



**OWWL
LIBRARY
SYSTEM**

POLICY MANUAL

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INTRODUCTION

WELCOME

The OWWL Library System (also referred to as “the System” or “Library System”) is an organization formed to provide support services necessary to all member libraries and to provide library services in the system area. Features of New York State for over 50 years, Library Systems are organized by counties or groups of independent libraries. All System member libraries retain complete control over their own local operation and direct service to the public.

The primary focus of the Library System is to enhance library services. All public libraries in Ontario, Wyoming, Wayne, and Livingston Counties are members of the OWWL Library System, but the System exists as a separate legal organization. The following policies guide the operation of the OWWL Library System and do not extend to the independent libraries. Each policy is approved at a public meeting of the System’s Board of Trustees and are reviewed, updated, or amended in accordance with New York State’s Minimum Standards for Libraries. The date of a review, amendment, or approval appears in the lower right hand corner of each policy. Input will be sought from the staff and OWWL Library System and Board Policy Committee.

In order to maintain the necessary flexibility in the administration of policies and procedures, the Library System reserves the right to change, revise or terminate any of the policies discussed in this manual with or without advance notice.

If you have questions about specific policies or how they impact the System, contact the Executive Director at director@owwl.org.

Sincerely,

Ron Kirsop
Executive Director

ADMINISTRATIVE POLICIES

BRAND USAGE POLICY

The primary purpose of this policy is to define OWWL Library System and OWWL Libraries in terms of branding; outline acceptable use of OWWL Library System and OWWL Libraries branding/logos; and determine the procedure for request permission to use, change or alter OWWL Library System or OWWL Libraries branding/logos.

For the purposes of this policy, the use of “Logo” and “Logos” refers to both the OWWL Library System brand logos and the OWWL Libraries brand logos unless otherwise specified to be referring to either the OWWL Library System brand logos or the OWWL Libraries brand logos.

DEFINITIONS

OWWL Library System

OWWL Library System is the supporting organization for the 42 public and association libraries serving Ontario, Wayne, Wyoming, and Livingston Counties.

OWWL Library System brand logos are for use by the System Headquarters. OWWL Library System brand logos include the oval navy and green/navy owl as well as branding that includes the text “OWWL Library System.”

OWWL Libraries

OWWL Libraries is the collective 42 public and association libraries serving Ontario, Wayne, Wyoming, and Livingston Counties. OWWL Libraries is the forward-facing representation of the collective and the services provided through support of the OWWL Library System.

OWWL Libraries brand logos are available for use in marketing or other publicity materials for the benefit of the 42 member libraries including programs, services, and community partnerships. These logos include the oval navy and green/navy owl as well as any branding that includes the text “OWWL” and “OWWL Libraries.”

Owwl2Go

Owwl2Go is the OverDrive collection shared by OWWL Libraries. Owwl2Go logos should be used to promote the OverDrive eBooks and audiobooks available in the OWWL Digital Library.

USAGE GUIDELINES

The following guidelines apply to the use of logos on websites, social media, videos, promotional materials, print and e-newsletters, press releases, and other publications.

- Logos may be used to characterize appropriate relationships between OWWL Library System, OWWL Libraries, or individual libraries and other organizations, associations, and community partners.

- Logos may only be used to beneficially further the mission and reputation of the OWWL Library System, OWWL Libraries, or individual member libraries.
- Logos may be displayed only in situations that are true and appropriate to the OWWL Library System, OWWL Libraries, or individual member libraries.
- Logos may not be used in connection with any pornography, illegal activities, or other materials that are defamatory, libelous, obscene, contradictory to the mission of the OWWL Library System, or otherwise objectionable.
- Logos may not be used in any manner that violates the trademark, copyright, or any other intellectual property rights of others including but not limited to vendors, publishers, and individual authors.
- Logos may not be used in any manner that violates any local, state, or federal laws, regulations, or other public policies.
- Vendors and for-profit entities may not use Logos to advertise their businesses or as promotional pieces without the written permission of the Executive Director of the OWWL Library System.
- Logos are distinctive, designed pieces of graphic artwork and are therefore prohibited from being altered, modified, or combined in any way without the written permission of the Executive Director.
- Outdated Logos including images of library cards or any artwork predating November 2014 may not be used in conjunction with the OWWL Library System or OWWL Libraries.

REQUEST FOR BRAND USAGE & APPROVAL

- If a member library, organization, vendor, community partnership, or other group wishes to use the OWWL Library System brand logos, permission must be sought in writing to the Executive Director.
- If an organization, vendor, community partnership, or other group (excluding member libraries) wishes to use the OWWL Libraries or OWWL2Go brand logos, permission must be sought in writing to the Executive Director.
- Libraries may use OWWL Libraries and Owwl2Go logos without permission in marketing or other publicity materials for the benefit of OWWL Libraries.
- Libraries that wish to share the OWWL Libraries or Owwl2Go logos with an organization, vendor, community partnership, or other group wishes to use the OWWL Libraries brand logos, permission must be sought in writing to the Executive Director unless it is the OWWL Libraries logo that specifically names that sharing library.
- Written requests to use the logo should state the purpose of usage and all places the logo will appear.
- The System may request to view samples or drafts of any materials that include the Logos for purposes of determining compliance with the above Usage Guidelines. The System may request changes to the use of the Logos.

Adopted: April 14, 2021

CONFLICT OF INTEREST POLICY

PURPOSE

The purpose of this conflict of interest policy (this “Policy”) is to protect the OWWL Library System’s (the “System”) interest when it is contemplating entering into a transaction, agreement or other arrangement that might benefit the private interest of an officer, trustee or Key Employee (as such term is defined herein) of the System or might result in a possible excess benefit transaction. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations. The policy has been created in compliance with the Not-for-Profit Corporation (NPC) CHAPTER 35, ARTICLE 7, SECTION 715-A, Conflict of interest policy.

DEFINITIONS

1. Interested Person means any trustee, officer or Key Employee who has a Financial Interest (as such term is defined below).
2. Financial Interest means, directly or indirectly, through business, investment, or family:
 - a. An ownership or investment interest in any entity with which the System has a transaction or arrangement;
 - b. A compensation arrangement with any entity or individual with which the System has a transaction or arrangement; or
 - c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the System is negotiating a transaction or arrangement.
3. Key Employee means any person who is in a position to exercise substantial influence over the affairs of the System. The term Key Employee expressly includes the Executive Director and Finance Director.
4. Related Party means any:
 - a. Trustee, officer or Key Employee of the System or any Affiliate of the System,
 - b. Relative of any trustee, officer or Key Employee of the System or any Affiliate of the System or
 - c. Entity in which any individual described in (a) or (b) above has a thirty-five percent (35%) or greater ownership or beneficial interest or, in the case of a partnership or professional corporation, a direct or indirect ownership interest in excess of five percent (5%).
5. Related Party Transaction means any transaction, agreement or any other arrangement in which a Related Party (as such term is defined herein) has a financial interest and in which the System or any Affiliate of the System is a participant.
6. Relative of an individual means his or her spouse, ancestors, brothers and sisters (whether whole or half-blood), children (whether natural or adopted), grandchildren, great-grandchildren and spouses of brothers, sisters, children, grandchildren and great-grandchildren and domestic partner.
7. Affiliate of the System means any entity controlled by, in control of, or under common control with the System.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

A Financial Interest is not necessarily a conflict of interest. Under the “Procedures” section of this policy, a person who has a Financial Interest may have a conflict of interest only if the System’s board of trustees (the “Board”) or an authorized committee thereof decides that a conflict of interest exists.

PROCEDURES

1. Duty to Disclose: In connection with any actual or possible conflict of interest, an Interested Person must disclose the existence of the Financial Interest and be given the opportunity to disclose all material facts to the Board and any authorized committee considering the proposed transaction or arrangement.
2. Determining Whether a Conflict of Interest Exists: After disclosure of the Financial Interest and all material facts, and after any discussion with the Interested Person, he/she shall leave the Board or committee meeting while the determination of a conflict of interest is deliberated and voted upon. The remaining Board or committee members shall decide if a conflict of interest exists.
3. Procedures for Addressing the Conflict of Interest
 - a. An Interested Person may make a presentation at the Board or committee meeting, but after the presentation, he/she shall leave the meeting during the deliberation of, and the vote on, the transaction or arrangement involving the possible conflict of interest. The Interested Person shall not attempt to improperly influence the deliberation of or vote on the matter giving rise to the potential conflict of interest.
 - b. The chairperson of the Board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
 - c. After exercising due diligence, the Board or committee shall determine whether the System can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
 - d. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the Board or committee shall determine by a majority vote of the disinterested trustees whether the transaction or arrangement is in the System’s best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement.
4. Violations of the Conflicts of Interest Policy
 - a. If the Board or committee has reasonable cause to believe a person has failed to disclose an actual or possible conflict of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose.
 - b. If, after hearing the person's response and after making further investigation as warranted by the circumstances, the Board or committee determines the person

has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

RECORDS AND PROCEEDINGS

The minutes of the Board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have a Financial Interest in connection with an actual or possible conflict of interest, the nature of the Financial Interest, any action taken to determine whether a conflict of interest was present, and the Board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

COMPENSATION

1. No member of the Board may receive direct compensation from the System. A voting member of the Board who receives compensation from the System for services, indirectly, is precluded from voting on matters pertaining to that member's compensation. For purposes of this section, reimbursement of reasonable expenses incurred in performance of duties as a trustee is not compensation.
2. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the System for services is precluded from voting on matters pertaining to that member's compensation.
3. No voting member of the Board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the System, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

ANNUAL STATEMENTS

1. Annual Statements: Each trustee, officer, and key employee shall annually sign a statement (the "Annual Statement") which affirms such person:
 - a. Has received a copy of the Policy,
 - b. Has read and understands the Policy,
 - c. Has agreed to comply with the Policy,
 - d. Understands the System is charitable and in order to maintain its tax-exempt status it must engage primarily in activities which accomplish one or more of its tax-exempt purposes, and
 - e. Has set forth existing potential conflicts of interest.
2. Statement Required Prior to Initial Election of any Trustee
 - a. Each potential trustee of the System shall be required to complete, sign and submit the Annual Statement to the Secretary of the System prior to any initial election of such trustee to the Board.

PERIODIC REVIEWS

To ensure the System operates in a manner consistent with its charitable purposes and does not engage in activities that could jeopardize its tax-exempt status or are otherwise unlawful, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

1. Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the result of arm's length bargaining.
2. Whether partnerships, joint ventures, or other arrangements conform to the System's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

USE OF OUTSIDE EXPERTS

When conducting the periodic reviews as provided for in the "Periodic Reviews" section, the System may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the Board of its responsibility for ensuring periodic reviews are conducted.

RELATED PARTY TRANSACTIONS

1. In General: The System shall not enter into a Related Party Transaction (as such term is defined in the "Definitions" section of this Policy) unless such transaction is determined by the Board to be fair, reasonable and in the System's best interest at the time of such determination. Any trustee, officer or Key Employee who has an interest in a Related Party Transaction shall disclose in good faith to the Board, or an authorized committee thereof, the material facts concerning such interest.
2. Procedure: Except as otherwise provided herein, the procedure for disclosing, addressing and documenting a Related Party Transaction shall be in accordance with the procedures set forth within this policy, respectively.
3. Extraordinary Related Party Transactions: With respect to any Related Party Transaction in which a Related Party has a substantial financial interest, the Board, or an authorized committee thereof, shall:
 - a. Prior to entering into the transaction, consider alternative transactions to the extent available;
 - b. Approve the transaction by not less than a majority vote of the Board or committee members present at the meeting; and
 - c. Contemporaneously document in writing the basis for the Board's or authorized committee's approval, including its consideration of any alternative transactions.

ANNUAL CONFIRMATION STATEMENTS BY TRUSTEES, OFFICERS, AND KEY EMPLOYEES

The undersigned, a trustee, potential trustee, officer and/or key employee of the OWWL Library System (the System), affirms that:

1. I have received a copy of the System's Conflict of Interest Policy (the Policy);
2. I have read and understand the Policy;
3. I agree to comply with the Policy;
4. To the best of my knowledge, below is a list of every entity in which I am an officer, trustee, member, owner or employee and with which the System has, or may have, a relationship:

NONE

5. To the best of my knowledge, below is list of any transaction in which the System is a participant and in which I might have a conflicting interest:

NONE

6. I understand the System is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

Signature

Print Name

Date

THIS FORM MUST BE DIRECTED TO THE SECRETARY OF THE SYSTEM, WHO MUST PROVIDE A COPY TO THE SYSTEM'S AUDIT COMMITTEE, OR, IN THE ABSENCE OF AN AUDIT COMMITTEE, TO THE SYSTEM BOARD PRESIDENT

*Revised: April 13, 2022; February 10, 2020;
January 14, 2015; February 11, 2009; October 10, 2007
Reviewed: January 13, 2016
Adopted: May 10, 2006*

CONSTRUCTION AID POLICY

PURPOSE

The OWWL Library System (the System) has adopted this Construction Aid Policy to establish guidelines, procedures, and best practices for administering the State Aid for Library Construction Program through New York State Library's Division of Library Development.

The primary goals of the System's Construction Aid Policy are to:

- Assist OWWL Libraries in securing funds for capital improvement projects
- Support OWWL Libraries' Board approved Facilities Plans
- Further the OWWL Libraries' efforts to ensure their facilities are accessible to all community members

Any public or association library chartered by the Regents of the State of New York or established by an act of the New York State Legislature is eligible to apply for State Aid for Library Construction including the 42 OWWL Libraries serving Ontario, Wayne, Wyoming, and Livingston Counties.

ELIGIBILITY

Costs that are eligible for State Aid for Library Construction are outlined in New York Codes, Rules and Regulations Title 8 – Education §90.12 State Aid for Library Construction. These include site acquisition, new construction, renovation, rehabilitation, emergency generators, outdoor signage, assistive technologies, and broadband installations and upgrades.

Routine maintenance and repairs, books and materials, furniture or furnishings not part of a larger project, and landscaping are not eligible costs.

Projects should increase services, access, and/or sustainability. Libraries should refer to Education §90.12 State Aid for Library Construction and consult with the System's program administrator to determine the eligibility of their project before beginning the application process.

APPLICATION PROCESS

Each year the System establishes a timeline for the upcoming State Aid for Library Construction Aid cycle. In order to apply for Construction Aid, libraries must adhere to all deadlines.

Intent to Apply

The Intent to Apply is the first step in communicating to the System that a library intends to pursue State Aid for Library Construction. The information submitted in the Intent to Apply is used by the System's Construction Aid Award Committee to determine project eligibility and the level of funding for each library.

The Intent to Apply must include a brief description of the project, an approximate timeline of the project, contractor quote(s) with total project costs, and proof that the library has the available funds to carry out this project.

The Intent to Apply is required by the System, libraries cannot start working on the full State Aid for Library Construction Application until their Intent to Apply has been deemed eligible and approved by the System's Board of Trustees at the funding level recommended by the Construction Aid Award Committee.

Libraries that do not submit an accurate or complete Intent to Apply will be ineligible for Construction Aid for that cycle.

Determination of Awards

State Aid for Library Construction projects may be awarded up to 50% of the total approved project costs. The System's Construction Aid Award Committee will determine the level of funding for each project based on the number of eligible projects submitted that cycle and a library's three-year award history. In highly competitive cycles, the Committee may prioritize projects that improve access and include upgrading library facilities to be in compliance with current Americans with Disabilities Act Standards.

The Committee will make their recommendations for funding to the System's Board of Trustees. Libraries will be notified of their award amount following Board approval and will have one week to confirm that they are moving forward with their project. Following approval and acceptance, libraries may begin the full State Aid for Library Construction application in the State's online portal.

Libraries should be aware that in highly competitive cycles, award amounts may be less than 50%. The System cannot guarantee award percentage amounts to libraries from year to year.

REDUCED MATCH ELIGIBILITY

As the result of legislation passed in 2011, public and association libraries that are located in an economically disadvantaged community may be awarded up to 75% of their total approved project costs. Libraries should refer to the System's Reduced Match Eligibility Requirements Policy and consult with the System's program administrator to determine if their project meets the criteria for Reduced Match.

STATE AID FOR LIBRARY CONSTRUCTION APPLICATION

The System will establish a deadline for all libraries moving forward to complete the full State Aid for Library Construction Application in the online portal. Libraries are responsible for completing the application in its entirety by this deadline; libraries that do not meet this deadline will be ineligible to continue for that grant cycle and funds will be reallocated to eligible libraries.

A full timeline and overview of the application process are available to library Directors and key staff on OWWL Docs.

