
 - the finances;
 - the director's performance;
 - the library's progress toward its goals; and
 - the board's performance.
- Establish policies for the library.
- Comply with federal, state, and local laws and regulations that pertain to public libraries.

The goals of the certification program are:

- to enable trustees to employ and supervise a qualified library director and evaluate their performance;
- to teach trustees the skills necessary for enabling the library board to function effectively;
- to teach trustees about library finances and how to advocate for the library's needs;

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- to enable trustees to assess and adopt policies that will result in the effective operation of the library; and
- to teach trustees about the process of strategic planning and assessing their community's future needs.

Participation in the program is voluntary. There are two ways to get started in the program:

1. Public library trustees whose appointment begins on or after July 1, 2011:
 - Participate in an orientation program conducted by the library director and regional consultant.
 - Apply for temporary certification once the orientation program is completed.
2. Public library trustees whose appointment began before July 1, 2011:
 - Apply for temporary certification.
 - Temporary certification will be valid for two years.

Once temporary certification is achieved, public library trustees may begin work toward the Kentucky Public Library Trustee Certificate.

Trustees will need to complete a prescribed training program that will consist of one contact hour of continuing education credit in each of the five Public Library Trustee Core Skills.

One contact hour is equal to 50-75 minutes of training.

Public Library Trustee Core Skills

Within each of the five core skills, there are specific topics that can be pursued. Other topics will be accepted if they fall within one of the five areas.

- Trustee Core Skill One: the board and the director's position
- Trustee Core Skill Two: effective board organization
- Trustee Core Skill Three: budget and finance
- Trustee Core Skill Four: creating effective library policies
- Trustee Core Skill Five: planning and advocacy

After the training is completed, the Kentucky Department for Libraries and Archives will issue a Kentucky Public Library Trustee Certificate. This initial certificate will be valid for four years.

Public library trustees may renew their certification.

The certificate may be renewed upon completion of eight additional contact hours of continuing education credit in any of the Public Library Trustee Core Skills.

- The renewal certificate is valid for an additional four years.
- Training accepted for recertification includes, but is not limited to:
 - Face-to-face educational sessions provided at local library board meetings by an approved speaker;
 - Regional workshops provided by the regional consultants or other libraries;
 - A statewide library conference or pre-conference;
 - A national library conference or pre-conference;
 - Online workshops or webinars produced for libraries; or
 - Video recordings produced for libraries.

Procedure for Certification

To participate in the Kentucky Public Library Trustee Certification Program:

Mail a completed Certification Application form for temporary certification or certification renewal, and include a \$20.00 check with the form, made payable to “Kentucky State Treasurer.”

Submit Learning Activity Report forms immediately following all training activities. Trustees will be notified when certification is close to expiring.

Mail Applications and Learning Activity Reports* to:

Continuing Education Consultant
Trustee Certification
Kentucky Department for Libraries and Archives
P. O. Box 537
300 Coffee Tree Road
Frankfort, KY 40602-0537

*Learning Activity Reports may be sent by e-mail to KDLA.Certification@ky.gov.

For more information:

<http://kdl.ky.gov/librarians/trustees/Pages/TrusteeCertification.aspx>.

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The Kentucky Public Library Association, Kentucky Library Association, Public Library Association, and the American Library Association conferences are excellent opportunities to learn more about libraries and well worth your time to attend even if you aren't working on trustee certification.

Check with your library director for local procedures regarding trustee certification and training.

Public Library Staff Certification

The Kentucky State Board for the Certification of Librarians, created by the Kentucky General Assembly in 1938, is required by law to issue certificates to qualified library staff. State law requires that public libraries in Kentucky be administered and staffed by appropriately certified personnel. The Certification Board believes that library staff must increase their skills and knowledge through continuing education in order to keep abreast of developments in the information age. This, in turn, upgrades the library profession, enriches the individual librarian, and promotes high quality library service. Thus, the goals of this certification program are:

- to improve library service throughout the state;
- to motivate public librarians to acquire, maintain, and develop their skills through basic and continuing education;
- to recognize public librarians who, on a continuing basis, update their knowledge and skills in order to provide better library service to their patrons;
- to improve the public image of librarians and libraries;
- to provide guidelines for public library boards and supervisors to use in selecting and retaining personnel; and,
- to aid in structuring library educational programs to better meet the educational needs of librarians.

Who Needs to be Certified?

- library directors (full-time or part-time)
- assistant directors (full-time or part-time)
- bookmobile librarians (full-time or part-time)
- branch heads (full-time or part-time)
- department heads (full-time or part-time)
- all other full-time employees who provide library information service (note: full-time means working more than 100 hours per month).

For more information, please consult the Certification Manual at: <http://kdla.ky.gov/librarians/staffdevelopment/Documents/manual.pdf>.

Kentucky Public Library Standards

According to the introduction of the second edition of Kentucky Public Library Standards, the development of the Standards was guided by the belief that Kentucky's public libraries play a critical role in providing free access to knowledge, information and diversity of ideas, and that all Kentucky residents need and deserve at least a basic level of library service.

The Standards provide not only a measure of basic quality for public library service, but also a guide to excellence in library service. Stressing ongoing planning and evaluation, the Standards provide baseline data and establish a strong foundation from which to develop local goals to address local needs. They are an essential assessment tool to use in evaluating the library's effectiveness and a guide to assist in planning for improved services. The utilization of the Standards can maximize the library's role in the community by focusing resources. The ultimate outcome is heightened visibility and support for the library.

For more information on the Standards, contact your KDLA regional consultant. A copy of the current edition of the Kentucky Public Library Standards is available online at: <http://kdla.ky.gov/librarians/plssd/Pages/LibraryStandards.aspx>.

Library Construction

The construction or remodeling of the library building is one of the most exciting and ambitious projects that a library can undertake. Careful planning is essential to a successful building program.

The library's initial step is the formation of a building team which can draw in a variety of individuals when their expertise is needed. The basic building team usually consists of the library director and key staff, selected board members, appropriate government officials, the architect, and later, the building contractor. If the library has been awarded a KDLA construction debt retirement grant, both the local regional consultant and the KDLA construction consultant must be included on the team. Even if the library is working without any KDLA funds involved in the project, a library is encouraged to ask for advice from KDLA's experienced staff.

The library's building team prepares a carefully written building plan that will become the architect's guidebook for creating the uses and functions that are desired by the individual library. This building plan is a description of the library's:

- mission, goals, and objectives,
- service area and population,
- service statistics,
- existing and projected services and collections,
- projected need for space, equipment, and furnishings,
- function and area relationships,
- technical requirements, and
- other local needs or requirements.

Hiring the right architectural firm is the most critical step in a successful building program. While experience with library design is very important, rapport and the ability to communicate between the architect and the library's building team are also highly desirable. The architect should be free to create an individual design, but should also receive a great deal of input from the building team regarding the library's specific needs.

Financing a new or expanded facility is always a major concern. Some options for funding include securing a loan, issuing a bond, or community fundraising. Many

libraries will face the need to increase the district tax in order to retire the debt. Setting aside part of the library's operational fund each year as a "capital improvement" or "building fund" line item may be a prudent step to take early in the planning-to-plan stage. KDLA offers construction debt retirement grants, covering a period up to 20 years, as funds are available.