DLD AND DASNY APPROVAL

Following submission of the full State Aid for Library Construction Application, the Division of Library Development (DLD) and the Dormitory Authority of the State of New York (DASNY) must approve all applications prior to funding distribution.

ONGOING USE EVALUATION

The System's Construction Aid Policy will be evaluated periodically by the Executive Director, system staff, and Board of Trustees, and may be changed or terminated at any time at the discretion of the Executive Director as authorized by the Board of Trustees.

Adopted: February 9, 2022

FREEDOM OF INFORMATION LAW POLICY

PURPOSE

The primary goals of the OWWL Library System's FOIL Policy is to establish:

- The Administrator of system records
- The process for requesting information from the system
- The system's process for responding to information requests

New York State's Freedom of Information Law allows members of the public to access records from certain agencies. The full scope of Public Officers Law Article 6 §87 can be found on the New York State Committee on Open Government website.

ADMINISTRATION

The Executive Director and Finance Director are the Administrators of system records. The Administrators will receive, process, and respond to all inquiries relating to the availability of System records pursuant to the Freedom of Information Law.

REQUESTS

- Shall be submitted to the Administrators in writing or via email and shall specify whether the requester wishes to see and read the requested record or to receive a copy.
- Shall include the name, mailing address, and telephone number of the requester and specific details to sufficiently identify the information requested.
- Shall be answered within five business days of the date the request is received.

ACCESS

When access to records is granted, records may be inspected at the system headquarters in the presence of an Administrator during regular hours of operation and arranged in advance with an Administrator. If the original of the record includes information, details, and/or particulars requiring deletion, the requester shall only be permitted to inspect a copy of the record with deletions. Copying of the record will be performed only by an Administrator. No original records may be removed from the custody of the System.

If the information is not available or a request for information is denied, the Administrators shall notify the requester in writing.

APPEALS

Should a request be denied, the denial may be appealed in writing to the President of the Board of Trustees by the requester.

COMPLIANCE

As a cooperative public library system and not a municipal, school district, or legislative district entity, the System is not bound to conform to the requirements of the New York Freedom of Information Law. However, the System strives to meet expectations of transparency and will consider all information requests under the provisions of the law.

ONGOING USE EVALUATION

The Freedom of Information Law Policy will be periodically evaluated in relation to the mission of the OWWL Library System and in accordance with all local, state, and federal laws and regulations by the Executive Director, Finance Director, and Board of Trustees. The Administrators may update or modify the FOIL Policy as necessary. Modifications must be reviewed and approved by the Board of Trustees.

Questions or concerns regarding OWWL Library System records or this policy should be directed to the Executive Director.

Amended: April 13, 2022
Adopted: September 9, 2020

OPEN MEETINGS POLICY

PUBLIC MEETINGS

In accordance with Article 7 of New York State's Public Officer's Law, as well as Education Law Title 1, Article 5, Section 260a, the OWWL Library System's Board of Trustee meetings shall be open to the general public.

Executive sessions may be called as a portion of the open meeting and appropriate business transacted in accordance with Article 7, Section 105 of Public Officers Law.

Minutes of an open meeting will consist of a record or summary of all motions, proposals, resolutions, remote attendance, and any matter formally voted upon and the vote thereon. Minutes of a public meeting will be posted to the System's website and otherwise made available two weeks following the date of the meeting.

Regular board meetings are scheduled for the second Wednesday of each month. The Board of Trustees will meet at least eight times each year. Meetings are generally held at the System Headquarters in Canandaigua, NY beginning at 5:00 pm.

Notice of the time, place, and the use of videoconferencing of each meeting is given to the public and news media at least one week in advance of the meeting.

REMOTE ATTENDANCE OF TRUSTEES WHEN VIDEOCONFERENCING

On April 9, 2022, Governor Hochul signed Chapter 56 of the Laws of 2022 relating to the New York State budget for the 2022-2023 state fiscal year. Included in the bill is an amendment to the Open Meetings Law (OML) to make permanent (until July 1, 2024) the expanded use of videoconferencing by public bodies to conduct open meetings, under extraordinary circumstances, regardless of a declaration of emergency.¹

The following procedure will govern the use of videoconferencing and System board meetings.

1. Members of the board of trustees are required to be physically present at any duly noticed meeting unless such member is unable to be physically present due to extraordinary circumstances (including disability, illness, caregiving responsibilities, or any other significant or unexpected factor or event which precludes the member's physical attendance at such meeting).
2. Except in the case of executive sessions conducted pursuant to section one hundred five of the Open Meetings Law, and consistent with the requirements of the Not-for-Profit Corporation law, the trustees shall ensure that members of the public body can be heard,

¹ New York State Committee On Open Government Questions And Answers Chapter 56 Of The Laws Of 2022, <https://opengovernment.ny.gov/system/files/documents/2022/04/chapter-56-of-the-laws-of-2022-guidance-document-4-15-22.pdf>

- seen and identified, while the meeting is being conducted, including but not limited to any motions, proposals, resolutions, and any other matter formally discussed or voted upon.
3. Minutes of the board meetings involving videoconferencing shall include which, if any, members participated remotely and shall be available to the public pursuant to section one hundred six of the Open Meetings Law.
 4. If videoconferencing is used to conduct a board of trustees meeting, the public notice for the meeting shall inform the public that videoconferencing will be used, where the public can view and/or participate in such meeting, where required documents and records will be posted or available, and identify the physical location for the meeting where the public can attend.
 5. The board of trustees shall provide that each meeting conducted using videoconferencing shall be recorded and such recordings posted or linked on the library's website within five business days following the meeting, and shall remain so available for a minimum of five years thereafter, and such recordings shall be transcribed upon request.
 6. If videoconferencing is used to conduct a meeting, the library shall provide the opportunity for members of the public to view such meeting via video, and to participate in proceedings via videoconference in real time where public comment or participation is authorized and shall ensure that videoconferencing authorizes the same public participation or testimony as in person participation or testimony.
 7. For so long as the board of trustees elects to utilize videoconferencing to conduct its meetings, the library will maintain an official website, which is <https://owwl.org/system>.
 8. Consistent with the System's mission to serve its community, the trustees' use of videoconferencing shall utilize technology to permit access by members of the public with disabilities consistent with the 1990 Americans with Disabilities Act (ADA).

PUBLIC COMMENT

The OWWL Library System Board of Trustees welcomes public comment at meetings governed by Open Meetings Law. The purpose of this section is to ensure that interested parties representing various points of view are allowed time to present their views while permitting the Board to conduct their meeting in an efficient and effective manner.

Any person shall be permitted an opportunity to address the OWWL Library System Board under the following guidelines:

- Public comments are permitted during the time designated on the library board agenda, unless otherwise directed by the Board President.
- At the beginning of the Public Comments segments of the meeting, the Board President or designee will ask if anyone wishes to address the Board and will determine the order in which speakers will be recognized.
- Each speaker will be asked to provide their name and group affiliation (if any).
- Each speaker will be allowed a maximum of three minutes to address the Board; the Board President or presiding officer will monitor time limits for each speaker.
- Comments shall relate to legitimate OWWL Library System Board of Trustees business.
- All comments shall be made with civility and courtesy. The Board President or presiding officer may prohibit further comment if proper decorum is not displayed.

- The Board is not required to provide an immediate response or take action on any speaker comments.
- Minutes of public meetings are a summary of discussion on all matters proposed, deliberated or decided by the Board, thus, public comments and written materials submitted by the public may not be reflected in the minutes.

PUBLIC RECORDING, PHOTOGRAPHING, BROADCASTING, AND WEBCASTING

The OWWL Library System recognizes the requirement of the NY State Open Meetings Law to allow the public to photograph, broadcast, and webcast its open public meetings. Section 103(2) of the Open Meetings Law allows public bodies to adopt rules about the location of equipment and personnel used to photograph broadcast webcast or otherwise record a public meeting. The System adopts the rules outlined below.

Also, per Section 103(2) of the Open Meetings Law, these rules shall be posted at the location of each meeting. These rules will also be included in the public posting for each meeting so the public attending can have notice of and abide by such rules.

Adopted Rules for the Public Recording, Photographing, Broadcasting, or Webcasting of a Meeting:

1. No extension cords or other potential tripping hazards may be set up;
2. No flash photography or additional lighting may be used;
3. No recording instrument shall be closer than four feet of a meeting participant, without that person's express consent;
4. All equipment should be silent enough to not cause a disruption;
5. Equipment must not block aisles or exits and may not impede the view of other attendees;
6. Equipment must be maintained, monitored, and attended at all times by the owner of said equipment;
7. The OWWL Library System is not responsible for damaged, lost, or malfunctioning equipment; and
8. The "Guest" WiFi network may be used by the public attending meetings;

The privilege to record in this manner at the System is limited to open meetings of the board.

When enforcing this rule with regards to the manner of recording, the System board of trustees shall ensure that the First Amendment of the United States Constitution, and Article I, Section 8 of the New York constitution are honored.

*Amended: June 8, 2022; February 10, 2021; March 9, 2016
Adopted: February 14, 2001*

INTERLIBRARY LOAN POLICY TO CORRECTIONAL FACILITIES

IN-SYSTEM INTERLIBRARY LOAN

The member libraries of OWWL Library System (the System) provide resources from their collections to the correctional facility libraries. Libraries may choose to limit new materials or certain formats.

The correctional facility librarian places a hold on the desired title in the OWWL catalog. The Evergreen ILS targets a member library to fill the hold. The library sends the item to the System HQ where the Outreach Department processes the item, assigning it a due date, and puts it in delivery to the requesting facility. Correctional Facility Borrower accounts have the following user policies in Evergreen:

- Loan period is six weeks
- Number of items allowed checked out at one time is 400
- Number of holds allowed are 200
- Number of overdue items/fees allowed before the facility's account is blocked is set to 50 items or \$100, whichever occurs first.
- Any item with metal (binding and/or hardware) will not be loaned to the facility
- Books with CD/DVD will have the disc removed before loaning to the facility
- Periodicals will not be loaned to correctional facilities

Correctional facilities may request to renew an item by contacting the System Outreach Department. System HQ staff will contact the loaning library to request permission.

OUT-OF-SYSTEM INTERLIBRARY LOAN

PLS will not process out-of-system ILL for correctional facilities. However, if an item is requested that is not available within the OWWL system, all efforts will be made to purchase the requested titles using the requesting facility's Special Loan Fund.

DAMAGED OR LOST MATERIALS

All ILL materials should be inspected upon arrival at the member library/facility. Any damage should be noted before the item is checked out to the patron. The System or correctional facility staff may decide not to check the item out to the patron. Correctional staff should contact the System if an item is being returned damaged.

The System Outreach Department staff will request a bill from member libraries for damaged or lost items. Special Loan funds will be used to pay for these bills.

DELIVERY OF IN-SYSTEM INTERLIBRARY LOAN

- Delivery to the correctional facilities are made once per week

- Each week a locked delivery tote (with returned items) should be returned to the System
- Correctional facility staff will share changes in delivery locations with the System's Outreach Department who in turn will share it with the System's Finance Director and drivers.
- There will be a maximum of two delivery bins per facility each week.

*Amended: April 13, 2022; February 10, 2021
Adopted: December 13, 2017*

RECORDS RETENTION POLICY

PURPOSE

The primary goals of the System Records Retention Policy are to:

- Establish guidelines for complying with legal, fiscal, and administrative requirements for records retention
- Maintain a consistent records management program
- Consider the historical value of documents before disposal

For the purposes of this policy, “records” refers to both paper and electronic documents and files, including email. Therefore, any electronic records that fall into one of the document types on the Document Retention Schedule will also be maintained for the appropriate amount of time.

ADMINISTRATION

The Executive Director and Finance Director shall be the administrators of the Records Retention Policy. The Administrators’ responsibilities include supervising and coordinating the retention, destruction, and disposal of documents pursuant to the Document Retention Schedule outlined in this policy.

EMERGENCY PLANNING

PLS records will be stored in a safe, secure, and accessible location. Documents and financial files that are essential to system operations will be duplicated and/or backed-up regularly and maintained off-site.

RECORDS RETENTION SCHEDULE

Record(s)	Years Retained
Accounts Payable Ledgers and Schedules	7 years
Accounts Receivable Ledgers and Schedules	7 years
Agendas and other Board Meeting Documents	7 years
Audit Reports	Permanently
Bank Reconciliations	7 years
Bank Statements	7 years
Board of Trustee Meeting Minutes	Permanent
Cash Disbursements and Receipts	7 years

Cancelled Checks (important or special purchases)	Permanently
Cancelled Checks (routine purchases)	7 years
Charter, Bylaws, and Amendments	Permanently
Chart of Accounts	Permanently
Claim Sheets, Vouchers, and Supporting Bills	7 years
Correspondence (legal and important matters)	Permanently
Correspondence (customers and vendors)	2 years
Depreciation Schedules	Permanently
Employee Benefit Plans	Permanently
Employer Identification (EIN)	Permanently
Employment Applications	3 years
General Ledger and Journal	Permanently
Grant Applications, Agreements, Narratives, Evaluations, and Closeout Reports	7 years after close of grant
Insurance Policies	Permanently
Insurance Records, Accident Reports, Workers Compensation, and other Claims	Permanently
Internal Audit Reports	3 years
Inventories of Materials, Equipment, and Supplies	7 years
Invoices to Customers and Member Libraries	7 years
IRS Exemption Determination Letter (Federal and State)	Permanently
Licenses and Permits	Permanently
Payroll Records	7 years
Personnel Files	Permanently (NYSLRS recommendation)
Policies and Procedures Manual	Current version noted with dates of revision
Property Deeds, Mortgages, and Bills of Sale	Permanently
Property Leases	Permanently
Property Tax	Permanently
Receiving Paperwork from Technical Services	1 year
Retirement and Pension Records	Permanently

Strategic and Long Range Plans	7 years after expiration
Tax Returns, Worksheets, and Rulings	Permanently
Timesheets	7 years
Trademark Registrations and Copyrights	Permanently
Year-End Financial Statements	Permanently

DOCUMENT DESTRUCTION & DISPOSAL

The Administrators are responsible for the ongoing process of identifying records which have met the required retention period and overseeing their destruction and disposal. Destruction of financial and personnel-related records will be accomplished by shredding. Document destruction will be suspended immediately upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

COMPLIANCE

Unauthorized removal or modification of records from the System is not permitted. Destruction or disposition of records not in accordance with the Records Retention Schedule is prohibited.

ONGOING USE EVALUATION

The Records Retention Policy will be periodically evaluated in relation to the mission of the OWWL Library System and in accordance with all local, state, federal laws and regulations by the Executive Director, Finance Director, and Board of Trustees. The Administrators may update or modify the Document Retention Schedule as necessary. Modifications must be reviewed and approved by the Board of Trustees.

Questions or concerns regarding OWWL Library System records or this policy should be directed to the Executive Director.

Revised: April 13, 2022; December 13, 2017

Reviewed: September 9, 2020

Adopted: February 11, 2009

REDUCED MATCH ELIGIBILITY REQUIREMENTS

As a result of legislation passed in 2011, public and association libraries that are located in an “economically disadvantaged community” may be awarded up to 75% of the total approved project costs for the State Aid for Library Construction Program.

To qualify for consideration for the reduced match option, libraries in the System must be located in a county that meets at least two of the following criteria:

- the unemployment rate of the county is above the New York State average
- the median household income of the county is below the NYS average
- the percent of people below the poverty level residing in the county is above the NYS average
- the percent of high school graduates in the county is below the NYS average,
- the percent of people with a Bachelor’s Degree or higher education in the county is below the NYS average

Additionally, as stated in the legislation, the System’s Board of Trustees shall give particular attention to how the project addresses the library service needs of the economically disadvantaged community or communities, as described in the application.

The most recent United States Census data available will be drawn for the area best representing the service area of the applying library. Should there be more than one possible Census area, the level that brings the library closer to qualifying for reduced match will be used.

Amended: February 9, 2022; June 8, 2016

Reviewed: March 10, 2021; May 13, 2015

Adopted: June 13, 2012

SELECTION AND RECONSIDERATION OF MATERIALS POLICY

BACKGROUND INFORMATION

The OWWL Library System (the System) supports the intellectual freedom of all library users by supporting their freedom to access materials, seek information, and speak freely as guaranteed by the First Amendment.

The System also supports the American Library Association's Freedom to Read Statement and Library Bill of Rights when acquiring and managing collections.

OBJECTIVE

The System's collections are developed and managed to meet the majority of the cultural, informational, educational, and recreational needs of the System's service area. The System's staff builds and maintains a patron-oriented collection by anticipating and responding to needs and expectations.

Collection decisions are made in conjunction with the strategic initiatives of the System and member libraries.

RESPONSIBILITY FOR SELECTION

System staff contributes to the development of patron and member library-oriented collections by:

- Interacting with patrons and member libraries with understanding, respect, and responsiveness;
- Handling all requests equitably;
- Working in partnership with one another to understand and respond to community needs;
- Understanding and responding to rapidly changing demographics, as well as societal and technological changes;
- Recognizing that materials of varying complexities and formats are necessary to satisfy diverse needs of library users;
- Balancing individual needs and broader community needs in determining the best allocation of collection budget for acquiring or providing access to materials and information;
- Seeking continuous improvement through ongoing measurement; and
- Reviewing the collection on a regular basis to identify areas of community interest that may need to be strengthened.

SELECTION CRITERIA

The following criteria will guide the selection of materials for System collections:

- Present and potential relevance to community needs;

- Suitability of physical form for library use;
- Suitability of subject and style for the intended audience;
- Cost;
- Importance as a document of the times;
- Relation to the existing collection and to other materials on the subject;
- Attention by critics and reviewers;
- Potential user appeal;
- Requests by library patrons; and
- Requests by member libraries.

SELECTION OF CONTROVERSIAL TOPICS

A balanced collection attempts to represent all sides of controversial issues as far as availability of materials, space, and budget allow. Selection is based upon the criteria stated in this policy. The race, religion, nationality, or political views of an author or creator; offensive language; depictions or descriptions of violence or sexually explicit activity; controversial content of an item; or endorsement or disapproval by an individual or group in the community does not cause an item automatically to be included or excluded from the library's collection.

System Collections and Acquisitions

System collections include, but are not limited to, the OWWL2Go (OverDrive) collection, the professional collection, and Book Discussion Kits.

The Collection & Resource Coordinator, in partnership with member libraries and System staff, will focus on collection acquisition and weeding for System collections. The Executive Director assumes responsibility for the oversight of all System collections.

COLLECTION MAINTENANCE AND WEEDING

The System continually withdraws items from its collections, basing its decisions on a number of factors, including publishing date, frequency of circulation, community interest, and availability of newer or more valid materials. Items dealing with local history are an exception, as are certain classics and award-winning children's books. Fiction that was once popular but no longer in demand and non-fiction books that are no longer useful are withdrawn from the collection.

RECONSIDERATION OF SYSTEM MATERIALS

Materials made available by the System present a diversity of viewpoints, enabling citizens to make the informed choices necessary in a democracy. The System also selects a wide variety of library materials that satisfy the diverse interests of our community. The System upholds the right of the individual to secure these resources, even though the content may be controversial, unorthodox, or unacceptable to some. The System's varied collection is available to all; however, it is not expected that all of the collection will appeal to everyone.

Patrons who wish to request the withdrawal or reclassification of materials currently owned by the System are encouraged to discuss their concerns with the Executive Director. If the patron is not satisfied with the response to their request, the Executive Director will provide the patron with information and a form (Appendix A) to request formal reconsideration of the library resource.

All formal reconsiderations requests will be evaluated based on the criteria in this policy by the Executive Director, Collection & Resource Coordinator, and the Audit Committee of the System Board. A final determination will be developed and kept on file for a minimum of two years. A title will not be reviewed more than once in this two-year period.

Adopted: April 13, 2022

SYSTEM AND MEMBER LIBRARY RELATIONSHIP POLICY

BACKGROUND INFORMATION

OWWL Library System (the System) is one of the twenty-three Public Library Systems in New York State. These institutions are chartered by the Board of Regents, function under State Education Law, and are governed locally by a Board of Trustees.

The purpose of Public Library Systems is to expand the resources of local libraries, enabling them to purchase services and share resources cooperatively. The primary source of funding for most Public Library Systems in New York, including OWWL Library System, is State Aid to Libraries. Systems qualify for aid based on an approved five-year Plan of Service and Annual Report.

Public Library Systems facilitate sharing of library resources and programs so all residents have access to information and services that enhance their lives as community members and lifelong learners. System staff provide professional expertise that helps local libraries achieve their full potential.

In the most general definition, Public Library Systems serve Member Libraries and Member Libraries serve the public directly.

OWWL LIBRARY SYSTEM'S PURPOSE

The OWWL Library System exists to support the expansion and improvement of public library services in Livingston, Ontario, Wayne and Wyoming Counties. The System provides to its members consultation services, technology support, advocacy, and guidance on library related topics. The System also acts as a forum for discussion, coordination of services, and distribution of State and Federal aid across the four counties.

SYSTEM RELATIONSHIPS WITH MEMBER LIBRARIES

The System proudly offers support to its 42 Member Libraries in the form of continuing education, policy development, technology consultations, and administrative consultations.

All guidance, advice, and opinions offered by the System and its staff are advisory in nature and should never be used in lieu of appropriate legal counsel or opinions from area specific professionals.

The System holds no administrative control over any of its Member Libraries. Member Libraries have their own elected or appointed Boards of Trustees that individually govern them.

The System holds no employer/employee relationship with any of its Member Libraries. Each library employs its own Director and staff and oversees the organizational structure as it sees fit.

The System holds no responsibility or liability in governance or management decisions made locally by any of its Member Libraries.

The System holds no fiscal responsibility to any of its Member Libraries except as outlined in approved contracts or New York State Education Law in relation to the disbursement of State Aid.

The System holds no responsibility for any of its Member Libraries' technologies, computers, or software except as outlined in approved agreements between the individual libraries and the System. System technology support is available for computers newer than five years.

FORMAL AGREEMENTS BETWEEN MEMBER LIBRARIES AND THE SYSTEM

All agreements between the System and Member Libraries shall be evaluated and renewed on a regular basis. Such agreements include, but are not limited to, the System's Plan of Service, Free Direct Access Plan, OWWL Cost Shares, OWWL2Go Funding Commitments, and the Systems Access and Confidentiality of Library Records Policy.

SYSTEM-WIDE DECISION MAKING

When appropriate, System-wide policies, activities, or agreements affecting Member Libraries will be presented to the OWWL Library System Directors' Advisory Council (PLSDAC), or corresponding sub-committee, for discussion, input, and advice prior to implementation.

The System Board holds the ultimate authority on the System's activities and agreements.

Adopted: November 10, 2021

WHISTLEBLOWER POLICY AND BAR ON RETALIATION

APPLICABLE LAW

New York's Not-for-Profit Corporation Law §715-b requires the board of every not-for-profit corporation that has twenty or more employees AND in the prior fiscal year had annual revenue in excess of one million dollars to adopt, oversee the implementation of, and ensure compliance with, a "Whistleblower Policy" to protect from retaliation persons who report suspected improper conduct.

This policy must provide that "no director, officer, key person, employee or volunteer of a corporation who in good faith reports any action or suspected action taken by or within the corporation that is illegal, fraudulent or in violation of any adopted policy of the corporation shall suffer intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequence."

At the same time, New York's Labor Law §740 requires that every employer inform their employees via a posted notice that an employer may not take any retaliatory action against an employee (or a former employee, or an independent contractor) for threatening to report, reporting to a public body (after reporting to the employer), participating in the investigation of, or refusing to participate in, an illegal practice.

To support the mission of the OWWL Library System, to create a visible commitment to compliance and integrity, and to ensure compliance with the above-referenced laws barring retaliation for reporting and other action based on a reasonable belief of a violation of law or policy, the board of trustees of the OWWL Library System adopts the following policy:

POLICY

- 1) No director, officer, key person, employee or volunteer of a corporation who in good faith reports any action or suspected action taken by or within the corporation that is illegal, fraudulent or in violation of any adopted policy of the corporation shall suffer intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequence; and
- 2) No employee*, former employee, or persons employed as independent contractors shall be retaliated against for:
 - a. disclosing, or threatening to disclose, to a supervisor or to a public body* an activity, policy or practice of the employer that the employee reasonably believes is in violation of law, rule or regulation or that the employee reasonably believes poses a substantial and specific danger to the public health or safety, or
 - b. providing information to, or testifying before, any public body conducting an investigation, hearing or inquiry into any such activity, policy or practice by such employer; or
 - c. objecting to and/or refusing to participate in any such activity, policy or practice.

*A NOTE FOR EMPLOYEES: The Labor Law's protection against retaliatory action pertaining to "disclosure to a public body" shall NOT apply to an employee who makes such disclosure to a public body unless the employee has made a good faith effort to notify the OWWL Library System by bringing the activity, policy or practice to the attention of the Executive Director or the Board President and has afforded the OWWL Library System a reasonable opportunity to correct such activity, policy or practice.

That said, such employer notification shall NOT be required where: (a) there is an imminent and serious danger to the public health or safety; (b) the employee reasonably believes that reporting to the supervisor would result in a destruction of evidence or other concealment of the activity, policy or practice; (c) such activity, policy or practice could reasonably be expected to lead to endangering the welfare of a minor; (d) the employee reasonably believes that reporting to the supervisor would result in physical harm to the employee or any other person; or (e) the employee reasonably believes that the supervisor is already aware of the activity, policy or practice and will not correct such activity, policy or practice.

- 3) The Executive Director is designated to administer this policy, to receive reports, to coordinate investigations and to report to the board as required in the below "Procedure."

PROCEDURE

Reporting

- 1) Directors, officers, key persons, or volunteers may report suspected any action or suspected action taken by or within the corporation that is illegal, fraudulent or in violation of any adopted policy of the corporation to the Executive Director or the Board President.
- 2) Employees may report action by the employer that the employee reasonably believes is in violation of law, rule or regulation, or that the employee reasonably believes poses a substantial and specific danger to the public health or safety by contacting the Executive Director or Board President verbally or in writing.

RESPONSE & INVESTIGATION

Upon receiving a report, the Executive Director, or in the case of a conflict or risk of bias, their designee, shall immediately initiate a threshold review to determine if the reported activity, if it occurred, would be illegal, fraudulent, in violation of any adopted policy of the corporation or poses a substantial and specific danger to the public health or safety.

If the reported activity does not rise to the level of warranting an investigation under this policy, the Executive Director will alert the reporter as to the determination and confirm that no further action will be taken under this Policy.

If the reported activity does rise to the level of warranting an investigation under this or any other policy, the Executive Director will develop an investigation plan that limits those aware of the report on a need-to-know basis and sets out context-specific procedures for ensuring confidentiality during any follow-up.

If the reported activity does rise to the level of warranting an investigation under this policy, but the alleged behavior falls under another policy with its own provision for investigation (such as Non-Discrimination, Sexual Harassment, or Conflict of Interest) the matter will be investigated by the relevant policy. However, to preserve the confidentiality of reporters, at all times, receipt, evaluation, and investigation of reports under that relevant policy shall be planned to limit those aware of the report on a need-to-know basis.

To ensure prompt investigations and to avoid any appearance of bias, the Executive Director is allowed to retain third parties to evaluate reports, to conduct investigations, and to present their findings to the board. Such use of a third party shall be disclosed to the reporting individual so they are apprised of the delegation of responsibility. All third parties so delegated to shall sign a contract with written assurance of confidentiality.

Barring unusual circumstances, investigations should be initiated within three business days of a report, and concluded within sixty days of a report, unless the subject matter of the report warrants investigation under a policy with a different deadline.

EVALUATION OF REPORTS

After investigation of the report, the person designated as the investigator will generate a "Confidential Whistleblower Report" setting forth a) the original report with the reporter's identity redacted (unless it is a material component of the report) and the initial determination of what law, regulation, policy, or risk it implicates; b) a timeline; c) other evidence gathered, including but not limited to interviews, document evaluation, and d) conclusions of fact, including a determination as to if any of the reported or discovered activity was illegal, fraudulent, or in violation of any adopted policy of the corporation, or poses a substantial and specific danger to the public health or safety.

The Confidential Whistleblower Report will then be submitted in confidence to the Board of Trustees for evaluation.

A person who is the subject of a whistleblower complaint may not be present at or participate in Board of Trustee deliberations or vote on the matter relating to such complaint. However, the Board of Trustees may request that the person who is subject to the complaint present information as background or answer questions at a committee or board meeting prior to the commencement of deliberations or voting relating thereto.

The Board may consult legal counsel as needed and will meet in executive session to review, discuss, and deliberate on any Confidential Whistleblower Report, prior to voting on a final resolution per the requirements of the Public Officers' Law.

COMPLAINTS OF RETALIATION

Any adverse impact or prohibited retaliation or suspected retaliation prohibited by this policy should be reported to either the Executive Director, or the Board President.

Upon receiving a report of retaliation prohibited by this policy, either authority, or their designee, will initiate a threshold review to determine if the reported activity, if it occurred, would be an adverse consequence barred by this policy, and also determine if immediate interim action is needed to address real or potential ongoing negative impacts.

If the reported activity does not rise to the level of warranting an investigation under this policy, the reviewing authority will alert the reporter as to the determination and confirm that no further action will be taken.

If the reported activity does rise to the level of warranting an investigation under this or any other policy, the Executive Director will develop an investigation plan that limits those aware of the report to a need-to-know basis and sets out context-specific considerations for ensuring confidentiality during any follow-up.

Barring unusual circumstances, investigations under this section "4" should be initiated within three business days of a report, and concluded within thirty days of a report, unless the subject matter of the report warrants investigation under a policy with a different deadline.

The Board will direct appropriate action, including termination or employment, contract, or appointments, if a person or persons have violated the prohibitions in this policy.

PUBLICATION

It is important that our people know of their rights and protections.

Therefore, a copy of this policy be distributed to all officers, key persons, employees, and to volunteers who provide substantial services to the corporation and a copy shall be posted conspicuously in easily accessible and well-lighted places customarily frequented by employees and applicants for employment, including the following:

- 1) The Staff Break Room
- 2) The Board Room
- 3) On the website at <https://pls-net.org/policies>

DEFINITIONS

For purposes of this policy, "retaliation" against employees, former employees, or an independent contractor means an adverse action taken by an employer or his or her agent to discharge, threaten, penalize, or in any other manner discriminate against any employee or former employee exercising his or her rights under this section, including (i) adverse employment actions or threats to take such adverse employment actions against an employee in the terms of conditions of

employment including but not limited to discharge, suspension, or demotion; (ii) actions or threats to take such actions that would adversely impact a former employee's current or future employment; or (iii) threatening to contact or contacting United States immigration authorities or otherwise reporting or threatening to report an employee's suspected citizenship or immigration status or the suspected citizenship or immigration status of an employee's family or household member (as defined in subdivision 2 of §459-a of the New York Social Services Law), to a federal, state, or local agency.

"Retaliation" against directors, officers, key persons, or volunteers also includes, but is not limited to: intimidation, harassment, discrimination or, in the case of employees, adverse employment consequences.

"Public body" as used in this policy includes the following: (i) the United States Congress, any state legislature, or any elected local governmental body, or any member or employee thereof; (ii) any federal, state, or local court, or any member or employee thereof, or any grand or petit jury; (iii) any federal, state, or local regulatory, administrative, or public agency or authority, or instrumentality thereof; (iv) any federal, state, or local law enforcement agency, prosecutorial office, or police or peace officer; (v) any federal, state or local department of an executive branch of government; or (vi) any division, board, bureau, office, committee, or commission of any of the public bodies described in subparagraphs (i) through (v) of this paragraph.

WHISTLEBLOWER POLICY ACKNOWLEDGMENT & CERTIFICATION FORM

To be completed by Trustees, Officers, Employees, and Volunteers.

I, _____, hereby certify that:

- a) I have received a copy of the OWWL Library System's Whistleblower Policy and Bar on Retaliation Policy (the "Policy");
- b) I have read and understand the Policy; and
- c) I agree to comply with the Policy.

Signature: _____

Date: _____

*Amended: February 9, 2022; February 10, 2021
Reviewed: January 13, 2016
Adopted: October 14, 2015*

FINANCIAL POLICIES

ANNUAL AUDIT POLICY

The System's Board of Trustees will retain the services of a Certified Public Accounting Firm who will provide advice and consultation to the Board, the Executive Director, and the Finance Director.

At the close of each fiscal year, the Accounting Firm will perform the annual audit in accordance with generally accepted government accounting principles (GAGAS) and in conformity with the requirements of the New York State Office of the Comptroller. Upon completion of the audit, the Accounting Firm shall provide a written report and opinion letter to the Audit Committee for review and then to the Board of Trustees at the regularly scheduled meeting. It is understood that any findings of the year-end audit that require corrective action will be discussed and remedied in a timely manner.