It is not possible to over-prepare for a building project. Building projects can be frustrating and time-consuming, but they allow the library staff and board to take on the exciting challenge of planning for the community's future library service. The rewards, like the challenges, are great.

Intellectual Freedom

Public libraries serve an important role in democracy by providing materials that reflect all viewpoints. Intellectual freedom is a major concern of libraries. Individuals or groups may attempt to censor library materials that they feel are objectionable. The library board has the responsibility of championing the cause of intellectual freedom, including fighting all censorship efforts. This can be a difficult and uncomfortable responsibility, but it is necessary for the proper functioning of libraries.

The selection of library materials is an essential process, which is strongly related to intellectual freedom. The board must adopt a materials selection policy for the library, which reflects the library's mission and goals. It should also clearly support the right of all members of the community to have access to a wide range of materials, including items which some people might find to be objectionable.

In some cases, persons objecting to library materials may attempt to persuade the library to remove those items. To address these attempts, the library board should adopt a policy and procedure for hearing complaints. KDLA, through its regional office, can provide direction for both the policy writing and the development of a complaint form. Some protests about library materials result in persons appearing at regular board meetings to present their points of view. The Kentucky Open Meetings Act requires boards to give any members of the public the right to attend the board meetings. This is not an unlimited right, however, and a board may adopt reasonable rules to limit the length of presentations.

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Handling a censorship attempt can be challenging and the board must be prepared. Trustees should have a good knowledge of the laws regarding intellectual freedom. They should also know about the *Library Bill of Rights* and the *ALA Freedom to Read Statement* which are available at: <http://www.ala.org/>. Board members should be emotionally prepared to withstand the potential heat generated by questions from censors. They should know how to defuse unnecessary conflicts and how to deal with conflicts which cannot be avoided. They need to possess the courage to defend the right to read, even when many angry citizens despise the values reflected by the material under attack – even when they themselves despise those values.

Censorship attempts are on the rise in libraries, and Kentucky is no exception. There have been attempts by individuals and organizations to have library materials removed. Boards must be prepared to assume “trustee” responsibility, including the duty to protect and advance intellectual freedom for ALL of the community’s citizens, irrespective of the popularity of any point of view.

Advocacy

Advocacy is a year-round activity at all levels of library service. The library staff who check in and check out the books every day are advocating for their library every time they smile at a patron. The librarian leading a story time is advocating the power of the library to a whole new generation of users. The director hammering through a budget process is making the whole operation run within the funds provided by the community. You, the trustee, have your role as well. Not being a part of the “paid staff” doesn’t keep you from approaching your legislators when you see them in the community. You can mention the library to the people you run into every day. You are a part of your library board because you believe that your local library is important. You know the benefits that public libraries bring to communities across the Commonwealth – economically, educationally, culturally, and socially. Be an advocate for your library and tell others about what the library can do for them.

The KPLA Advocacy Committee works to bring information to public library trustees and personnel regarding legislation or other initiatives that impact the provision of library services. It also works on various initiatives to tell the library story which include award-winning public service announcements that are available on the KPLA website. Annually, the Advocacy Committee plans and manages a

Library Advocacy Day during the legislative session and asks that library trustees, employees, friends, and supporters attend to impress the legislators of the importance of public libraries in all of Kentucky's communities. As a trustee, this is something that you can attend to advocate for your library and to let your legislators know what the library is doing and accomplishing for the citizens in their communities.

Friends

On February 1, 2009, Friends of Libraries U.S.A. (FOLUSA) and the Association for Library Trustees and Advocates (ALTA) joined forces to become an expanded division of ALA known as ALTAFF, the Association of Library Trustees, Advocates, Friends and Foundations, now United for Libraries. Through this partnership, United for Libraries brings together library supporters to speak out on behalf of library services and free public access to information.

Friends of Kentucky Libraries

Friends of Kentucky Libraries is a nonprofit organization made up of individuals and local Friends chapters that support and celebrate Kentucky's libraries. Membership in Friends of Kentucky Libraries is available to any persons, groups, businesses, libraries, trustees, and staff who want to support Kentucky libraries.

Why be a member? Because it provides:

- A network of library supporters from across the state sharing ideas and news;
- Assistance in both creating and revitalizing a local Friends of the Library Chapter;
- A unified voice to advocate for your library and all Kentucky libraries.

For more information about Friends of Kentucky Libraries contact: contact@friendskylibraries.org or visit on the web at:

<http://friendskylibraries.org/index.html>.

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Chapter 6
Acronyms and Definitions

ALA: American Library Association

The oldest and largest national library association in the world. Its concern spans all types of libraries: state, public, school and academic libraries, special libraries serving government, commerce and industry, the arts, the armed services, hospitals, prisons, and other institutions. More information may be found at: <http://www.ala.org/>.

ALTAFF: Association of Library Trustees, Advocates, Friends and Foundations

See: United for Libraries. The name of this organization officially changed on September 4, 2012.

Annual Report of Public Libraries

The report of library statistics and finances required to be submitted to KDLA and the appropriate local government officials each year in August. The Authorization Page which accompanies the Report is also the library's application for continued State Aid.

Certification

Trustee – The Kentucky Public Library Trustee Certification Program provides trustees with the tools that will enable them to fulfill their legal responsibilities to the library and their community. For more information: <http://kdla.ky.gov/librarians/trustees/Pages/TrusteeCertification.aspx>.

Staff – The Public Library Staff Certification is a method of assuring qualified staff in public libraries. No library coming under the provisions of [KRS 171.230](#) – [171.300](#) shall have in its employ, in the position of librarian, or in any other full-time professional library position, a person who does not hold a certificate of librarianship issued by the Kentucky State Board for the Certification of Librarians. A Certification Manual is available at: <http://kdla.ky.gov/librarians/staffdevelopment/Pages/certification.aspx>.

Continuing Education

Continued training is necessary for library staff and trustees to increase their skills and knowledge and keep abreast of developments in the information age. This, in turn, upgrades the library profession, enriches the individual librarian, and promotes quality library service. More information on trustee certification is available at:

<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeCertification.aspx>.

More information on staff certification is found at:

<http://kdla.ky.gov/librarians/staffdevelopment/Pages/certification.aspx>.

Financial Statement Publication Requirement

The location of the library's financial records (including budget, financial statements and summary, and/or audit) shall be published in the newspaper by September 1st as required by KRS 65A.080 and according to the provisions of KRS Chapter 424.

Special Purpose Government Entity Registration

All Special Purpose Government Entities are required per KRS 65A.020 to submit to the Department for Local Government on the online form provided by July 15:

- the names, addresses, and terms of the members of its governing body;
- the library's fiscal year;
- the establishing statute; the mailing address, telephone number, and web address of the SPGE;
- the primary contact for the DLG (this will usually be the library director)
- the Code of Ethics that applies to the SPGE, usually the County Ethics Code, and whether the library has adopted additional ethics provisions;
- any state, federal, or local entities that have oversight of the SPGE;
- financial information including:
 - the most recently adopted budget,
 - a comparison of budget to actual revenues and expenditures,
 - a completed audit or attestation engagement, and;
- any other reports or information required by the DLG.