Fifteen days after receipt and approval by the Board of Trustees, the Executive Director shall make available the audit and report to anyone who wishes to view it.

Every five years, the System will put the audit out to bid in accordance with the Procurement Policy.

*Amended: February 9, 2022; September 9, 2020; December 13, 2017
Adopted: May 14, 2015*

ASSIGNED RESERVES POLICY

The OWWL Library System maintains assigned reserve funds for the purpose of responsible fiscal planning. The Executive Director and Finance Director monitor the balance requirements of Reserve categories and present any necessary revisions to the Board of Trustees at a regularly scheduled Board meeting. Outside counsel from Public Accounting Firm approved by Board of Trustees may be necessary to adequately ensure reserve balances are appropriate.

Assigned Reserve funds may be established by the Board of Trustees with a resolution. A budget amendment and motion by the Board of Trustees is required to move funds from or to the Operating Budget and Reserve Funds.

Computer/Technology Reserve: These funds are established for large technology projects and general emergency replacement, outside the scope of annual budget needs.

Capital Improvement Reserve: These funds are established for large capital projects and general infrastructure replacement such as HVAC/siding/roofing beyond the scope of annual budget needs.

Vehicle Reserve: These funds are established for purchase of vehicles as needed. Vehicles are routinely replaced at 200,000 miles.

Cash-Flow Reserve: These funds are established to ensure a cash flow reserve adequate to cover operating expenses from January (the beginning of our fiscal year) through July. The earliest we can expect our State Aid is August.

Library Advocacy Day Reserve: These funds are donations received to support the System initiatives for Library Advocacy Day. Unexpended funds are held in the reserve for the next year's expenses.

Annual Carryover Reserve: During the year-end closing process, budgeted receipts and expenditures may be outstanding as of December 31st. These outstanding monies are approved for carryover into the next fiscal year's Operating budget.

Categorical Aid Reserve: These funds are established for the carryover of categorical aid that have not been allocated to a specific project or activity.

- 1) Central Library Aid Reserve
- 2) Correctional Aid
- 3) Coordinated Outreach Library Services Aid

Contingency Reserve: These funds are established to financially insulate the System in the event of a significant cut to State Aid or shortfalls to other funding sources.

*Amended: April 13, 2022; October 13, 2021; September 9, 2020; January 13, 2016
Adopted: October 14, 2015*

BUDGET POLICY

The System operates on a January – December fiscal year.

During the fourth quarter of the current fiscal year, the Executive Director, in conjunction with the Finance Director, shall draft a preliminary operating budget for the subsequent year. The draft budget is then presented to the Finance Committee of the Board of Trustees for further discussion.

The Board of Trustees will review the proposed draft of the annual budget during a regularly scheduled meeting. Any proposed and approved amendments to the draft budget will be incorporated. The Board of Trustees will approve the subsequent year's budget by vote at a regularly scheduled meeting before the end of the current fiscal year.

The Board of Trustees will review and compare the operating budget to actual year-to-date revenue and expenses at regularly scheduled meetings. The Finance Director will add comments to the year-to-date Financial Report and discuss with the Board of Trustees any considerable differences between the operating budget and actual operating revenue and expenses throughout the year at regularly scheduled meetings.

*Amended: February 9, 2022; September 9, 2020
Adopted: June 10, 2015*

CASH MANAGEMENT INVESTMENT POLICY AND PROCEDURES

This investment policy applies to all moneys and other financial resources available for investment on its own behalf or on behalf of any other entity or individual.

The primary objectives of OWWL Library System (the System) investment activities are, in priority order:

- To conform to all applicable federal, state and other legal requirements
- To adequately safeguard principal
- To provide sufficient liquidity to meet all operating requirements
- To obtain a reasonable rate of return

DELEGATION OF AUTHORITY

The Board of Trustees responsibility for administration of the investment program is delegated to the Executive Director. The Executive Director is authorized to take the actions listed in this policy with direct authorization from the Board of Trustees.

ETHICAL ACTIVITY

Any participant in the investment process shall seek to act responsibly as custodians of the public trust and shall avoid any transaction that places System funds at unreasonable risk.

Any participant involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions (please see Conflict of Interest Policy for further details).

INTERNAL CONTROLS

The Executive Director and the Finance Director are responsible for establishing and maintaining an internal control structure to provide reasonable, but not absolute, assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition, are recorded properly, and are managed in compliance with applicable laws and regulations.

COLLATERALIZING OF DEPOSITS

All deposits of the System including certificates of deposit and special time deposits, in excess of the amount insured under the provisions of the Federal Deposit Insurance Act, shall be secured:

- By a pledge of “eligible U.S. securities” with an aggregate “market value” equal to the aggregate amount of deposits from the categories designated in “Eligible List of Securities for Collateralization of Deposits,” located at the end of this policy.

SAFEKEEPING AND COLLATERALIZATION

Eligible securities used for collateralizing deposits shall be held by the depository bank and/or a third party bank or trust company subject to security and custodial agreements at the discretion of the System.

The security agreement shall provide that eligible securities are being pledged to secure the System's deposits together with agreed upon interest, if any, and any costs or expenses arising out of the collection of such deposits upon default.

The custodial agreement shall provide that securities held by the bank or trust company, or agent of and custodian for the System, will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become the backing for any other deposit or other liabilities.

PERMITTED INVESTMENTS

The Executive Director authorized to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs in the following types of investments:

- Special time deposit accounts
- Certificates of Deposit
- Obligations of the United States of America
- Obligations guaranteed by agencies of the United States of America where the payment of principal and interest are guaranteed by the United States of America
- Obligations of the State of New York
- Obligations issued pursuant to Local Finance Law, section 24.00 or 25.00 (with approval of the State Comptroller) by any municipality, school district or district corporation
- Obligations of public authorities, public housing authorities, urban renewal agencies and industrial development agencies where the general state statutes governing such entities or whose specific enabling legislation authorizes such investments

PURCHASE OF INVESTMENTS

The Executive Director is authorized to contract for the purchase of investments:

- Directly, including through a repurchase agreement, from an authorized trading partner
- By participating in a cooperative investment program with another authorized governmental entity pursuant to Article 5G of the General Municipal Law where such a program meets all the requirements set forth in the Office of the State Comptroller Opinion No. 88-46, and the specific program has been authorized by the Board of Trustees.
- By contracting with a managed investment program.

All purchased obligations, unless registered or inscribed in the name of OWWL Library System, shall be purchased through, delivered to, and held in the custody of a bank or trust company. Such obligations shall be purchased, sold or presented for redemption or payment by such bank

or trust company only in accordance with prior written authorization from the Executive Director. All such transactions shall be confirmed in writing to the System by the bank or trust company. Any obligation held in the custody of a bank or trust company shall be held pursuant to a written custodial agreement as described in General Municipal law, Section 10.

OPERATING PROCEDURES

The Executive Director is responsible for the investment of System funds and will make investment decisions based upon projections of cash flow needs, so that investments shall mature at such times when funds are estimated to be needed for the orderly payment of library obligations.

The Executive Director is authorized to transfer System funds using any electronic transfer system(s) that reasonably assures the safety of System funds.

Electronic transfer procedures and guidelines will be established between the System and the banking institutions with which the System intends to use electronic means to transfer funds between or within banks. The Executive Director will establish internal control procedures that will provide reasonable assurance that the System's deposits are safeguarded against loss.

Funds will only be transferred between institutions in the name of OWWL Library System by using the Federal Reserve Wire Transfer (Fed Wire) system, the Automated Clearing House, the Internet, or by System check and only by the Executive Director or other staff authorized by the Board of Trustees. Funds may be transferred within the same institution only between System accounts and only as authorized by the Executive Director.

Specific information relative to each investment will be maintained in an investment log and all investment transactions will be reported to the Board of Trustees at the next monthly meeting.

APPROVED FINANCIAL INSTITUTIONS

OWWL Library System may do business with any FDIC insured banks upon review by the Executive Director and the Treasurer of the Board.

ELIGIBLE LIST OF SECURITIES FOR COLLATERALIZATION OF DEPOSITS

- 1) Obligations issued by the United States of America, an agency thereof or a United States government-sponsored corporation or obligations fully insured or guaranteed as to the payment of principal and interest by the United States of America, an agency thereof or a United States government-sponsored corporation.
- 2) Obligations issued or fully insured or guaranteed by the State of New York, obligations issued by a municipal corporation, school district or district corporation of this state or obligations of any public benefit corporation which under a specific state statute may be accepted as security for deposit of public money.
- 3) Obligations of counties, cities and other governmental entities of a state other than the State of New York having the power to levy taxes that are backed by the full faith and credit

of such governmental entity and rated in one of three highest rating categories by at least one nationally recognized statistical rating organization.

Amended: April 13, 2022; February 10, 2021; October 14, 2015

Adopted: March 11, 2009

CLAIMS AUDITOR POLICY

The Claims Auditor will be appointed by the Board to ensure that all expenditure vouchers are properly itemized and documented before payments are made. To maintain the position's independence, the claims auditor will be someone who is independent of both the purchasing and check signing functions.

RESPONSIBILITIES

- Approves vouchers and invoices submitted to the library system prior to their payment. Ensures proper documentation and itemization are provided and that payment is for proper library system purposes.
- Indicates his or her approval of claims by signing or initialing each individual voucher, which will then be forwarded to the Finance Director for the preparation of checks and to the Treasurer for approval.

AUDIT CHECKLIST

- 1) The voucher packet includes an original invoice.
- 2) The invoice specifies the description and price of the items specified on the requisition form.
- 3) The purchasing agent's signature authorized the release of the requisition form.
- 4) No unauthorized taxes are paid, discounts are taken, and shipping charges where applicable, are accurate.
- 5) There is a receiving signature indicating work has been completed and/or materials were delivered satisfactorily.
- 6) Charges are not duplicates of items already paid.
- 7) The proposed payment is for a valid and legal purpose.
- 8) The unit price billed on the invoice does not exceed the bid or contract authorization.
- 9) A contract or requisition form is on file supporting the amount paid.
- 10) There is supporting documentation if the expenditure was required to be bid.
- 11) There is evidence the Library System policy was followed (written or verbal quotes were obtained) if the expenditure was not required to be bid.
- 12) The expenditure complies with Library System policy.
- 13) Contract provisions and/or Board Motions support invoices for professional services.
- 14) Shipping address is OWWL Library System address.
- 15) The batch printout corresponds with all voucher/invoice packets; check corresponding voucher numbers on each invoice, vendor information and total to be paid. Initial your certification to each entry on the batch printout as well as on each voucher/invoice. Complete the Claims Auditor Report noting the total audited and total approved, date, and any inconsistencies with your signature.
- 16) Report any findings or concerns to the Board President and Treasurer.

*Amended: June 8, 2022; April 13, 2022; September 9, 2020
Adopted: May 13, 2015*

CREDIT CARD, STORE, AND GAS CHARGE ACCOUNT POLICY

The OWWL Library System provides for restricted use a VISA credit card, store charge accounts, and gas-only credit cards pursuant to the OWWL Library System's Procurement Policy to facilitate the daily operations of the Library System. All purchases must be for OWWL Library System use and benefit only. Neither the credit card nor any other store or gas card may be used for the purchase of personal items, alcohol or recreational substances, or tobacco products.

In the event payment cannot be accommodated by invoice, the VISA card may be used with prior approval from the Finance Director. The VISA Credit card is used primarily for staff when traveling for hotel, food, and transportation, etc.

Amended: April 13, 2022; September 9, 2020

Adopted: May 13, 2015

DISPOSAL AND SALES OF SURPLUS OR DONATED ITEMS POLICY

The Executive Director may dispose of surplus items in any legal manner. Disposals of items that originally cost more than \$2,000 should be reported to the Board of Trustees. Disposals of items that originally cost more than \$10,000 should be pre-approved by the Board of Trustees. The Executive Director is authorized to sell surplus items by using a closed bid system. The receipts of all such sales should be reported to the Board of Trustees at their next regular meeting.

The Executive Director may dispose of donated items in any legal manner. The Executive Director is authorized to sell donated items using either a closed bid system for items valued at more than \$500 or a set price system for items valued at less. The sales of items using a closed bid system should be reported to the Board of Trustees at their next meeting. The sales of items using a fixed price system should be reported to the Board of Trustees as a part of the monthly financial report.

Reviewed: September 9, 2020

Adopted: May 13, 2015

FINANCIAL INTEGRITY AND ACCOUNTABILITY POLICY

The Board of Trustees recognizes their responsibility, to the residents and taxpayers of New York State, to its member libraries, and to its member libraries' taxpayers, to assure that the Library System maintains an internal accounting and administrative control system that protects the Library System's financial resources.

The Board of Trustees will serve in an advisory and oversight role so as to assure that the integrity of the Library System's finances remain unimpeachable.

The Executive Director is responsible for developing and maintaining a system of internal financial controls that will adequately protect the Library System's assets and funds. This system of control should involve the staffing and oversight necessary to assure its success.

The internal control system should be established in accordance with the standards established by the New York State Comptroller's Office. The internal controls should be periodically reviewed, evaluated and adjusted. The Executive Director will report evaluations and changes in the internal control system to the Board of Trustees at the next regularly scheduled meeting.

The Library System's independent auditor will submit a written report on the state of the Library's internal controls as a part of the annual audit.

Amended: April 13, 2022

Reviewed: September 9, 2020

Adopted: May 13, 2015

FINANCIAL REPORTS POLICY

The Treasurer will present to the Board of Trustees a monthly financial report that will include:

- 1) Warrants
- 2) A summary of account cash balances (Cash Activity Report)
- 3) Year to Date Budget Report and Balance Sheet, including coded receipts and disbursements

Amended: April 13, 2022
Reviewed: September 9, 2020
Adopted: May 13, 2015

FIXED ASSETS CAPITALIZATION POLICY

Property and equipment are stated at cost, or in the case of donated assets, at the estimated fair market value as of the date the donation is received. Effective January 1, 2020, amounts over \$1,000 that have a useful lifespan exceeding one (1) year are capitalized. Building improvements over \$5,000 that will extend the life of said asset are capitalized.

Expenditures for maintenance, repairs, or renovations that do NOT increase the life of the asset are charged to operations as they are incurred.

The Board of Trustees approves a depreciation schedule at the close of each fiscal year.

An inventory of these assets is maintained and updated on a continual basis. An inventory schedule is prepared annually for insurance purposes.

Reviewed: September 9, 2020

Revised: January 15, 2020

Adopted: May 13, 2015

FUND BALANCE POLICY

The OWWL Library System operates on a January – December fiscal year. Since the majority of the Library System’s funding is received from New York State Aid per State Education Law between August and December, it is necessary for the Library System to establish a fund balance to carry operations through the third quarter (July-September) of our fiscal year.

The OWWL Library System shall have a fund balance adequate to meet operating expenses incurred prior to receipt of State Aid on or about August 31.

Should the Library System not have the required fund balance to finance operations, the Board of Trustees shall be alerted and/or an emergency meeting of the Board be called, at which time the following steps may be taken to maintain said operations:

- Defer spending
- Consider any of the following options, depending on prevailing conditions:
 - The Board of Trustees authorizes use of Assigned Reserves to offset cash flow on a temporary basis. Assigned Reserves are replenished upon receipt of State Aid.
 - The Board of Trustees authorizes the Executive Director to secure a Revenue Anticipation Note sufficient to meet the operational needs of the Library System in advance of State Aid receipt.

Any of the above activities shall be reported by the Executive Director to the Board of Trustees, in writing, at the next Board of Trustees meeting. The Executive Director shall maintain a record of the activity and, once any necessary reimbursement is made, notify the Board of Trustees.

Reviewed: September 9, 2020
Adopted: June 10, 2015

GIFTS AND DONATIONS POLICY

The OWWL Library System welcomes financial and material donations.

FINANCIAL DONATIONS

All gifts will be used at the Library System's discretion unless the donor requests a special usage agreement that further advances the mission of the Library System. For donations of \$10,000 or less this agreement can be made between the donor and the Executive Director. For gifts of more than \$10,000 the Board of Trustees must approve the agreement.

FINANCIAL DONATIONS FOR DIGITAL COLLECTIONS

The Library System may accept financial gifts for digital collections (i.e. OverDrive/OWWL2Go). Gifts for this purpose will be used at the discretion of the Library System and spent in the best interest of the digital collection as a whole. Donor requests for specific titles may accompany donations with the understanding that not all titles are available to the Library System and the Library System does not have control over the priority checkouts or holds.

MATERIALS DONATIONS

The Library System may accept material donations. The Library System will choose to accept materials based primarily on the condition of the item, the usefulness of the item, and whether the item complements the current holdings in the Library System's collections. The Library System retains full control over all donated materials. Donated items are added to the Library System's collections, given to other institutions, or disposed of in other ways at the sole discretion of the Library System. No agreement will be made to waive this control.

Deliveries and pick-ups of donated materials must be arranged in advance with the Executive Director.

The Library System will acknowledge all donations in writing. For all non-financial gifts, the System will estimate the fair market value based on the condition and age of the item(s). The Finance Director will use these estimates for purposes related to financial statements and accounting.

Amended: April 13, 2022; May 12, 2021

Reviewed: September 9, 2020

Adopted: May 13, 2015

MEALS AND REFRESHMENTS POLICY

From time to time, meals and/or refreshments may be deemed appropriate for a particular meeting, event or situation that is being held for business purposes.

In such instances, the requisition form procedure should be followed with as much detail as possible.

All food should be provided using our sales tax-exempt status. Additional delivery and tip charges will be allowed. The employee accepting food should indicate initials, date, and requisition form number on all receipts or invoices.

Examples of authorized categories of expenditures include but are not limited to refreshments for system-facilitated trainings or workshops for member library staff or trustees, refreshments for meetings of the System Board of Trustees that are expected to exceed two hours, meals for System staff at the System's Annual Meeting, and meals or refreshments at other meetings at which System business is conducted.

Amended: June 8, 2022
Reviewed: September 9, 2020
Adopted: May 13, 2015

ONLINE BANKING POLICY

The OWWL Library System has entered into a written agreement with Canandaigua National Bank and Trust and JP Morgan Bank for online banking services. Unique IDs and passwords are individually secured and will be changed periodically. Online banking will only take place on a dedicated virtual computer.

The Executive Director serves as the administrator on both accounts. The Finance Director is a sub-user on both accounts. Each employee with online access reviews accounts on a weekly basis for unusual activity.

All deposit accounts are held at Canandaigua National Bank. Internal account transfers, stopping payment on a check, and printing/viewing statements are authorized activities. Wire transfers and electronic payments to vendors are not allowed, except ACH debits in the following instances:

- Paychex is authorized to debit from Payroll Checking the amount of bi-weekly payroll, payroll taxes, unemployment insurance, and the payroll service fee per the submitted payroll file.
- NYS Retirement is authorized to debit from Payroll Checking the employee contributions withheld from employee's paychecks per the Monthly Retirement Report.
- Nationwide Retirement Solutions is authorized to debit from Payroll Checking the amount withheld by employees contributing to their 457 Deferred Compensation plans on each bi-weekly payroll.
- NYS Sales Tax is authorized to debit from General Checking the annual sales tax due per the annual filing.
- Shelter Point is authorized to debit from General Checking the annual Disability and Paid Family Leave per the annual filing.

The VISA credit card is viewable on the JP Morgan Chase Bank site. The administrator may add/remove cardholders, and change cardholder limits.

*Amended: June 8, 2022; April 13, 2022; February 10, 2021; June 12, 2019; May 15, 2016
Adopted: May 13, 2015*

PAYMENT OF BILLS POLICY

The fiscal year of the OWWL Library System shall run from January 1 through and including December 31.

Bills incurred by the Library System shall be presented to the Claims Auditor and the Executive Director who will authorize payment on behalf of the Board of Trustees. After such approval, the Executive Director will sign each check used for payment. The Board Treasurer, or another Board-authorized signatory, will co-sign any check for more than \$5,000, as well as any payment to the Executive Director.

Vouchers for payments will be made available to the Board of Trustees at each regular Board meeting in a manner prescribed by the Board of Trustees. The warrant of all payments made will be reviewed by Board Treasurer, presented to the Board of Trustees at a regularly scheduled meeting, and approved by Board motion. The warrant of all payments will require the signature of the Executive Director as well as either the Treasurer or an officer of the System Board.

The Executive Director may pre-pay payroll and employment tax bills from a separate payroll account requiring only the Executive Director's signature. A report of any such payments will be approved by the Treasurer and pre-paid payroll amounts will be disclosed via the Cash Activity Report to the Board of Trustees at the next regularly scheduled Board meeting.

The Executive Director may pre-pay other bills (such as utilities, personnel benefits or those that carry a significant penalty for late payment) with a check signed by the Executive Director. A report of any such payments will be made to the Board of Trustees at the next regularly scheduled Board meeting.

Amended: April 13, 2022; May 12, 2021; May 10, 2017

Reviewed: September 9, 2020

Adopted: May 13, 2015

PETTY CASH POLICY

The Library will establish an account of \$75 to be used for small purchases made at the discretion of the Executive Director or Finance Director. Receipts will be retained for all purchases made from the petty cash account and presented to the Board of Trustees as a part of the monthly warrant. The petty cash fund shall be replenished as needed following the approval of the warrant at a regular meeting of the Board of Trustees.

Reviewed: September 9, 2020

Adopted: May 13, 2015

PROCUREMENT POLICY

It is the policy of the OWWL Library System (the System) to obtain the maximum practical value when purchasing goods and services required for the effective operation of the organization consistent with the provisions of this policy, standard business practices, and in accordance with applicable laws and statutes. The System requires competitive bids for certain items and services to keep costs at a minimum; to give interested, qualified suppliers an equal opportunity to supply goods and services to the System; and, to guard against favoritism, extravagance, and fraud, waste, and abuse.

This policy sets forth the provisions to ensure compliance with applicable NYS General Municipal Law and System policies. The System is a cooperative library system. It is neither a political subdivision nor a district thereof and is not subject to General Municipal Law except when purchasing for a member library that must comply with New York State statutes.

PURCHASED ITEMS

Purchased items require requisition forms and include all goods and services obtained using System funds except the following: travel, utilities, the pass-through of funds to outside entities, and loans.

Insurance, audit, legal and other consulting and professional services do not require the issuance of a requisition form but will follow competition guidelines below.

AUTHORIZATION TO COMMIT FUNDS AND SIGN REQUISITION FORMS

Requisition forms shall be authorized by the Finance Director and approved by the Executive Director. All agreements, contracts, and commitments must be approved and signed by the Executive Director.

COMPETITION GUIDELINES - FORMAL BIDS

When the System executes procurement actions for member libraries that are required to comply with New York State Purchasing regulations, all purchasing actions will be in accordance with applicable New York State Municipal Law.

When the System executes procurement actions for itself or member libraries that are not required to comply with New York State Purchasing regulations, the practices outlined in the charts below shall apply.

Public Works (Building capital improvement projects)	Up to \$35,000	Discretion of Executive Director
Public Works (Building capital improvement projects)	Over \$35,000	Requires Request for Proposal or Request for Quote approved by Board of Trustees Minimum number of Quotes – three (3)

Purchase Items and Consulting/Professional Contracts	Up to \$20,000	Discretion of Executive Director
Purchase Items and Consulting/Professional Contracts	Over \$20,000	Requires Request for Proposal or Request for Quote approved by Board of Trustees Minimum number of Quotes – two (2)
Purchases or Services	Up to \$7,500	Discretion of Executive Director
Purchases or Services	\$7,500 - \$10,000	Requires two (2) competitive quotes approved by Executive Director
Purchases or Services	Over \$10,000 - \$20,000	Requires three (3) competitive quotes approved by Executive Director
Insurance		Requires Request for Proposal or Request for Quote approved by the Finance Committee every three (3) years Minimum number of quotes – two (2)
Audit		Requires Request for Proposal or Request for Quote approved by the Audit Committee every five (5) years Minimum number of quotes – two (2)
Legal Services		Requires Request for Proposal or Request for Quote approved by the Finance Committee every five (5) years Minimum number of quotes – two (2)

Note: Purchases may not be fragmented to avoid higher approval authorities.

SINGLE AND SOLE SOURCE PURCHASES

Single and sole source purchases are allowed. Single source purchases are those in which other qualified sources may be available but competition would not be beneficial because of prior agreements or technical considerations. Sole source purchases are those in which there are no other qualified suppliers. In the absence of competition, reasonable attempts to negotiate fair and reasonable pricing are required.

Single and sole source purchases and installment payments over \$20,000 must be approved by the System Board. Payments up to \$20,000 may be approved by the Executive Director.

MULTI-YEAR CONTRACTS

Multi-year contracts are allowed; however new quotes must be obtained when the contract expires.

Multi-year contract individual installment payments over \$20,000 must be approved by the System Board. Payments up to \$20,000 may be approved by the Executive Director.

REQUISITION FORM DOCUMENTATION

A file that includes a copy of the requisition form, records of quotes/bids, price analysis, packing slip, invoice, vendor claim form and check or voucher number will be established for each requisition form issued and filed in accordance with established procedures. If it is a sole or single source procurement or the low bidder is not chosen, adequate justification for price paid is required.

RECEIPT OF GOODS AND SERVICES

Receipt of goods and services will be verified on the requisition form by initialing and dating by a person other than the originator of the purchase.

INSPECTION

To ensure compliance with requisition form requirements, goods and services received will be inspected or verified by the originator of the request and results documented on the requisition form.

SUPPLIER QUALIFICATION

Reasonable efforts will be made to ensure suppliers providing goods and services to the System are qualified and reputable. It is the System's policy to purchase goods and services from qualified local sources when prices are fair and reasonable.

SALES TAX EXEMPTION

The System is not required to pay sales tax on purchased items.

PAYMENT FROM INVOICE

As a general rule, payments are made from an invoice. (see Credit Card Policy for exceptions).

ETHICAL PRACTICES AND CONFLICT OF INTEREST

Individuals purchasing goods and services must conduct business in a professional manner and qualified vendors must be given an equal opportunity to compete for System business. Purchasing decisions should be made with integrity and objectivity, free from any personal bias or benefit. The System's Conflict of Interest Policy provides specific guidelines regarding gifts and gratuities and System persons holding interests in suppliers doing business with the

System. Employees who would benefit financially from a given prospective supplier selling goods or services to the System may not participate nor be present during the supplier selection process.

RESPONSIBILITY

The Executive Director of the System has overall responsibility for purchasing for the System and for implementing effective procedures that comply with the requirements of this policy and demonstrate effective internal controls.

Amended: June 8, 2022; February 9, 2022; October 13, 2021; December 13, 2017

Reviewed: September 9, 2020

Adopted: May 13, 2015

RECEIPT AND DEPOSIT OF FUNDS POLICY

RECEIPT OF CHECKS

The Executive Director will designate the responsibility of opening all mail and deliveries to a specific staff member(s). The responsibility will include stamping items received, initialing, placing items in their appropriate destination, and recording all revenues in the Receipt Log (located in the mail area).

RECEIPT OF CASH

If cash is received by another staff member, the receipt should be recorded in P: forms which will print a receipt immediately for the payee if needed. A copy of the receipt and the cash is given directly to the designated staff member(s) for entry into the Receipt Log.

FREQUENCY OF DEPOSITS

Deposits will be done on a regular weekly basis.

RECEIPT LOG

The check or cash is recorded in the Receipt Log binder.

Data entered includes:

- Date
- Who funds are received from
- Cash or Check number
- Amount
- Rec'd by initials

After recording in the receipt log, the checks/cash are verified as received on the transmittal form by the Executive Director and locked in the safe.

All funds are deposited into the general operating checking account.

PREPARATION OF DEPOSIT

At the time of deposit, the designated staff member(s) totals the Receipt Log noting the date/initials. A copy of the Receipt Log is given to the Finance Director for preparation of deposit and entry into the accounting software program. The original is kept in the Receipt Log binder. The Finance Director reconciles and codes the checks/cash in the safe with the Receipt Log by noting the date and their signature on the Receipt Log. The Finance Director prepares a Deposit Report that is attached to the deposit backup detail, and the copy of the Receipt Log; and either deposits checks electronically (generating a deposit receipt) or if necessary, takes the deposit to the bank.

The Executive Director reconciles the bank deposit receipt with the Receipt Log and Deposit Report, by initialing the deposit receipt.

Amended: April 13, 2022; May 12, 2021; January 15, 2020; August 7, 2019; April 13, 2016

Reviewed: September 9, 2020

Adopted: May 13, 2015

TREASURER'S RESPONSIBILITIES POLICY

The Treasurer is an elected officer of the Board of Trustees. The Treasurer shall have charge of funds of the System. The Treasurer shall be authorized to sign checks in payment of obligations of the System as approved by the Board of Trustees. The Treasurer shall make monthly reports to the Board and such other reports as may be required from time to time.

TREASURER'S FINANCIAL OVERSIGHT RESPONSIBILITIES:

Disbursements:

- Maintains log denoting that the general checking account check numbers are sequential.
- Reviews warrant report with approved voucher/invoice packets, verifying Claims Auditor and Executive Director approval.
- Signs and dates warrant report.
- Co-signs any checks over \$5,000. Signs any checks written to Executive Director.

Payroll:

- Approves Executive Director's timesheet.
- Maintains log denoting that the payroll check numbers are sequential.
- Approves Payroll Journals with initials and date checking for consistency and proper amounts as reflected on current Salary Schedule approved by the board.
- Verifies rate/salary changes comply with board approvals.
- Verifies all direct deposit and live checks are for valid employees and purposes.

Banking:

- Reviews monthly check reconciliations.

Committees:

- Chairs Finance Committee.
- Presents budget proposals and amendments to Board.
- Presents financial reports to Board.

*Amended: April 13, 2022
Reviewed: September 9, 2020
Adopted: September 9, 2015*

TECHNOLOGY POLICIES

ACCEPTABLE USE AND INTERNET SAFETY POLICY

It is the policy of the OWWL Library System (the System) to implement measures, to the extent possible/practical, to filter, prevent, or otherwise protect against the following content or activities:

- a) Images that are obscene, child pornography, and/or harmful to minors (for computers that are accessed by minors);
- b) Access by minors to inappropriate matter on the Internet;
- c) The safety of minors when accessing, electronic mail, chat rooms, or other forms of direct electronic communications;
- d) Unauthorized access, including so-called “hacking,” and other unlawful activities by minors online;
- e) Unauthorized disclosure, use, and/or dissemination of personal information regarding minors; and
- f) Restricting minors’ access to materials harmful to them.

This policy aims to comply with the Children’s Internet Protection Act (CIPA).

SUPERVISION AND MONITORING

To accomplish filtering of the content outlined in CIPA, the System uses Meraki Firewalls at each library and manages them at the System Office.

Beyond this filtering technology, it shall be the responsibility of member library staff to supervise and monitor usage of the online computer network and access to the Internet in accordance with this policy and the Children’s Internet protection Act.

REFERENCE

Children’s Internet Protection Act (CIPA), Federal Trade Commission (FCC) -
<https://www.fcc.gov/consumers/guides/childrens-internet-protection-act>

Amended: February 10, 2021
Adopted: June 12, 2002

COMPUTER SUPPORT POLICY

BACKGROUND INFORMATION

OWWL Library System will provide cost-saving technology, computer, and networking support to member libraries.

AVAILABLE TECHNOLOGY SUPPORT

- Efficient and quality support and troubleshooting for computers and networks.
- The ability to purchase reasonably priced computers and technology through centralized technology purchasing.
- Access to IT consulting services to support technology planning, bandwidth adoption, and networking.
- Access to our prefabricated WordPress website template.

LIMITATIONS OF SUPPORT

OWWL Library System is unable to provide support for any Windows computer hardware with a manufacture date five years or older.

Repurposed computers running the Linux operating system may receive support in excess of five years at the discretion of the Computer Network Services Manager.

OWWL Library System reserves the right to refuse support to any device or software purchased outside of the scope of this policy or outside of the available centralized technology purchasing support noted above.

RECOMMENDATIONS TO MEMBER LIBRARIES

To maintain a healthy technology infrastructure, the OWWL Library System recommends replacing or upgrading 20% of a library's computers on an annual basis.

Adopted: December 8, 2021

SOCIAL MEDIA POLICY

PURPOSE

The OWWL Library System has adopted this Social Media Policy to establish guidelines, procedures, and best practices for the use of social media websites, platforms, and resources.

The primary goals of OWWL Library System's use of social media is to:

- Promote OWWL Libraries and services
- Call for library advocacy
- Share relevant community resources

When necessary, social media will also be used by the OWWL Library System to share emergency communications, public service announcements, and service-related information.

The primary audience of the System social media are the staff and trustees of the 42 member libraries; the secondary audience is the general public in the OWWL service area of Ontario, Wyoming, Wayne, and Livingston counties.

For the purposes of this policy, "social media" refers to any social media site, blog, network, and communication tools that exist now and in the future that allow public feedback and sharing on the internet including Facebook, Instagram, YouTube, and Twitter.