E-Rate

The federal Schools and Libraries Program of the Universal Service Fund, or “E-Rate,” makes discounts available to eligible schools and libraries for Internet access and network equipment (internal connections). Telephone service has been funded in the past, but support will end for most libraries in 2018. The program is intended to ensure that schools and libraries have access to affordable information services. More information is available at: <http://www.universalservice.org/sl/> or on KDLA’s website: <http://kdla.ky.gov/librarians/programs/Pages/E-Rate.aspx>

FKL: Friends of Kentucky Libraries

A nonprofit organization made up of individuals and local Friends chapters that support and celebrate Kentucky’s libraries. For more information, visit their website: <http://friendskylibraries.org/> or e-mail them at: contact@friendskylibraries.org.

Friends of Libraries

Local Friends chapters exist nationwide to assist libraries in fulfilling their mandates by fundraising, promotion, and support. Information about creating a library Friends group and 501(c)(3) nonprofit can be found at: <http://www.ala.org/united/friends> or contact Friends of Kentucky Libraries at: <http://friendskylibraries.org/index.html>.

ILL: Interlibrary Loan

A service that allows libraries to borrow materials from other libraries for the use of their patrons.

ILS: Integrated Library Systems

Software that allows the library to use a single database to perform all functions for managing that library’s records, such as acquisitions, cataloging, circulation, and serials management, and to provide online access to library records.

KAR: Kentucky Administrative Regulations

Regulations created by the Executive Branch of the Commonwealth of Kentucky. Available at: <http://www.lrc.ky.gov/KAR/frntpage.htm>.

KDLA: Kentucky Department for Libraries and Archives

A state government agency whose mission is to support and promote access to library services and to ensure that documentation of government activities is created, preserved, and made available for public use. For more information go to: <http://www.kdla.ky.gov>.

KLA: Kentucky Library Association

A membership organization of persons interested in promoting and improving all types of library service in Kentucky. For more information go to: <http://www.klaonline.org/index.cfm>.

KLTRT: Kentucky Library Trustee Round Table

A part of the Kentucky Library Association and the Kentucky Public Library Association dedicated to trustees and their issues. The commitment of the KLTRT is to provide the opportunity for education and continued training to help the trustee better understand his/her responsibilities, to promote public library services, provide information for trustees, and advance the cause of public libraries in the legislature. KLTRT provides scholarship opportunities to trustees in Kentucky for the KPLA/KLTRT Conference each spring. Learn more about this important trustee organization at: <http://www.klaonline.org/rtt676.cfm>.

KPLA: Kentucky Public Library Association

A section of the Kentucky Library Association that addresses the issues and needs of public librarians and trustees. KPLA provides for professional growth through service to the library community and opportunities to share new skills and knowledge in publications and presentations. The Association also produces practical tools to facilitate improvement of public library services and resources,

such as the Kentucky Public Library Standards. The KPLA/KLTRT Conference is held each spring and is a great place to get Staff and Trustee Certification training. For more information on KPLA visit:

<http://kpla.org/>.

KRS: Kentucky Revised Statutes

The laws of the Commonwealth of Kentucky. Available at:

<http://www.lrc.ky.gov/statutes/>.

KTBL: Kentucky Talking Book Library

The Kentucky Talking Book Library offers service to Kentuckians who are vision impaired or physically unable to hold a book. Services include digital talking books, Braille, and downloadable books. Any resident of Kentucky who has difficulty reading standard print material or who is unable to hold a book and turn the pages is eligible for this service. More information is available at:

<http://kdla.ky.gov/librarians/talkingbook/Pages/default.aspx>.

KYVL: Kentucky Virtual Library

Open seven days a week, 24 hours a day, the Kentucky Virtual Library (KYVL) is dedicated to supplying all Kentuckians with a comprehensive and dynamic collection of information resources. Libraries pay a fee towards this service which helps maintain access to databases, interlibrary loan, and a statewide courier service. <http://www.kyvl.org>.

LSTA: Library Services and Technology Act

The overall purposes of the Library Services and Technology Act are to promote improvement in library services in all types of libraries in order to better serve the people of the United States, facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry, and encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public. These funds are

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appropriated by the U.S. Congress to complement state library funding. For more information on funding:

<http://kdla.ky.gov/librarians/funding/Pages/FederalGrants.aspx>.

MLS/MLIS/MSLS/MSLIS

A graduate degree for professional librarians.

NLW: National Library Week

A national observance sponsored by ALA and libraries across the country each April to celebrate the contributions of libraries and librarians and to promote library use and support.

<http://www.ala.org/conferencesevents/celebrationweeks/natlibraryweek>

OAG: Opinions of the Attorney General

Legal opinions provided on issues of public interest. For more information visit:

<http://ag.ky.gov/civil/civil-enviro/opinions/Pages/default.aspx>.

OCLC: Online Computer Library Center

OCLC is a worldwide library cooperative, owned, governed, and sustained by members since 1967. It provides a global database of the materials available at member libraries that is used to locate materials for interlibrary loan.

<http://www.oclc.org/en-US/home.html>

OMD: Open Meetings Decision

The Office of the Attorney General issues legally binding decisions in disputes regarding the open meetings laws.

<http://ag.ky.gov/civil/civil-enviro/orom/Pages/default.aspx>

OPAC: Online Public Access Catalog

The electronic version of the card catalog.

ORD: Open Records Decision

The Office of the Attorney General issues legally binding decisions in disputes regarding the Open Records Act.

<http://ag.ky.gov/civil/civil-enviro/orom/Pages/default.aspx>

Public Library

Under Kentucky Revised Statutes, a public library is defined as a free public library supported in whole or in part with money derived from taxation, and governed by a board. The Public Libraries Survey (IMLS) definition states that a public library is an entity that is established under state enabling laws to serve a community, district, or region and that provides at least the following: an organized collection of printed or other library materials or a combination thereof; paid staff; an established schedule in which services of the staff are available to the public; the facilities necessary to support the collection, staff, and schedule; and is supported in the whole or in part with public funds.

Quorum

Minimum number of members required to conduct business. When a library board has five members a quorum is three members.

Standards

The Kentucky Public Library Standards include criteria developed by KPLA suggesting certain minimums deemed essential for proper operation of libraries.

<http://kdla.ky.gov/librarians/plssd/Pages/LibraryStandards.aspx>

State Aid

Annual payments to the public library from the Commonwealth. This aid has been provided to fulfill the intent of the Kentucky General Assembly to establish a method of providing direct state aid to local public libraries in order to assure their continued existence and to enhance their services for the benefit of the citizens of

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the Commonwealth ([KRS 171.2001](#)). This is in the form of cash grants, as appropriated by the legislature.

Strategic Planning

Strategic planning is a disciplined effort to produce fundamental decisions and actions that shape and guide what a library is, what it does, and why it does it, with a focus on the future.

SRP: Summer Reading Program

Kentucky is a member of the Collaborative Summer Library Program (CSLP) which provides an annual summer reading program theme, manuals, and promotional materials. Materials are designed for each library to personalize in providing programming and reading incentives to children during the summer break.

<http://kdla.ky.gov/librarians/programs/summerreading/Pages/default.aspx>

United for Libraries: Association of Library Trustees, Advocates, Friends and Foundations

United for Libraries, formerly ALTAFF, is a national network of enthusiastic library supporters who believe in the importance of libraries as the social and intellectual centers of communities and campuses. Information about continuing education, forming 501(c)(3) nonprofits, library foundations, library Friends groups, and much more can be found at: <http://www.ala.org/united/>.

UFIR: Uniform Financial Information Report

This report of financial information is required of all taxing districts annually. It is submitted to the Kentucky Department for Local Government by May 1.