INTERNAL GUIDELINES

New Social Media accounts may be established with Executive Director approval and must use internal procedures for email address and password management.

Login information for social media accounts should be shared following internal procedure. Individual email addresses should not be used in the creation of new social media accounts.

Social media accounts must have more than one staff member named as an Administrator.

When posting, staff should following the following guidelines:

- All accounts should incorporate the System/OWWL branding
- Posts are representing the System/OWWL and the content created and shared is a reflection of the organization
- The tone should be consistent with the communication and marketing strategy of the organization
- Content should be written from the point of view of the "We," which represents the System as a whole
- Maintain copyright and fair use when posting content
- Content should be current, accurate, and relevant to the intended audience
- Content should be easy to read and understand

- Graphics and images should be hi-resolution
- Include links and tags when appropriate
- Respond to comments and messages as necessary
- Posts and comments should be friendly yet professional and should not include the expression of personal, political, or religious views
- PLS does not provide medical, legal, financial, investment, or other similar matters advice to library patrons or community members
- Social Media is not to be used to collect information on library patrons or community members
- All other the System policies apply equally to use of social media

MONITORING ACCOUNTS

- Social media accounts will be monitored for content that violates Acceptable Behavior (see External Social Media Policy).
- Content cannot be removed on the basis of disagreement with their viewpoint
- If content is removed, it should be printed and filed for one year
- Repeat violations of Acceptable Behavior may result in temporary or permanent removal from the system's social media page(s)
- Persons wishing to appeal a removed post or a temporary or permanent ban can file an appeal with the Executive Director to review with the Board of Trustees
- The Executive Director should be notified about any comment or posting violating acceptable behavior.

PRIVACY

OWWL Library System social media accounts will not be used to collect information about library patrons or community members by the System staff or it's Board of Trustees. However, social media is a public forum, and users should have no expectation of privacy when posting, commenting, or interacting on social media sites.

PERSONAL SOCIAL MEDIA USE

Personal use of social media is discussed in the Staff Handbook.

DISCLAIMER

The OWWL Library System is not responsible or liable for the content of postings by third parties on any the System social media account, and such postings do not reflect the opinions or positions of the System, its staff, or its Board of Trustees.

ONGOING USE EVALUATION

The role of social media in relation to the mission of the OWWL Library System will be evaluated periodically by the Executive Director, system staff, and Board of Trustees, and may be changed or

terminated at any time at the discretion of the Executive Director as authorized by the Board of Trustees.

Questions or concerns regarding OWWL Library System social media accounts or this policy should be directed to the Executive Director.

Adopted: September 9, 2020

DISASTER RECOVERY PLAN

The Board recognizes the importance of technology to System operations and has created this Technology Disaster Plan to ensure that in the event of an emergency, the System will continue without any loss of data and/or threat to security.

RECOVERY TEAM

The System Technology Recovery Team will be responsible for executing the various aspects of this plan in an effort to minimize data loss through preparation for and recovery from a disaster affecting the System. The team will include the Executive Director, the Computer and Network Services Manager, and the Technology Services Librarian.

DISASTER COMMUNICATION

In the event of an emergency or disaster, the first person on scene will contact the appropriate emergency facility then the Executive Director. The Executive Director will be responsible for notifying the Computer and Network Service Manager to implement the Disaster Recovery Plan followed by starting the System phone tree, notifying the System Board. Once the situation is under control Member Libraries will be notified about the situation.

BACKUP STRATEGY

The Computer and Network Services Manager monitors a daily backup of all System servers. This data is stored on two sets of drives and taken off site weekly in the alternating care of the Computer and Network Service Manager and Technology Services Librarian.

The backup is a snapshot of all System server data that can be loaded onto any server or computer in the event of a disaster. The server backup is tested twice a year to ensure that the backup procedure is effective.

That Financial Software and data are included in the nightly backup/weekly storage. It can be restored on a temporary server or computer in the event of a disaster.

The Evergreen Software and data are hosted off-site and would be unaffected by a disaster occurring at System headquarters.

HARDWARE

A backup System server will be housed off-site and used in the event of a disaster to upload data for technology operations. If the backup server is inaccessible, the server data can be loaded onto an individual computer at a member library to gain accesses to essential data and processes.

An inventory of the System's technology resides on the P:\Drive that will be accessible once the above backup is restored on a temporary server or computer. This inventory will be used to

evaluate recovered devices depending on the disaster and to prioritize purchases for replacement equipment.

TEMPORARY OPERATIONS

In the event of System headquarters being an unsuitable site for technology operations, System technology services will be hosted by Wood Library in Canandaigua until the System has a permanent solution for technology services. A server will be stored at the Wood Library and periodically tested.

*Amended: April 13, 2022; March 10, 2021
Adopted: October 14, 2015*

WI-FI ACCESS POLICY

The OWWL Library System supports Wireless Access Points at member libraries so that members of the public can have free Wi-Fi access during and outside of regular library hours.

It is the System's belief, based on internal research, that providing free Wi-Fi is a critical service of public libraries.

In order to guarantee the most inclusive Wi-Fi service possible, the System requests that every library using the OWWL Wireless service to agree to the following conditions:

- 1) Wi-Fi access will be available without a password or required credentials. The System will control access to the Wi-Fi network by a splash page that will communicate patron terms of use.
- 2) Wi-Fi access will be anonymous. The System does not have access to and cannot reveal personally identifying information about Wi-Fi users.
- 3) Wi-Fi access will be available to the public seven days a week and 24 hours a day.

The 24/7 Wi-Fi service may be interrupted at the request of the member library board, by using the attached Appendix A: Request for Wi-Fi Interruption form. Submitted forms will be reviewed by the Executive Director and Computer Network Services Manager followed by a consultation with the Member Library.

REQUEST FOR 24/7 WI-FI INTERRUPTION

According to the System's Wi-Fi Access Policy, Wi-Fi access will be available to the public seven days a week and 24 hours a day. The 24/7 Wi-Fi service may be interrupted at the request of the member library board, by completing and submitting the following form.

The Executive Director and Computer Network Services Manager will review the request then provide a consultation to the Member Library.

Completely fill out the following form and send to Executive Director, OWWL Library System by email (director@owwl.org).

Name: _____

Title: _____

Library: _____

- 1) Days/Times requested for service interruption
- 2) Did the library approve this request by action of the board? What was the date of the meeting at which the action was taken?
- 3) What circumstances are making it necessary to interrupt 24/7 Wi-Fi Service?

- 4) What steps are the library taking to address the circumstances requiring the service interruption?
- 5) When do you expect to restore 24/7 Wi-Fi service?
- 6) What can the OWWL Library System do to support your efforts to restore 24/7 Wi-Fi service?

Signature: _____ Date: _____

System Staff Action:

Date request received: _____

Date of Library Consultation: _____

Collaborative Decision: _____

Other Information: _____

Executive Director's Signature: _____ Date: _____

*Amended: February 10, 2021
Adopted: December 12, 2018*

FACILITY AND SAFETY POLICIES

MEETING ROOM POLICY

The mission of the OWWL Library System (PLS) is to offer member libraries the tools and services they need to reach their full potential. The System offers free use of our meeting rooms to organizations who work to further our mission by offering services that directly support our member libraries. Use of our meeting rooms are granted on equal terms if the organization complies with the policy guidelines as stated.

PLS reserves the right to deny applications for use based on the guidelines of this policy, availability of space, staff coverage, past violation of the System policy, and frequency of use.

PROCEDURES AND GUIDELINES

PLS sponsored programs will receive priority in scheduling; outside, non-profit organizations will be considered on a first-come basis subject to the following procedures and guidelines:

RESERVATIONS

- An email request must be submitted to info@pls-net.org by the sponsoring organization or representative with organization name, date/time of the meeting, contact information for the responsible party, a brief description of the meeting room use, and how the use of the meeting room will further the mission of the system. The System reserves the right to obtain additional information when necessary.
- Meeting rooms can only be used during the System's regular business hours: M-F, 8:30am - 4pm.
- Meeting rooms may be reserved up to three months ahead of the organization's meeting.
- Once a room request is approved, an organization can coordinate the request with the administration department.
- Audio/Visual equipment, if requested in advance, may be available for meeting room use.
- PLS will not supply materials for non-PLS sponsored events.
- Food and refreshments are permitted in select meeting rooms. A kitchenette can be made available upon request. The System does not permit the use of alcohol or open flames/external heating elements.
- Cancellation of a scheduled meeting room should be done two days before the use date.

MEETING ROOM USE

- PLS does not permit the use of its meeting rooms that may involve public events, commercial purposes, fundraising, illegal/hazardous activities, political campaigning, solicitations, or meetings that fail to support the mission of the System.
- Smoking and alcohol consumption are not permitted on the System property.
- Attendance shall not exceed the permitted capacity of the meeting room.
- Sponsoring organizations may rearrange tables and chairs for meetings; however, once the meeting has ended, the room must be returned to its original configuration.
- PLS maintains a "carry-in/carry-out policy" for meeting room use.

- Please be aware that meeting organizers and/or the attendees are responsible for any damage or personal property loss. Any damage to the room or equipment that warrants professional cleaning or repairs and associated costs will be borne by the requested party.

OTHER FACTORS

- Failure to comply with any of the System's policies and guidelines may result in termination of the meeting and/or future loss of meeting room usage.
- Any organization meeting at the System does not have the System endorsement for the beliefs and policies of that organization.
- The sponsoring organization is responsible for its own publicity and should clearly state sponsor name, date, time and place of the event on all promotional materials.
- For damage to any room or equipment that necessitates professional cleaning or repairs, the meeting applicant will be held responsible for all associated costs.
- No group or organization may use the System's logo to promote or advertise their meeting without prior approval of the Executive Director.
- Notice it is the System policy that if the Canandaigua City School District closes for inclement weather, then the System headquarters will cancel any prior scheduled meetings or activities.

ENTRANCE AND PARKING

Building entrances and meeting rooms are located at the east (far) end of the building. Free parking is also available at the east end of the building.

Adopted: October 16, 2019

PANDEMIC RESPONSE PLAN

PURPOSE

The OWWL Library System (PLS) has adopted this Pandemic Response Plan in compliance with New York State Labor Law §27-c to implement operational plans in the event of certain declared public health emergencies including, but not limited to, novel coronavirus (COVID-19) or other communicable disease or pandemic illness.

The primary goals of this Pandemic Response Plan are to establish:

- The roles and responsibilities during all phases of a public health emergency
- Preparedness activities and response protocols
- Coordination and decision making for the continuation of operations

The Pandemic Response Plan is designed to ensure precautionary action, appropriate response, and recovery measures to a public health emergency involving a communicable disease threatening to impact or immediately impacting the System staff and trustees, member library staff, and the communities served by the member libraries.

ADMINISTRATION

The Executive Director as authorized by the Board of Trustees administers the Pandemic Response Plan. This includes activating the plan, establishing an internal communications network, and coordinating all response and recovery activities. If for any reason, the Executive Director is unable or unavailable to administer the plan, the administrative authority shall be passed to the Finance Director.

DEFINITIONS

The following terms are hereby defined for the purposes of this policy:

- **Personal Protective Equipment (PPE):** Equipment worn to minimize exposure to a communicable disease or pandemic illness as mandated by local, state, or federal law and/or any Executive Orders related to the public health emergency or mandates issued by federal agencies including the Center for Disease Control (CDC) and the Occupational Safety and Health Administration (OSHA).
- **Employee:** Any person employed by the OWWL Library System regardless of job classification or title.
- **Contractor:** Any individual performing paid services for the OWWL Library System but not an employee of the OWWL Library System.
- **Essential:** Designation made to an employee or contractor whose duties require them to be physically present at the OWWL Library System headquarters to perform their job OR tasks that are vital or necessary to the safety or operational needs of the System.

- **Non-essential:** Designation made to an employee whose duties do not require them to be physically present at the OWWL Library System OR tasks that are not vital or necessary to the safety or operational needs of the System.
- **Communicable disease:** Illness caused by an infectious agent that occurs through the direct or indirect transmission of the infectious agent or its byproducts or via inanimate environment or object to a susceptible person or persons.
- **Retaliatory Action:** The discharge, suspension, demotion, penalization, discrimination, or other adverse employment action taken against any employee.

ESSENTIAL DUTIES OF EMPLOYEES

In the event of a state-ordered reduction of the in-person workforce, the Executive Director shall be designated as an Essential Employee and is permitted to be physically present at the OWWL Library System headquarters to perform tasks essential to their job or the operations of the system including, but not limited to, maintenance to the facilities that could otherwise threaten or pose a risk to the facilities if not performed; bookkeeping such as accounts payable, accounts receivable, and processing payroll; coordinating delivery of materials between member libraries and the system headquarters; and/or accepting, sorting, and opening postal mail or packages.

These essential tasks may be delegated to a specific employee or contractor at the discretion of the Executive Director. This employee or contractor is permitted to be physically present at the OWWL Library System headquarters to perform only the designated essential tasks as assigned.

TELECOMMUTE/WORK FROM HOME

In the event of a state-ordered reduction of the in-person workforce, the OWWL Library System Working Remotely Policy will be implemented.

All employees whose duties and routine tasks require the use of a computer will be provided system-issued equipment necessary to perform those duties and tasks.

The Executive Director in coordination with Computer and Network Services (CANS) department will provide instructions for downloading/installing any software for employees to perform their duties remotely. The Executive Director/CANS will also provide instructions for transferring office phone lines to personal phones as applicable to the employee's job description.

IN-PERSON REPORTING

The Executive Director will coordinate the schedule for employees and contractors reporting to the system headquarters in-person to perform essential tasks so that the OWWL Library System remains in compliance with the state-ordered reduction of in-person workforce. No employee or contractor is permitted to report to the system headquarters without authorization from the Executive Director.

PERSONAL PROTECTIVE EQUIPMENT (PPE)

PPE as required by local, state, or federal laws or Executive Orders will be provided by the OWWL Library System. As per OSHA guidelines, employees are not financially responsible for mandated PPE. Employees may provide their own PPE if they desire and if it is in compliance with all local, state, or federal laws or Executive Orders and CDC and OSHA regulations.

The OWWL Library System will provide any necessary training for mandated PPE including proper use and disposal.

The OWWL Library System will keep a supply of PPE in storage in the event a public health emergency is immediately declared. All employees will be aware of the storage location of PPE. The Executive Director in coordination with the Finance Director will monitor PPE supply levels and replenish the supply as needed in accordance with the Procurement Policy.

Failure to comply with PPE mandates may result in disciplinary action.

EXPOSURE TO COMMUNICABLE DISEASE

If required by local, state, or federal laws or Executive Orders, mandatory, continuous health screening practices will be implemented for all employees.

In the event an employee is exposed to a known case of the communicable disease that is the subject of the public health emergency, exhibits symptoms of such disease, or tests positive for such disease, the following procedures will be immediately implemented:

- The employee must not report to work or they must leave the premises immediately, if already at work, and notify the Executive Director.
- The Executive Director will notify local and state health departments and will follow guidance specific to workplaces with a suspected or positive case.
- The Executive Director and the employee will determine which other employees were in close contact and possibly exposed to the communicable disease.
- The Executive Director and the employee will determine which areas of the system headquarters are considered “contaminated” and need to be immediately closed.

CLEANING CONTAMINATED AREAS

- The Executive Director and Custodian will immediately close off the contaminated area(s).
- The area(s) will be quarantined for a length of time determined by local or state health departments.
- The HVAC System will be temporarily turned off the area so that particles will not circulate throughout the facility.
- After the determined length of time, the area(s) used by the employee will be cleaned, vacuumed, and disinfected including the employee’s office, bathrooms, common areas, and shared electronic equipment and other office supplies.
- The area(s) will be cleaned by the Custodian wearing appropriate PPE.

- Once the area(s) has (have) been appropriately disinfected, it (they) can be opened for use.
- The OWWL Library System will continue routine cleaning and disinfecting and logging these activities as recommended.

CONTACT TRACING

The Executive Director will adhere to local and state guidance regarding Contact Tracing which may include reporting or contacting other employees, contractors, trustees, and visitors who may have been in close contact with the employee suspected or confirmed to have the communicable disease.

The Executive Director will keep the health status of employees confidential.

COMPENSATION

The OWWL Library System will adhere to all local, state, or federal laws or Executive Orders regarding sick leave or expanded family and medical leave for specified reasons related to the communicable disease.

RETURNING TO WORK

- If an employee is exposed to a communicable disease or exhibits symptoms of a communicable disease, they must follow all local and state health department directives which may include being tested for that communicable disease and/or quarantining for a specified amount of time at home.
- If an employee has a suspected or confirmed case they must not report back to work until they have met all of the following criteria in consultation with a healthcare provider and in accordance with local, state, and/or federal criteria specific to the communicable disease.
- All other employees will be provided instructions for returning to work dependent on the determination of the risk of exposure by the local or state health department during Contact Tracing.

MITIGATING RISK

Reporting to work following a known-exposure to a communicable disease, having symptoms consistent with the communicable disease, or following a positive test without being medically cleared to return to work as defined above will be considered a violation of policy and may result in disciplinary action.

The OWWL Library System will not take any retaliatory action for employees not reporting to work due to a suspected or confirmed case of the communicable disease. Employees must follow the established protocols outlined in the Personnel Policy for reporting an absence.

CONTINUATION OF OPERATIONS

In the event of a declared public health emergency involving a communicable disease, the Executive Director will address operations according to the following outline. Some circumstances will require deviation from this sequence in order to best serve the health and safety of the system employees and trustees, member library employees, and member library communities.

- Assess the emergency declaration as it relates to the system’s employees, facilities, and services.
- Notify the appropriate persons including all employees and the Board of Trustees.
- Determine the next steps, with the information available, regarding:
 - Services/service points
 - Delivery
 - Personnel
- Draft a press release or statement to the public.
- Document in detail the sequence or timeline of events before, during, and after the declared public health emergency.
- Prepare for recovery.

COMMUNICATION

Once approved by the Board of Trustees, this Pandemic Response Plan will be published in a clear and conspicuous location at the OWWL Library System and on the system’s website. A copy will be provided to all employees.

ONGOING USE EVALUATION

This Pandemic Response Plan was as required by law with the health and safety of the system employees and trustees, member library employees, and member library communities as the top priority.

The Pandemic Response Plan will be evaluated annually by the Executive Director and the System Policy Committee and updated as needed by the Board of Trustees.

Questions or concerns regarding the OWWL Library System’s Pandemic Response Plan should be forwarded to the Executive Director.

*Amended: April 13, 2022
Adopted: December 9, 2020*

PEST MANAGEMENT POLICY

This policy outlines OWWL Library System's (the System) protocols for prevention of, and reaction to, potential pest situations in libraries (including, but not limited to bed bugs) in materials and libraries across the system. OWWL Library System actively works toward the prevention and containment of pests in all materials transferred between libraries. OWWL Library System will update procedures according to best practices.

RESPONSE PROTOCOL AND PROCEDURES

We ask that member libraries' staff immediately report any sighting of live or dead pests associated with infestations to delivery@owwl.org.

Any materials found in delivery that show evidence of live or dead pests will result in OWWL Library System contacting the originating library to notify them of the issue.

A prompt quarantine will take place of all items identified by OWWL Library System staff as potentially containing live or dead pests in any stage. Staff will immediately place any item suspected of containing live or dead pests into a sealed Ziploc bag. Staff will clean any surface suspected of coming into contact with the item with 90 proof alcohol.

BED BUG SPECIFIC TREATMENT

Treatment of materials with minor or suspected signs of bed bugs will include a decontamination process in a specialized heat treatment system that adheres to industry standards and is specifically designed to kill bed bugs. A bed bug response kit including Ziploc bags, alcohol, and a specialized heat treatment system will be kept at OWWL Library System.

The OWWL Library System will periodically inspect items in delivery, delivery bins, and delivery vehicles for the presence of bed bugs to help identify and reduce the risk of spreading bed bugs in libraries.

If a member library suspects they have a bed bug infestation, they will be required to notify OWWL Library System immediately. After notification, OWWL Library System will establish a temporary suspension on materials sent to and received by the member library. The temporary suspension will include:

- Library items being set to "Not Holdable" in Evergreen to prevent materials from being targeted to fill patron hold requests.
- The library location will be "Blocked" as a pickup location for patron holds.
- In-transit member library items will be held at the System until the bed bug infestation is eliminated.

The temporary suspension enacted by this policy on a member library will expire after the member library sends proof that their facility has successfully treated and exterminated bed bugs using a licensed and accredited pest control company to delivery@owwl.org.

If a member library discovers an item in delivery that they suspect of containing live or dead bed bugs, they will follow the response protocol above, placing the item into a Ziploc bag immediately. The heat treatment system may be borrowed from the System. Staff will mark the item as damaged and report the suspected contamination to the System by emailing the delivery@owwl.org. Staff may not send the item through delivery until the item has been treated and a bed bug investigation has been conducted and resolved.

OTHER PEST TREATMENT

Bed bugs are often cited as the primary pest appearing in library collections. However, situations involving insects, rodents, or other potential damaging infestations will be handled by following the policy as outlined above with treatment methods specific to the pest.

*Amended: November 10, 2021; February 10, 2021
Adopted: December 12, 2018*

TOBACCO USE POLICY

The OWWL Library System is committed to protecting the health, welfare, and safety of the visitors and employees and/or volunteers by eliminating the use of tobacco products in and around its facility.

The OWWL Library System recognizes that:

- The U.S. Surgeon General has concluded that secondhand smoke is harmful to human health.
- Visible tobacco use contributes to the social acceptability, normalization, and perceived prevalence of tobacco use, factors which promote youth initiation and impede cessation.
- Tobacco products consumed in public spaces are often discarded on the ground, posing a risk of ingestion to children and animals, and incurring costly litter cleanup.

Therefore, the OWWL Library System prohibits tobacco use in the building and on the grounds. This restriction includes the use of all forms of smoking devices and smokeless tobacco products: cigarettes, cigars, pipes, e-cigarettes/electronic vapor products, snuff, snus and chewing tobacco.

This policy applies to all visitors, employees and volunteers.

This policy also upholds the recent amendment to Public Health Law §1399-o, which states, Smoking shall not be permitted and no person shall smoke within one hundred feet of the entrances, exits or outdoor areas of any public or association library as defined in subdivision two of section two hundred fifty-three of the education law; provided, however, that the provisions of this subdivision shall not apply to smoking in a residence, or within the real property boundary lines of such residential real property.

COMPLIANCE PROCEDURES

- Signs clearly designating areas where tobacco use is prohibited will be posted.
- A copy of the tobacco-free policy will be distributed to all employees.
- Employees shall advise their guests of the tobacco-free policy.
- Persons in violation of this policy will be asked to leave the premises.

Adopted: June 12, 2019

PRIVACY OF LIBRARY RECORDS POLICIES

CONFIDENTIALITY OF SYSTEM RECORDS POLICY

OWWL Library System (the System) adheres to **New York Civil Practice Law and Rules Section 4509: Library Records.**

Library records, which contain names or other personally identifying details regarding the users of public, free association, school, college and university libraries and library systems of this state, including but not limited to records related to the circulation of library materials, computer database searches, interlibrary loan transactions, reference queries, requests for photocopies of library materials, title reserve requests, or the use of audio-visual materials, films or records, shall be confidential and shall not be disclosed except that such records may be disclosed to the extent necessary for the proper operation of such library and shall be disclosed upon request or consent of the user or pursuant to subpoena, court order or where otherwise required by statute.

Section 4509: Library records, Civil Practice Law & Rules (CVP)

The System's staff are aware that such records are confidential and are not to be made available to any agency except under due process of law and then only upon the advice of the System's legal counsel.

Amended: February 10, 2021

Reviewed: January 14, 2015

Adopted: February 14, 2001

SYSTEMS ACCESS AND CONFIDENTIALITY OF LIBRARY RECORDS POLICY

SUMMARY

The Systems Access and Confidentiality of Library Records Policy aims to establish practices for maintaining the information security of the Personally Identifiable Information (PII) collected and stored by libraries and the OWWL Library System. This policy shall apply to all individuals authorized to access the System Information Systems as necessary for their job functions.

This policy outlines practices for the following:

- 1) Creation and deletion of staff user accounts;
- 2) Generating secure passwords;
- 3) Electronic and physical access of library systems and devices; and
- 4) Appropriate dissemination of the PII contained in library systems.

PURPOSE

Protecting patron privacy and confidentiality is a core principle of librarianship. The American Library Association's Library Bill of Rights, Article VII, states that:

[a]ll people, regardless of origin, age, background, or views, possess a right to privacy and confidentiality in their library use. Libraries should advocate for, educate about, and protect people's privacy, safeguarding all library use data, including personally identifiable information.²

The OWWL Library System acknowledges its responsibility under New York State Civil Practice Law & Rules, Section 4509 to maintain the confidentiality of library records which contain the names or other personally identifying details regarding the users of our member libraries. Such information shall not be disclosed except as specified in law and with the advisement of OWWL Library System legal counsel.

Library records, which contain names or other personally identifying details regarding the users of public, free association, school, college and university libraries and library systems of this state, including but not limited to records related to the circulation of library materials, computer database searches, interlibrary loan transactions, reference queries, requests for photocopies of library materials, title reserve requests, or the use of audio-visual materials, films or records, shall be confidential and shall not be disclosed except that such records may be disclosed to the extent necessary for the proper operation

² ALA Library Bill of Rights, <http://www.ala.org/advocacy/intfreedom/librarybill>

*of such library and shall be disclosed upon request or consent of the user or pursuant to subpoena, court order or where otherwise required by statute.*³

The OWWL Library System also acknowledges its responsibilities under New York’s Stop Hacks and Improve Electronic Data Security Act (“SHIELD Act”) to develop, implement, and maintain reasonable security safeguards to prevent the unauthorized release of personal information.

DEFINITIONS

Personally Identifiable Information (PII)

Patron PII is generally data about a patron. Examples include a patron’s name, address, email address, telephone number, or date of birth, either alone or in combination. Additional data about patrons, data about activity that can be tied back to a patron, is also collected and stored in the System Information Systems and should also be considered confidential. Examples of these types of data include a patron’s circulation history, hold requests, or paid bills. For the purposes of this policy, the term “patron PII” describes all confidential information about a patron whether or not it is traditionally considered PII.

OWWL Library System (PLS) collects the minimum personally identifying information (PII) necessary to conduct library-related business, including the circulation of library materials, contacting library patrons regarding library transactions and services, and connecting to third-party services that support library services.

PLS maintains certain administrative information regarding the use of the System Information Systems and managed computer services accessed by individuals through member libraries or via remote access. This information is kept for administrative purposes only.

Integrated Library System (ILS)

The ILS supported and maintained by OWWL Library System is Evergreen.

OWWL Library System Information Systems

Information Systems maintained by OWWL Library System, including those that may contain patron PII. These include, but are not limited to email, the ILS, the System reporting tool, LibCal, and Prefab Websites.

³ New York Civil Practice Law, Sec. 4509, Library Records, https://newyork.public.law/laws/n.y._civil_practice_law_section_4509#:~:text=Library%20records%2C%20which%20contain%20names,library%20materials%2C%20computer%20database%20searches%2C

SCOPE

This policy shall apply to all individuals authorized to access the System Information Systems as necessary for their job functions.

ACCOUNTS AND PASSWORDS

This portion of the policy establishes that both adequate controls on accounts and appropriate password management and construction are important aspects of maintaining the security of systems that hold patron PII and protecting patron confidentiality.

Account Creation and Removal

- System IT staff should be notified of any personnel changes at a library that would require either the issuance of credentials to access the System Information Systems (such as email or the ILS) or the termination of access to the System Information Systems.
- Notifications of separations of service to the System should occur immediately to ensure that individuals who should no longer have access to the System Information Systems are removed as authorized users. Whenever possible, notification of separation of service should occur in advance of the date of separation.
- Library directors or their designees are responsible for informing OWWL Library System of the separation from service of an individual who has/had access to a shared account (detailed below).
- A library's board president is responsible for informing OWWL Library System of the separation from service of a library director.

Shared Accounts

- Shared accounts should be kept to a minimum and avoided whenever possible. When not able to be avoided, passwords shared between multiple authorized individuals shall be changed upon the separation from service of an individual no longer authorized to access the System Information Systems. The responsibility to ensure that passwords are changed ultimately rests with the library director.
- Shared accounts include accounts that may be accessed by only one authorized individual at a time but which shall continue to be used after an individual's separation from service.
 - Any such accounts should also have their passwords changed upon a handover.
- Examples of appropriate shared accounts include:
 - A library's circulation email account.
 - An ad hoc email account created for a search committee.

Passwords

- Passwords used to access the System Information Systems that contain patron PII shall be:

- Randomly generated⁴;
- At least 12 characters long;
- Unique; and
- Should contain some level of complexity.
- Examples of adequate passwords include:
 - A “diceware” password⁵ (a string of randomly generated dictionary words)
 - If using a “diceware” password, the password shall consist of a minimum of five randomly generated words.
 - A password that is at least 12 random characters long.
- Passwords shall not:
 - Consist of previously used passwords; or
 - Consist of passwords used for personal accounts.
- Passwords used to access the System Information Systems shall not be transmitted in plain text (such as by email).
 - An exception can be made for passwords transmitted for one-time use, i.e. passwords used for an initial login that the recipient should then change after they are able to access the system.
- If an account or password is suspected to have been compromised, report the incident to System staff immediately by emailing support@pls-net.org.

ACCESSING THE SYSTEM INFORMATION SYSTEMS

This portion of the policy establishes that both the electronic and physical security of devices used to access the System Information Systems is important for maintaining the security of the network as a whole.

Electronic Security

- Only devices meeting all of the following requirements shall be used to access the ILS or the System reporting tool with staff credentials:
 - Device must be library-owned;
 - Device must be designated only for staff use (i.e., should not be lent to the public);
 - Device must have an up-to-date operating system;
 - Device must have up-to-date virus protection; and
 - Device must have an up-to-date web browser.
- No file containing patron PII should be downloaded to or stored on personal devices.
 - Such files include, but are not limited to:
 - files generated by the ILS;
 - files transmitted via email; or

⁴ Use a password generator to create a password. Password generators are often offered by password managers, like the generators offered by 1Password (<https://1password.com/password-generator/>) or LastPass (<https://www.lastpass.com/password-generator>).

⁵ The EFF (Electronic Frontier Foundation) offers a guide to, and tool for, generating passwords by dice: <https://www.eff.org/dice>

- files accessed on the System reporting tool.

Physical Security

- Devices on which patron PII is stored or accessed should be properly secured against unauthorized access.
- Devices should be locked or logged out of when not in use or when a staff user is not at (or within immediate line of sight of) the workstation.

Management of Files, Reports, and/or Documents Containing Patron PII

Best practices for handling files, reports, and/or documents containing patron PII include, but are not limited to:

- Accessing files or any links to files only on library-owned equipment and avoiding using personally-owned computers, mobile devices, and services, like Dropbox, to access, save, or store files.
- Making sure that files and printed copies are kept secure from unauthorized access.
- Avoiding transmitting files using methods that may not be secure, such as by email attachment. Instead, transmit files by using a shared drive on your local network or removable media like a flash drive.
- Avoiding sharing files with, or uploading files to, unauthorized third-parties or third-party services.
- Deleting files and emptying the recycling bin/trash when you are done with them.
- Shredding any printed copies when you are done with them.

STORING AND ACCESSING PII

This portion of the policy establishes what types of data about patrons should be stored in the System Information Systems and how patron PII accessed in the System Information Systems may be used.

Data collected about library patrons and transactions is used only to conduct library-related business, the administration of library services, and to assist the specific person to whom the information pertains.

Appropriate Collection of Data

- Only data necessary to provide library services should be stored in shared the System Information Systems (like the ILS). The least amount of personally identifiable information possible should be collected and stored in the System Information Systems.
 - Examples of data appropriate for collection include, but are not limited to:
 - Name
 - Address
 - Email address
 - Telephone number

- Date of birth
 - Examples of data inappropriate for collection include, but are not limited to:
 - Health information
 - Driver's license numbers
- Data about patrons should only be stored in the System Information Systems for the length of time necessary for operational or legal purposes.

Appropriate Use of Data

- Patron PII should be used only for providing library services, such as for contacting patrons to inform them of available holds, overdue materials, etc.
- Any use of patron PII accessed from the System Information Systems beyond providing library services must be a use to which a patron has explicitly consented to and opted-in.
- Patron PII should never be exported from any the System Information Systems for the purpose of being shared with or uploaded to any third-party or third-party services.
 - Examples of third-parties include, but are not limited to, Friends groups and foundations.
 - Examples of third-party services include, but are not limited to, fundraising platforms, Dropbox, and Google Drive.