<https://kydlgweb.ky.gov/Entities/SpecDistHome.cfm>

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Chapter 7
Appendix

Essential Library Policies for Kentucky Public Libraries

Current, effective library policies are essential components for a strong organization. KDLA has developed a list of sample policies at:

<http://kdla.ky.gov/librarians/librarypolicies/Pages/default.aspx>. KDLA strongly recommends library boards adopt local policies and procedures on the following topics:

Library Operations Policies:

Building Maintenance
Circulation
Unattended Children
Collection Development
Computer Use
Customer Behavior
Copyright
Displays
Filtering
Genealogy
Gifts and Appraisal
Information Security
Interlibrary Cooperation
Internet Use
Investment
Library as Polling Place
Material Selection/Complaints
Meeting Room
Patron Confidentiality
Patron Materials Requests
Problem Patron
Record Retention
Smoking
Weapons in the Library

Personnel Policies:

Absenteeism and Tardiness
Bereavement Leave
Breaks
Conferences and Meetings
Conflict of Interest

Disabilities or ADA
Dress Code
Educational Assistance/
Tuition Reimbursement
Emergency Closing
Employee Privacy
Employment of Relatives
Equal Opportunity
Employment
Evaluations/Performance
Appraisal
Expense Reimbursement
FMLA
Grievance
Health/Other Insurance
Hiring/Recruitment
Holidays
Inclement Weather
Internet/E-mail Use
Job Descriptions
Jury Leave
Meal Periods
Mileage Reimbursement
Military Leave
Personal/Other Paid Leave
Overtime
Payroll Deductions
Performance Improvement
Professional Memberships
Retirement
Salary Payment
Salary Increases
Sexual Harassment

Sick or personal leave
Substance Abuse
Termination of Employment
Unpaid Leave
Vacation Leave
Voting Leave
Workplace Violence
Workweek

Board Policies:

Accounting
Audit
Availability of Public Records
(Open Records)
Board Bylaws
Board Expense
Reimbursement
Board Conflict of Interest
Code of Ethics
Confidentiality of Library
Records
Fiscal Responsibility
Handling of Library Funds,
Expenses & Oversight
Investment
Procurement/Purchasing
Public Relations
Sponsorship/Partnership
Training or Orientation of
Board Members
Whistleblower

Example of an Agenda

XYZ County Public Library
Regular Monthly Board Meeting Agenda
January 12, 20XX
4:00 pm
My Town, Kentucky

Call to order (President of the board or presiding officer)

Public Comment (allows visitors to make comments to board as provided in policy)

The two following agenda items require a motion, second and vote by the board, and can or should be mailed/e-mailed and read prior to the meeting.

Approval of minutes

Financial report and approval of vouchers (may be given by bookkeeper or treasurer)

Business

Nomination for trustee vacancy	item of relative simplicity
Review of Strategic Plan progress	complex item; detailed discussion
Internet Policy revision	controversial item; debate likely
Minor policy revision	item of relative simplicity

Reports:

Reports (can be mailed and read prior to meeting)

Library Director

Board Committee(s)

Key Staff

Friends of the Library

Regional Consultant

Next meeting date date and time of next meeting

Adjournment requires a motion, second, and vote

(Note: In the actual agenda provided for the meeting, the items of business should have brief descriptors and/or background information to facilitate their discussion. The order reflects a “warm up” item, followed by the ones likely to require the most discussion, and ending a with a “cool down” item. This allows discussion of the important items while everyone is highly engaged and before anyone who must leave early has left the meeting).

Example of Minutes

XYZ County Public Library
Minutes of the Regular Board Meeting
March 15, 20XX
5:00 pm
My Town, KY

CALL TO ORDER: Lee North called the meeting to order at 5:10 pm.

PRESENT: Lee North, President; Alyce South, Vice-President; Pat East, Secretary; Jim West, Treasurer; Sean Knight, Attorney; Lou Day, CPA; Lily White, Director; and Karen Reid, Regional Consultant.

ABSENT: Chris Woods, Member.

PUBLIC COMMENT: Fred Jones, representing the Civil War Historical Society, requested permission to display Civil War mementos that include several Confederate items. The board will consider this request at the next board meeting.

AGENDA: The March agenda was e-mailed to board members. Director White requested that the Accountant's Report be moved up to follow the Treasurer's Report. Vice-President South asked to add a discussion of the future of a new branch to the items of business.

MOTION TO APPROVE THE REQUESTED CHANGES TO THE AGENDA, PAT EAST. SECOND, JIM WEST. APPROVED UNANIMOUSLY.

MINUTES: Minutes of the February meeting were e-mailed to board members.

MOTION TO APPROVE THE MINUTES OF THE FEBRUARY MEETING AS RECEIVED, JIM WEST. SECOND, PAT EAST. APPROVED WITH LEE NORTH ABSTAINING DUE TO HIS ABSENCE AT THAT MEETING.

TREASURER'S REPORT: The Treasurer's report for February was e-mailed to board members.

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- MOTION TO APPROVE THE FEBRUARY TREASURER'S REPORT AS RECEIVED, ALYCE SOUTH. SECOND, PAT EAST. APPROVED UNANIMOUSLY.
- MOTION TO APPROVE THE FEBRUARY REPORT OF EXPENDITURES AND TO PAY THE BILLS, PAT EAST. SECOND, ALYCE SOUTH. APPROVED UNANIMOUSLY.

ACCOUNTANT'S REPORT:

Lou Day distributed and reviewed balance statements for February. He reported that the first of the two maturing CDs had been reinvested at First Bank at 3% annual yield. He has requested rate proposals on the second CD.

BUSINESS:

New Branch. Alyce South raised the question of whether and when the board should begin consideration of the location for a new branch. Discussion included changes in the character of Main Street and how they impact the library, development trends in that area of the county, and the process for evaluating and acquiring a branch site. The future availability of suitable land/sites was noted as a concern given the past and anticipated growth of the county.

Board Manual. Copies of the Audit, Budget, and Fixed Asset Management statements were e-mailed to board members. Accountant, Lou Day and Attorney, Sean Knight confirmed that the statements as provided complied with best practice and with applicable statutes. Director White noted that the capitalization threshold table, previously approved on November 18, 2008, had been revised to include software as a separate asset category.

- MOTION TO APPROVE THE REVISED TABLE AS PRESENTED, ALYCE SOUTH. SECOND, JIM WEST. APPROVED UNANIMOUSLY.

There were no questions and, by consensus, the statements were accepted for the board manual.

FMLA policy revision. The proposed revision was e-mailed to board members. Director White noted that the changes were essentially statements taken directly from the new federal FMLA legislation and that the library policy served as a general

description of employee FMLA rights. The full details of FMLA coverage are available from the HR Manager.

MOTION TO APPROVE THE REVISED FMLA POLICY AS RECEIVED, ALYCE SOUTH. SECOND, JIM WEST. APPROVED UNANIMOUSLY.

New Trustee Nominating Committee. Pat East and Lee North reported on their nominations for board trustees. Several have confirmed their interest by completing an application. However, there are still some who may apply for the South County seat. All remaining candidates will be asked to submit their applications. A special meeting is scheduled for Tuesday, March 29, 8:30 am at the Library to review all candidates and select the final two candidates for each seat.

ATTORNEY'S REPORT: Sean Knight reported that SB172 was voted out of committee, but was not introduced on the floor. Senator Adams is expected to pursue this in the next legislative session.

FRIENDS OF THE LIBRARY REPORT: There was no report.

LIBRARIAN'S REPORT: Director White reviewed highlights from her report – which she e-mailed to the board. Also noted:

The KY123 property survey is complete and the architect will begin developing site plan proposals for the new branch.

REGIONAL CONSULTANT'S REPORT: Report was e-mailed to board members.

NEXT MEETING: 5:00 pm on April 19.

ADJOURNMENT: There being no further business, the meeting was adjourned at 6:20 pm.

MOTION TO ADJOURN, JIM WEST. SECOND, PAT EAST. APPROVED UNANIMOUSLY.

Minutes taken by Marian Smyth, Library Assistant.

Pat East, Secretary

Lee North, President

Oath of Office

I do solemnly swear (or affirm, as the case may be) that I will support the Constitution of the United States and the Constitution of this Commonwealth, and be faithful and true to the Commonwealth of Kentucky so long as I continue a citizen thereof, and that I will faithfully execute, to the best of my ability, the office of Trustee of the _____ Public Library according to law; and I do further solemnly swear (or affirm) that since the adoption of the present Constitution, I, being a citizen of this State, have not fought a duel with deadly weapons within this State nor out of it, nor have I sent or accepted a challenge to fight a duel with deadly weapons, nor have I acted as second in carrying a challenge, nor aided or assisted any person thus offending, so help me God.

Signed _____
Trustee

Subscribed to and sworn to before me this _____ day of _____, 20____

Signed _____
President

Signed _____
Judge or Certifying Officer

What to Expect From Your Regional Consultant

What is KDLA?

The Kentucky Department for Libraries and Archives is a state government agency whose mission is to support and promote access to library services and to ensure that documentation of government activities is created, preserved, and made available for public use. For public libraries, the most visible aspect of KDLA is the regional consultant.

And what is a regional consultant?

A regional consultant is a librarian who serves a specific geographic area and helps your library navigate the complicated arena of contemporary libraries. We are here to help you and your director and library staff create a library that is an indispensable part of your community.

Some of the things a regional consultant does to serve libraries include:

- Attend board meetings to get to know your library and your community in order to offer the most relevant information possible to your library director and board;
- Advise your director (and the board) on policy development, personnel issues, public relations, grant writing, collection development and other library issues;
- Serve as a resource person to offer you new ideas and best practice information from around Kentucky and the world;
- Provide training and orientation for local trustees and library staff as requested;
- Guide you to use the Kentucky Public Library Standards to provide your community with the library it needs;
- Assist with the library's Annual Report and other government-required reports;
- Conduct meetings for the region's directors and other special groups of employees;
- Help you decide when to call for assistance;
- Assist you in making the best decisions for your library and your community.

Regional Consultants are here to help you make your library a place your friends and neighbors can't do without!

Filling Board Vacancies

The process in which vacancies on the library board are filled is determined by the method the library was established.

- KDLA will send a reminder to the library director three to four months in advance of a vacancy.
- The library board is expected to have the two nominees for the vacancy sent to the State Librarian who will provide them to the county judge/executive 60 days in advance of the vacancy. [KRS 65.008](#)
- Trustee nominations can be made online at the KDLA website at: <http://kdla.ky.gov/librarians/trustees/Pages/TrusteeNominations.aspx>.
- After the appointment is made, please make sure that the county judge/executive or mayor's office sends a copy of the letter of appointment or the minutes of the fiscal court or council meeting to Stacey Whitehouse for KDLA's official records:

Stacey Whitehouse
Commissioner's Office
Kentucky Department for Libraries and Archives
P. O. Box 537
300 Coffee Tree Road
Frankfort, KY 40602-0537
Stacey.Whitehouse@ky.gov

Filling Board Vacancy With County List by Founding Statute

Libraries established as units of local government under section [KRS 173.300](#):

(Barren, Crittenden, Elliott, Fayette, Hardin, Knott)

1. The board notifies the appointing authority (county judge/executive for county libraries; mayor for city libraries) of vacancy(ies);
2. The appointing authority, with the approval of fiscal court (county libraries) or city council (city libraries), appoints the individual to the library board to either a full term of four years or the remainder of an unexpired term;
3. The newly appointed trustee takes the Oath of Office before a judicial officer.

Libraries established as taxing districts under section [KRS 173.450](#):

(Bath, Boone, Carroll, Clay, Fleming, Floyd, Fulton, Gallatin, Graves, Harlan, Harrison, Lawrence, Lewis, Lincoln, Magoffin, Muhlenberg, Nicholas, Ohio, Robertson, Rockcastle, Simpson)

1. For each vacancy, the board selects two names of individuals committed to the provision of library service;
2. The names are submitted to the Kentucky Department for Libraries and Archives using the online form at:
<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeNominations.aspx>;
3. The state librarian and commissioner approves the names and sends the recommendations to the local county judge/executive;
4. The county judge/executive, with the approval of fiscal court, appoints one of the two provided names to either a full term of four years or the remainder of an unexpired term;
5. The newly appointed trustee takes the Oath of Office before the county judge/executive or other judicial officer.

Libraries established as taxing districts under section [KRS 173.710](#):

(Adair, Allen, Anderson, Bell, Bourbon, Boyd, Boyle, Breathitt, Breckinridge, Bullitt, Butler, Caldwell, Calloway, Campbell, Casey, Clark, Clinton, Cumberland, Edmonson, Estill, Franklin, Garrard, Grant, Grayson, Green, Greenup, Hancock, Hart, Henderson, Henry, Jackson, Jessamine, Johnson, Kenton, Knox, LaRue, Laurel, Lee, Leslie, Letcher, Logan, Lyon, Marion, Marshall, Martin, Mason, McCreary, Meade, Menifee, Mercer, Metcalfe, Monroe, Montgomery, Morgan, Nelson, Oldham, Owen, Owsley, Pendleton, Perry, Pike, Powell, Pulaski, Rowan, Russell, Scott, Shelby, Spencer, Taylor, Todd, Trimble, Union, Washington, Wayne, Webster, Whitley, Wolfe, Woodford)

1. For each vacancy, the board selects two names of individuals committed to the provision of library service;
6. The names are submitted to the Kentucky Department for Libraries and Archives using the online form at:
<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeNominations.aspx>;
2. The state librarian and commissioner approves the names and sends the recommendations to the local county judge/executive;
3. The county judge-executive, with the approval of fiscal court, appoints one of the two provided names to either a full term of four years or the remainder of an unexpired term;
4. The newly appointed trustee takes the Oath of Office before the county judge/executive or other judicial officer.

Libraries established as taxing districts under section [KRS 65.180](#):

(Bracken, Madison, Trigg):

1. For each vacancy, the board selects two names of individuals committed to the provision of library service;
7. The names are submitted to the Kentucky Department for Libraries and Archives using the online form at:
<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeNominations.aspx>;

2. The state librarian and commissioner approves the names and sends the recommendations to the local county judge/executive;
3. The county judge-executive, with the approval of fiscal court, appoints one of the two provided names to either a full term of four years or the remainder of an unexpired term;
4. The newly appointed trustee takes the Oath of Office before the county judge/executive or other judicial officer.

Libraries established under section [KRS 65.210](#)

(Ballard and Carlisle, Carter, Christian, Hickman, Hopkins, Jefferson, Livingston):

The process by which board vacancies are filled for libraries established under this statute are determined at the time of establishment and continue in perpetuity.

Libraries established under [KRS 67.715](#):

(Daviess, McCracken, McLean, Warren)

1. For each vacancy, the board selects two names of individuals committed to the provision of library service;
8. The names are submitted to the Kentucky Department for Libraries and Archives using the online form at:
<http://kdla.ky.gov/librarians/trustees/Pages/TrusteeNominations.aspx>;
2. The state librarian and commissioner approves the names and sends the recommendations to the local county judge/executive;
3. The county judge/executive, with the approval of fiscal court, appoints one of the two provided names to either a full term of four years or the remainder of an unexpired term;
4. The newly appointed trustee takes the Oath of Office before the county judge/executive or other judicial officer.

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Trustee Recruitment – Application Examples

Example 1

_____ COUNTY PUBLIC LIBRARY DISTRICT
LIBRARY BOARD OF TRUSTEES

APPLICATION FOR APPOINTMENT

Name _____

Residence Address _____

Business Name _____

Business Address _____

Occupation/Profession _____

Business Phone _____ Home Phone _____ E-mail _____

I have been a resident of _____ County since: _____

I am a registered voter: Y _____ N _____

Please describe any qualifications [work experience, education, attributes, skills/training] that you feel would provide positive input to the work of the library board. *Please use another sheet of paper if necessary.*

Please describe any former or current public service activities and accomplishments in the community [school groups, service clubs, other boards or commissions].

Please explain why you are interested in becoming a library trustee.

Please discuss briefly the goals and directions that should be important to this Board.

Continued on next page

Procedure for filling a _____ County Public Library Board vacancy [KRS 173.____]:

1. For each vacancy, the Board selects two [2] names of individuals committed to the provision of library service.
2. The names are submitted to the Kentucky Department for Libraries and Archives.
3. The State Librarian and Commissioner approves the names and sends the recommendations to the local County Judge Executive.
4. The County Judge Executive, with the approval of Fiscal Court, appoints one of the two provided names.
5. The newly appointed trustee takes the Oath of Office before the County Judge Executive or other judicial officer.

Board terms and compensation [KRS 173.____]:

1. Except for the initial establishment or filling unexpired terms, trustees may serve for two [2] consecutive terms [four years each] after which they shall not succeed themselves for at least one [1] year.
2. Members of the board shall not receive compensation for their services, but shall be reimbursed for their actual expenses necessarily incurred in the performance of their duties.

Board meetings and attendance [KRS 173.____]

1. The board shall meet on a regularly scheduled basis once each month.
2. Absence of a trustee from four regular monthly meetings of the board during one year of the trustee's term shall constitute automatic resignation.

Conflict of interest [KRS 173.____]:

1. No person is eligible to this office who is directly or indirectly interested in the sale to the library of books, magazines, supplies, equipment, materials, insurance, or services for which library funds are expended.
2. No board shall newly employ as a member of its library staff any member of the board or any person related closer than a second cousin to any member of the board.

Signature

Date

Trustee Recruitment – Application Examples

Example 2

_____ County Public Library
Board of Trustees Application

In order to provide quality library service to _____ County, the _____ County Public Library requires a working team of a Library Director and a Board of Trustees who are informed and make the necessary decisions. It is critical that each person appointed to the Board of Trustees be willing to perform the duties of a trustee. Trustees receive no payment for their work.

The Board of Trustees is composed of five members who are appointed jointly by the _____ County Commissioners. The term of office is four years, and a Trustee may fill an unexpired term and/or serve for two consecutive terms (four-years each). The Board will actively seek applicants to fill any vacancy that occurs

Prospective Trustees should be aware of the following criteria which will be used by the other Board members of the _____ County Public Library in evaluating candidates for the vacant position. A Trustee must:

1. Commit the time that is necessary to carry out the duties of a Trustee. This includes time to become and stay knowledgeable about public library issues, to attend Board meetings, and to carry out Board assignments.
2. Be genuinely interested in public libraries and understand the importance of public libraries in meeting the educational, recreational, and informational needs of the community.
3. Understand the local community, its social and cultural needs, and be willing to communicate those needs to the Board.
4. Be able to work with others to reach a common goal.
5. Be open-minded, intellectually curious, and respectful of the opinions of others.
6. Have the courage to plan creatively and direct the effective implementation of those plans.
7. Be able to withstand pressures and prejudice that would restrict or prevent equal library service to all.

WHAT TRUSTEES DO

- set library policy
- employ and evaluate the director
- plan for the future
- monitor the library's effectiveness
- be an advocate for the library
- do anything else necessary for the proper management of the library

If a candidate has questions or requires additional information, please contact a Trustee or attend a Board meeting. Board meetings are held the second Tuesday of every month at 1:00 P.M. at the _____ County Public Library Community Room.

Please submit completed applications to: Board of Trustees, _____ County Public Library, [street address] _____, [City] _____, KY 4_[zip code] _____

_____ County Public Library
Application for Board of Trustees Position

(Use additional pages as required)

NAME: _____

MAILING ADDRESS: _____

TELEPHONE NUMBERS: (Home) _____ (Work): _____

(Cell): _____ E-MAIL ADDRESS: _____

HOW LONG HAVE YOU BEEN A RESIDENT OF _____ COUNTY?

EDUCATIONAL HISTORY:

OCCUPATIONAL BACKGROUND:

HAVE YOU DONE ANY VOLUNTEER WORK FOR THE PUBLIC LIBRARY? IF YES, PLEASE DESCRIBE.

PLEASE DESCRIBE ANY VOLUNTEER WORK THAT YOU HAVE DONE FOR OTHER LIBRARIES.

PRESENT CIVIC ACTIVITIES:

PAST CIVIC ACTIVITIES:

HOW HAVE YOU USED LIBRARIES IN THE PAST?

WHY ARE YOU INTERESTED IN SERVING AS A LIBRARY TRUSTEE?

WHAT IDEAS OR PROGRAMS WOULD YOU LIKE TO PURSUE DURING YOUR TERM OF BOARD MEMBERSHIP?

Continued on next page

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PLEASE INDICATE THOSE AREAS IN WHICH YOUR KNOWLEDGE WOULD BE OF BENEFIT TO THE LIBRARY BOARD:

Finance Personnel Long Range Planning
 Legal Technology Building Programs
 Public Relations Management Governmental Relations
 Energy Conservation Other: _____

WHAT DO YOU SEE AS THE LIBRARY'S ROLE IN THE FUTURE?

OTHER COMMENTS:

Signature

Date

Trustee Recruitment – Advertisement Examples

Example 1

Interested in serving on the _____ County Public Library Board of Trustees?
-- _____, KY.

The _____ County Library's Board of Trustees has several upcoming vacancies for which they are accepting applications. The Library is seeking to identify dedicated individuals who have a passion for libraries. The Board of Trustees oversees the library's finances, the library director, and is responsible for understanding the library's mission, programs and services delivered to the community. This is a volunteer position.

After completing an application, interested individuals may attend an informational session to be held on [day], [date] at [time] p.m. at the Library, 123 Some Street, in Anyburg, KY.

Applications are available at the Library or online at www.SomeCountyLibrary.net/. Applications must be submitted by [date] and can be dropped off at the Library to the attention of _____, Library Director or mailed to:

_____ County Public Library
_____, Director
123 Some Street
Anyburg, KY 40000

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Trustee Recruitment – Advertisement Examples

Example 2

_____ County Public Library
Contact: _____, Public Relations Coordinator
123 Any Street, Anyburg, KY 40000
Phone (direct) 123-456-7890
PublicRelations@SomeCountyLibrary.org
Mon. Date, 20__

FOR IMMEDIATE RELEASE:

Interested in serving on the _____ County Public Library Board of Trustees?

--Anyburg, KY. _____ County Library's Board of Trustees has an upcoming vacancy for which they are accepting applications. The Library is seeking to identify dedicated individuals who have a passion for libraries and the ability to effectively advocate for them. The Board of Trustees is responsible for establishing policy, approving the budget and ensuring that adequate funds are available to finance the budget. The Board oversees the library's finances, the library director and is responsible for understanding the library's mission, programs and services delivered to the community. This is a volunteer position.

After completing an application, interested individuals will need to attend an informational session to be held on _____ day, [Date] at [Time] p.m. at the Library, 123 Any Street, in Anyburg. Applications are available at all library locations or online at www.SomeCountyLibrary.org. Applications must be submitted by [Date] and can be dropped off at the library (Attention: Library Director) or mailed to:

_____ County Public Library
_____, Director
123 Any Street
Anyburg, KY 40000

###

Library Board Profile Worksheet

This tool helps to identify current gaps and desired characteristics of your board. Don't presume to know the complete skill set possessed by your board. Rather, have each trustee complete and return the individual profile to a selected person for compilation into a summary profile to be shared with the board. Names of individual trustees should not appear on the summary profile. The focus should be on skills and experiences rather than individuals. This summary profile should then serve as a discussion piece for identifying gaps that you wish to be filled.

CATEGORIES TO CONSIDER	CURRENT MEMBERS			NEW BOARD CANDIDATES			
	1	2	3	A	B	C	D
Areas of Expertise/Professional Skills:							
Organizational Management							
Finance							
Accounting							
Banking and Trusts							
Investments							
Fund Raising							
Law / Legal							
Marketing							
Public Relations							
Publicity							
Personnel / Human Resources							
Physical Facilities / Construction							
Real Estate							
Strategic or Long-Range Planning							
Technology							
Other: <i>specify</i>							
Diversity Profile							
Age:							
18 – 35							
35 – 50							
51 – 65							
66+							
Race/Ethnic Background:							
African-American							
Asian/Pacific Islander							
Caucasian							
Hispanic/Latino							
Native American							
Other: <i>specify</i>							
Gender:							
Male							
Female							
Geographic Location:							
County Seat							

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CATEGORIES TO CONSIDER	CURRENT MEMBERS			NEW BOARD CANDIDATES			
	1	2	3	A	B	C	D
Areas of Expertise/Professional Skills:							
North End of County							
South End of County							
East End of County							
West End of County							
Education:							
Graduate Degree (or higher)							
Undergraduate Degree							
Vocational / Technical College							
Some College							
High School Graduate							
Community Connections:							
Corporate							
Disability							
Education							
Media							
Political							
Religious Organizations							
Small Business							
Social Services							
Other: <i>specify</i>							
Personal Qualities:							
Library User							
Library Supporter/Believes in Mission							
Previous Library Board Service:							
2 terms or more							
1 term							
Less than 1 term							
Leadership Skills							
Willingness to Work							
Willing to Make Tough Decisions							
Willing to Serve as Officer/on Committees							
Team worker							
Personal Style in Group Settings:							
Compromiser							
Leader							
Analyzer							
Visionary							
Continuing Board Development:							
Willing to Attend Workshops							
Willing to Attend Conferences							
Commitment to Intellectual Freedom							
Commitment to Equal Access							

LIBRARY BOARD PROFILE WORKSHEET – INDIVIDUAL

This tool helps to identify current gaps and desired characteristics of your board. Each trustee completes this individual profile on him/herself and returns it to a selected person for compilation into a summary profile to be shared with the Board. Names of individual trustees should not appear on the summary profile. The focus should be on skills and experiences rather than individuals. This summary profile should then serve as a discussion piece for identifying gaps that you wish to be filled.

Areas of Expertise/Professional Skills:	✓	Diversity Profile Continued:	✓
Organizational Management	<input type="checkbox"/>	Education:	
Finance	<input type="checkbox"/>	Graduate Degree (or higher)	<input type="checkbox"/>
Accounting	<input type="checkbox"/>	Undergraduate Degree	<input type="checkbox"/>
Banking and Trusts	<input type="checkbox"/>	Vocational / Technical College	<input type="checkbox"/>
Investments	<input type="checkbox"/>	Some College	<input type="checkbox"/>
Fund Raising	<input type="checkbox"/>	High School Graduate	<input type="checkbox"/>
Law/Legal	<input type="checkbox"/>	Community Connections:	
Marketing	<input type="checkbox"/>	Corporate	<input type="checkbox"/>
Public Relations	<input type="checkbox"/>	Disability	<input type="checkbox"/>
Publicity	<input type="checkbox"/>	Education	<input type="checkbox"/>
Personnel / Human Resources	<input type="checkbox"/>	Media	<input type="checkbox"/>
Physical Facilities / Construction	<input type="checkbox"/>	Political	<input type="checkbox"/>
Real Estate	<input type="checkbox"/>	Religious Organizations	<input type="checkbox"/>
Strategic or Long-Range Planning	<input type="checkbox"/>	Small Business	<input type="checkbox"/>
Technology	<input type="checkbox"/>	Social Services	<input type="checkbox"/>
Other: <i>specify</i>	<input type="checkbox"/>	Other: <i>specify</i>	<input type="checkbox"/>
Diversity Profile:		Personal Qualities:	
Age:		Library User	<input type="checkbox"/>
18 – 35	<input type="checkbox"/>	Library Supporter/Believes in Mission	<input type="checkbox"/>
35 – 50	<input type="checkbox"/>	Previous Library Board Service:	
51 – 65	<input type="checkbox"/>	2 terms or more	<input type="checkbox"/>
66 +	<input type="checkbox"/>	1 term	<input type="checkbox"/>
Race/Ethnic Background:		Less than 1 term	<input type="checkbox"/>
African-American	<input type="checkbox"/>	Leadership Skills	
Asian/Pacific Islander	<input type="checkbox"/>	Willingness to Work	<input type="checkbox"/>
Caucasian	<input type="checkbox"/>	Willing to Make Tough Decisions	<input type="checkbox"/>
Hispanic/Latino	<input type="checkbox"/>	Willing to Serve as Officer / on Committees	<input type="checkbox"/>
Native American	<input type="checkbox"/>	Team worker	<input type="checkbox"/>
Other: <i>specify</i>	<input type="checkbox"/>	Personal Style in Group Settings:	
Gender:		Compromiser	<input type="checkbox"/>
Male	<input type="checkbox"/>	Leader	<input type="checkbox"/>
Female	<input type="checkbox"/>	Analyzer	<input type="checkbox"/>
Geographic Location:		Visionary	<input type="checkbox"/>
County Seat	<input type="checkbox"/>	Continuing:	
North End of County	<input type="checkbox"/>	Willing to Attend Workshops	<input type="checkbox"/>
South End of County	<input type="checkbox"/>	Willing to Attend Conferences	<input type="checkbox"/>
East End of County	<input type="checkbox"/>	Commitment to Intellectual Freedom	<input type="checkbox"/>
West End of County	<input type="checkbox"/>	Commitment to Equal Access	<input type="checkbox"/>

Selected Important Deadlines

Since the implementation of HB1, there are changes and additional filing requirements and deadlines. Be sure to check the Dept. for Local Government website for the latest filing requirements at:

https://kydlgweb.ky.gov/Entities/SPGE_Info.cfm

For the latest KDLA filing calendar, see:

<http://kdla.ky.gov/librarians/administrators/Documents/Filing%20Calendar.pdf>

Annual Financial Statement

[KRS 65A.030\(1\)\(a\)-\(c\)](#)

Every special purpose governmental entity must annually prepare a financial statement which is available to the public within 60 days of the close of the fiscal year. The Financial Statement is prepared by the library or a CPA and the format of the Statement is determined by the library. This published information must be in compliance with the general provisions of [KRS Chapter 424](#) but are in lieu of the requirements of [KRS 424.220](#).

Due Date: September 1

Online Location: https://kydlgweb.ky.gov/Entities/SPGE0_Search.cfm

Audits and Attestation Engagements

[KRS 65A.030](#)

Depending on the amount of annual income or expenditures, Special Purpose Governmental Entities must file an audit or attestation engagement with the [Department for Local Government](#).

\$99,999 or less – Attestation Engagement due once every four years

\$100,000 – \$499,999 – Audit due once every four years

\$500,000 or greater – Audit due every year

Due Date: One year from close of the auditable fiscal year – June 30th

Online Location: https://kydlgweb.ky.gov/Entities/SPGE0_Search.cfm

Uniform Financial Information Report (UFIR)

[KRS 65.905](#)

Library districts which are also taxing districts must annually complete and file a UFIR form and by entering the information in the online form available on the Kentucky Department for Local Government [website](#).

Due Date: May 1

Online Location: <https://kydlgweb.ky.gov/Entities/SpecDistHome.cfm>

Budget

[KRS 65A.080](#)

The library board shall adopt a budget by June 30 each year. The budget will be entered using the online form provided on the Kentucky Department for Local Government website before July 15.

Changes to the current budget are made throughout the fiscal year as they are adopted. No changes to the current budget may be made after June 30 of the current fiscal year.

Year-end Budget Actuals must be entered using the online form by September 1.

Due Date: Budget Adoption – June 30

Changes to Current Budget – June 30

Entry of New Budget – July 15

Year-End Actuals – September 1

Online Location: https://kydlgweb.ky.gov/Entities/SPGE0_Search.cfm

KDLA Annual Report

The Kentucky Annual Report of Public Libraries is filed annually by every library. A library is required to send a copy of its most recent audit along with the signed authorization page and long range plan if revised.

The Annual Report must be submitted within 60 days of the end of the fiscal year [[KRS 173.370](#); [KRS 173.570](#); [KRS 173.770](#)]. KDLA will announce a due date for late August. A late submission may result in a delay in the library receiving its state aid funds.

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Due Date: August date announced by KDLA

Online Location: <http://collect.btol.com>

Financial Statement Publication Information

[KRS 65A.080\(2\)](#)

Libraries must publish the location where the adopted budget, financial statements, and the most recent audit or attestation engagement reports may be examined by the public within sixty (60) days after the close of each fiscal year. The Financial Statement is prepared by the library or a CPA and the format is determined by the library.

Due Date: September 1 (within 60 days of close of fiscal year)

Online Location:

<https://kydlgweb.ky.gov/Documents/SpecDist/CALENDAR-%20SPGE%20KRS%2065A%20-%20JULY%20FY.doc>

Registration and Board Reporting

[KRS 65A.090](#)

Each SPGE shall annually complete the Registration & Board Reporting Form on the online portal at the Kentucky Department for Local Government website.

Due Date: July 15

Online Location: https://kydlgweb.ky.gov/Entities/SPGE0_Search.cfm

Registration Fee

[KRS 65A.090](#)

Each SPGE must annually pay a registration fee. Once the registration form has been completed on the Kentucky Department for Local Government online portal, the system will pull up the registration fee payment page. The fee is calculated by the following tier system, based on the SPGE's total annual revenues as follows:

\$100,000 or less:	\$25.00
\$100,000 – \$499,999:	\$250.00
\$500,000 or more:	\$500.00

Registration fee payments must be made online by credit card, debit card, or electronic check (bank draft).

Due Date: July 15

Online Location: https://kydlgweb.ky.gov/Entities/SPGE0_Search.cfm

Ethics Ordinance

Libraries must adopt the Code of Ethics of the establishing entity. For most libraries this will be the county's Code of Ethics. If more stringent provisions are adopted, or the Code of Ethics is amended, the newly amended or adopted ethics ordinances must be sent to the Kentucky Department for Local Government within 21 days of amendment or adoption.

Libraries may be required by law to have more stringent provisions regarding conflict of interest and/or nepotism than those in the establishing entity's Code of Ethics.

Due Date: 21 days within amendment or adoption

Online Location: Send a PDF of the newly amended or adopted ethics provisions to the Kentucky Department for Local Government via e-mail.

A calendar of filing dates for required reports is available online at: <http://kdla.ky.gov/librarians/administrators/Documents/Filing%20Calendar.pdf>.

How to go Into Closed Session – Quick Reference

Library board meetings are subject to Kentucky’s Open Meetings Act and are limited as to what may be discussed in closed (executive) session. The three most common reasons and the steps used to go legally from open meeting to closed session are listed below.

In addition to citing the KRS number and general exemption category (property, litigation, or personnel), the minutes must also record the specific reason. This must be more specific than the categories listed above, but need not be so specific as to negate the need for private discussion. Examples of specific reasons are included below.

The President or any other Trustee states, “I move the XYZ County Public Library Board go into closed session under [KRS 61.810](#) ... [choose an option below].” The motion requires a second and a majority vote. The President (or other presiding officer) will state for the minutes, “The XYZ County Public Library Board will go into closed session at 7:28 pm.” This motion, second, vote, and the exact time will be recorded in the minutes.

- under KRS 61.810, Section One, Subsection b [written as KRS 61.810(1) (b)] to discuss the purchase [or sale] of property for the Library.
 1. “The reason is to discuss a counteroffer by the seller.”
 2. “The reason is to discuss the method of sale.”
- under KRS 61.810, Section One, Subsection c [written as KRS 61.810(1) (c)] to discuss litigation involving the Library.
 1. “The reason is to discuss a settlement offer from opposing counsel.”
 2. “The reason is to discuss strategy for a potential lawsuit.”
- under KRS 61.810, Section One, Subsection f [written as KRS 61.810(1) (f)] to discuss a personnel matter.
 1. “The reason is to discuss hiring a new director.”
 2. “The reason is to discuss a disciplinary action taken last week.”
 3. “The reason is to avoid damage to the reputation of the individual whose actions may lead to dismissal.”

Record in the minutes the time the Board reconvened the open meeting.

NOTE: No matters may be discussed in the closed session other than those publicly announced prior to convening the closed session.

In Regard To Closed (Executive) Sessions:

No final action may be taken in a closed session; only in open session, therefore no minutes are taken during the closed session.

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