REQUESTS FOR INFORMATION FROM LAW ENFORCEMENT AGENCIES

No Member Library staff or System staff other than the director or director's designee is authorized to respond to any form of judicial process or to provide any patron-specific or library-business information, in writing or in oral form, to a law enforcement officer or other person.

No individual data or transactions may be divulged to third parties except by court order.

In the event a the System Member Library staff person or System staff person is requested to provide patron information to any outside agency or individual the following procedures or appropriate local library procedures must be followed:

- 1) The staff member receiving the request to examine or obtain information relating to circulation, computer activity or other records identifying the names of library users, will immediately ask for identification, then refer the person making the request to the director, or designee in the director's absence, who shall explain the institution's confidentiality policy. The staff member will not disclose any information.
- 2) The director, upon receipt of a process, order, or subpoena, shall consult with legal counsel to determine if such process, order, or subpoena is in good form and if there is a showing of good cause for its issuance. The Director should contact the System Executive Director.
- 3) If the process, order, or subpoena is not in proper form or if good cause has not been shown, insistence shall be made that such defects be corrected before any records are released. Without documents in proper form, law enforcement has no authority to compel disclosure of any information, other than the name of the person speaking to law enforcement officers.

- 4) Any threats or unauthorized demands (i.e., those not supported by a process, order, or subpoena) concerning circulation, computer or other records identifying the names of library users shall be reported to the director immediately.
- 5) If the document is a search warrant that authorizes immediate search and seizure, inform the officer that the library director and legal counsel will be contacted immediately and request the patience of the officer. (The officer may inform you that the warrant is “secret”. This does not preclude notification of the director and legal counsel.) If the officer declines to wait, carefully inspect the warrant and monitor the search.
- 6) Retain a copy of the warrant and request an inventory of the materials in question. Offer the officer a copy of any data requested. At the conclusion of the search immediately make a written record of all events that transpired.
- 7) Add the copy of the warrant, request documents, and the written record of the event to your incidents file or appropriate storage area.

EMPLOYEE CONFIDENTIALITY AGREEMENT

All the System Member Library and System staff, in order to have access to the System Information Systems, are required to read this policy and agree to its contents. Agreement indicates their understanding that access to these systems, manual and automated, containing PII and other library record data is limited to the requirements of their job, and such information is not to be disclosed to unauthorized persons.

Member Libraries may collect agreements from staff using any form they wish providing the agreement upholds this policy. Member Libraries will be required to attest to the System on an annual basis that all staff have agreed to the provisions in this policy. As new or promoted staff are expected to perform tasks involving patron information, the policy must be presented and agreed to by said staff member(s).

Amended: June 8, 2022
Adopted: September 8, 2021

SYSTEM STAFF AGREEMENT FORM

I understand that my access to data, information, and records (all hereinafter referred to as Information) maintained in the manual and automated information and records systems (all hereinafter referred to as the System Information Systems) of the OWWL Library System (PLS) is limited by my needs for the information in the performance of my job duties.

By my signature below, I affirm that I have been advised of, understand, and agree to the following terms and conditions of my access to Information contained in the System Information Systems.

- 1) I will use my authorized access to Information Systems only in the performance of the responsibilities of my position as an employee of a member library or direct employee of the System.
- 2) I will comply with all controls established by the System regarding the use of information maintained within the System Information Systems.
- 3) I will avoid disclosure of Information to unauthorized persons without the appropriate consent of the Information owner except as permitted under applicable the System policy and Federal or State law. I understand and agree that my obligation to avoid such disclosure will continue even after I leave the employment of a member library or the System.
- 4) I will exercise care to protect Information against accidental or unauthorized access, modifications, disclosures, or destruction.
- 5) When discussing Information with other employees in the course of my work, I will exercise care to keep the conversation private and not overheard by others who are not authorized to have access to such information.
- 6) I understand that any violation of this Agreement or other the System policies related to the appropriate release of or disclosure of Information may result in one or more sanctions, including immediate termination of my access to the System Information Systems, criminal penalties, or civil liability.

I affirm that I have been given the opportunity to review the Systems and Confidentiality of Library Records Policy and other NYS and the System policies referenced therein, and I further affirm that my questions about those policies have been answered to my satisfaction.

Employee Name

Title

Employee Signature

Date

MEMBER LIBRARY AGREEMENT FORM

As a Member Library of the OWWL Library System, I understand that our library's access to data, information, and records (all hereinafter referred to as Information) maintained in the manual and automated information and records systems (all hereinafter referred to as the System Information Systems) of the OWWL Library System (PLS) is limited by the needs for the information in the performance of library duties.

By my signature below, I affirm that my library has been advised of, understand, and agree to the following terms and conditions related to my library's access to Information contained in OWWL Library System's Information Systems.

- 1) Staff will use the library's authorized access to Information Systems only in the performance of the responsibilities related to the operations of the library.
- 2) Staff will comply with all controls established by the Library System regarding the use of information maintained within the Library System's Information Systems.
- 3) Staff will avoid disclosure of Information to unauthorized persons without the appropriate consent of the Information owner except as permitted under applicable System policy and Federal or State law.
- 4) Staff understands that the obligation to avoid such disclosure will continue even after they leave the employment of a member library.
- 5) Staff will exercise care to protect Information against accidental or unauthorized access, modifications, disclosures, or destruction.
- 6) When discussing Information with other employees in the course of their work, Staff will exercise care to keep the conversation private and not overheard by others who are not authorized to have access to such information.
- 7) The member library understands that any violation of this Agreement or other System policies related to the appropriate release of or disclosure of Information may result in one or more sanctions including termination of library access to Information Systems, criminal penalties, or civil liability.

I affirm that I have been given the opportunity to review the Systems and Confidentiality of Library Records Policy and other NYS and System policies referenced therein and I affirm that my questions about those policies have been answered to my satisfaction.

Member Library Representative Name

Title

Member Library Representative Signature

Date

POLICY JUSTIFICATION RESOURCES

NIST (National Institute of Standard and Technology): Digital Identity Guidelines: Authentication and Lifecycle Management (SP 800-63B)⁶

Q-B05: Is password expiration no longer recommended?⁷

A-B05:

SP 800-63B Section 5.1.1.2 paragraph 9 states:

“Verifiers SHOULD NOT require memorized secrets to be changed arbitrarily (e.g., periodically). However, verifiers SHALL force a change if there is evidence of compromise of the authenticator.”

Users tend to choose weaker memorized secrets when they know that they will have to change them in the near future. When those changes do occur, they often select a secret that is similar to their old memorized secret by applying a set of common transformations such as increasing a number in the password. This practice provides a false sense of security if any of the previous secrets has been compromised since attackers can apply these same common transformations. But if there is evidence that the memorized secret has been compromised, such as by a breach of the verifier’s hashed password database or observed fraudulent activity, subscribers should be required to change their memorized secrets. However, this event-based change should occur rarely, so that they are less motivated to choose a weak secret with the knowledge that it will only be used for a limited period of time.

Q-B06: Are password composition rules no longer recommended?⁸

A-B06:

SP 800-63B Section 5.1.1.2 paragraph 9 recommends against the use of composition rules (e.g., requiring lower-case, upper-case, digits, and/or special characters) for memorized secrets. These rules provide less benefit than might be expected because users tend to use predictable methods for satisfying these requirements when imposed (e.g., appending a ! to a memorized secret when required to use a special character). The frustration they often face may also cause them to focus on minimally satisfying the requirements rather than devising a memorable but complex secret. Instead, a blacklist of common passwords

⁶ Digital Identity Guidelines, <https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-63b.pdf>

⁷ NIST Special Publication 800-63: FAQ, Q-B05, <https://pages.nist.gov/800-63-FAQ/#q-b05>

⁸ NIST Special Publication 800-63: FAQ, Q-B06, <https://pages.nist.gov/800-63-FAQ/#q-b06>

prevents subscribers from choosing very common values that would be particularly vulnerable, especially to an online attack.

Composition rules also inadvertently encourage people to use the same password across multiple systems since they often result in passwords that are difficult for people to memorize.

Q-B10: Does SP 800-63B require that we remove our password composition (complexity) rules?⁹

A-B10:

SP 800-63B Section 5.1.1.2 states in part:

Verifiers SHOULD NOT impose other composition rules (e.g., requiring mixtures of different character types or prohibiting consecutively repeated characters) for memorized secrets.

This text is a recommendation, not a normative requirement (i.e., “should” rather than “shall” in text). However, research has shown that composition rules do not significantly improve the security of selected passwords. Composition rules often have the opposite effect as users tend to avoid or shortcut the rules by making predictable changes, resulting in weaker passwords and less security. Instead, SP 800-63B requires the use of a blacklist of common passwords that are not acceptable for use. We do recommend increased password length as a key password security control, especially through encouraging the use of passphrases.

NIST (National Institute of Standard and Technology): Guide to Protecting the Confidentiality of Personally Identifiable Information (PII) (SP 800-122)¹⁰

2.3 PII and Fair Information Practices

Purpose Specification—The purposes for which personal data are collected should be specified not later than at the time of data collection and the subsequent use limited to the fulfillment of those purposes or such others as are not incompatible with those purposes and as are specified on each occasion of change of purpose.

Use Limitation—Personal data should not be disclosed, made available or otherwise used for purposes other than those specified, except with the consent of the data subject or by the authority of law.

⁹ NIST Special Publication 800-63: FAQ, Q-B10, <https://pages.nist.gov/800-63-FAQ/#q-b10>

¹⁰ NIST Guide to Protecting the Confidentiality of Personally Identifiable Information (PII), <https://nvlpubs.nist.gov/nistpubs/Legacy/SP/nistspecialpublication800-122.pdf>

3. What is explicit consent and how is it different from opt-out? Explicit consent means that users are given an option to agree or disagree with the collection of their data. The user must be informed in a specific and unambiguous manner regarding how their data will be collected, used, and/or shared. Users should be given the choice before choosing to access a service rather than have to opt-out later. Libraries should ensure their online services do not default to opt-out. Opt-out requires action from the user to remove themselves from data collection. This does not allow a user to learn about the specific details of how their data will be utilized.

21. Can circulation or registration information be used for other library purposes, such as to generate mailing lists for fund-raising by the library or its Friends group? The Fair Information Practice Principles of “Notice and Openness” and “Choice and Consent” should be reflected in library privacy policies. See “How to Draft a Library Privacy Policy.”

Some states impose restrictions on the use of personally identifiable information (PII) for any purposes other than circulation or administration. In other states it is illegal to provide library user PII to any third party except under court order. See “State Privacy Laws Regarding Library Records.” In all states, regardless of the status of the law, library policies regarding the collection, use and dissemination of PII should be carefully formulated and administered to ensure that they do not conflict with the ALA Code of Ethics that states “we protect each user’s right to privacy and confidentiality.” Libraries choosing to use PII for any library-related purpose other than for which the PII was gathered should consider the following standard “opt-in” practices:

- *Notice should be provided to all users of any library use of PII.*
- *Any use of PII beyond circulation or administration should be authorized only on an opt-in basis. At the time of registration, users should be asked to opt-in to additional and specifically enumerated uses of their PII (e.g., for fund-raising appeals). The PII of those who decline to ‘opt-in’ should not be made available for any additional uses.*
- *Any time a library decides to extend use of PII in ways not already authorized, it must seek user opt-in. Libraries should presume that all non-responders wish to opt out of the new use.*

22. Does the library’s responsibility for user privacy and confidentiality extend to licenses and agreements with outside vendors and contractors? Most libraries conduct business with a variety of vendors in order to provide access to electronic resources, to acquire and

¹¹ ALA, Privacy and Confidentiality Q&A, <http://www.ala.org/advocacy/intfreedom/privacyconfidentialityqga>

run their automated systems, to offer remote storage (e.g. “cloud computing), or to enable access to the internet. Libraries need to ensure that contracts and licenses reflect their policies and legal obligations concerning user privacy and confidentiality. Whenever a third party has access to personally identifiable information (PII), the agreements need to address appropriate restrictions on the use, aggregation, dissemination, and sale of that information, particularly information about minors. In circumstances in which there is a risk that PII may be disclosed, the library should warn its users and/or discontinue use of that service. In addition, all library vendors and contractors that handle PII should be expected to maintain a publicly available privacy policy that commits to compliance with the NISO Consensus Principles on User’s Digital Privacy in Library, Publisher, and Software-Provider Systems.

NISO (National Information Standards Organization): NISO Consensus Principles on User’s Digital Privacy in Library, Publisher, and Software-Provider Systems (NISO Privacy Principles)¹²

3. Security: The most current security best practices should be used as the baseline to protect data. These should include encryption of personal data while they are at-rest and in-motion; prompt updates of systems and software to address vulnerabilities; systems, procedures, and policies for access control of sensitive data; a procedure for security training for those with access to data; and documented procedures for breach reporting, incident response, and system, software, and network security configuration and auditing.

Unauthorized access to user data should be remedied in a timely manner in order to minimize exposure of such data and affected parties should be informed as soon as is practicable in compliance with applicable laws. Libraries, content-, and software providers should comply with applicable statutory or regulatory requirements and published security standards intended to promote the privacy and security of user data.

4. Data Collection and Use: The potential benefit to the user, the library, content-, or software-provider derived from the collection and use of users’ personal data must be balanced against the impact of that collection and use on users and their right to privacy. Collection and use of users’ personal data should be for the purposes of supporting user services, research to improve those services, or for the internal operations of the library, content-, or software-provider for which the data were gathered. The effective management and delivery of library services may require the library user to opt into the provision of personal data in order to access a library resource or receive library services. Users’ personal data should only be used for purposes disclosed to them and to which they consent.

6. Options and Informed Consent: Each library user’s needs and expectations of privacy are different and may be contingent on circumstances. When personal data are not

¹² NISO Consensus Principles on User’s Digital Privacy in Library, Publisher, and Software-Provider Systems, https://groups.niso.org/apps/group_public/download.php/16064/NISO%20Privacy%20Principles.pdf

required to provide services as described in “Data Collection and Use”, libraries and content- and software-providers should offer library users options as to how much personal information is collected from them and how it may be used. The default approach/setting should be that users are opted out of library services until they explicitly choose to opt in. In cases where a user opts in to a specific service, they should have the choice to opt out at a later date, in particular when privacy policies change, and at that time have the option to delete data as outlined in “Access to One’s Own User Data” (item 10 below).

7. Sharing Data with Others: Libraries, content-, and software-providers sometimes need to share some data to provide content or library services, or undertake administrative functions. However, these parties must carefully consider the impact on the user's privacy before sharing data or information about their activity with third parties. Such considerations should include: the library user's consent; the user's privacy interests; any legal prohibitions or requirements; the policies of that third party and their adherence to these principles; and the risks and benefits to the user and institution.

User activity data to be shared should be anonymized and aggregated to a level that minimizes privacy risks to individual users, unless the user has opted-in to a service. In particular, possible exposure of the resource-use habits of individual users should be protected in conformance with the “Anonymization” principle (item 5 above).

Office of the New York State Comptroller Binghamton City School District – Information Technology (2019M-147)¹³

Audit Objective

Determine whether the Board and District officials adequately safeguarded data from abuse or loss.

Key Findings

- *Officials do not regularly review network user accounts and disable those that are determined to be unnecessary.*
- *The Board does not have an adequate contract and separate service level agreement (SLA) for information technology (IT) services provided by the Broome Tioga Board of Cooperative Educational Services’ South Central Regional Information Center (SCRIC).*

¹³ Office of the New York State Comptroller, Binghamton City School District – Information Technology (2019M-147), <https://www.osc.state.ny.us/local-government/audits/school-district/2019/10/25/binghamton-city-school-district-information-technology-2019m-147>

- *Officials do not provide periodic IT security awareness training to staff.*
- *In addition, sensitive IT control weaknesses were communicated confidentially to district officials.*

Key Recommendations

- *Regularly review user accounts and disable those that are unnecessary.*
- *Ensure there is an adequate contract and separate SLA with SCRIC for IT services provided.*
- *Provide periodic IT security awareness training to personnel who use IT resources.*

District officials generally agreed with our recommendations and indicated they planned to initiate corrective action.

SYSTEM BOARD BYLAWS AND ETHICS STATEMENT

BOARD OF TRUSTEES BYLAWS

SYSTEM PURPOSE

The OWWL Library System (the System) exists to support the expansion and improvement of public library services in Livingston, Ontario, Wayne and Wyoming Counties. The System provides to its members consultation services, technology support, advocacy, and guidance on library related topics. The System also acts as a forum for discussion, coordination of services, and distribution of State and Federal aid across the four counties.

BOARD OF TRUSTEES

- 1) The Board of Trustees shall consist of nine members, two from each of the four counties the System serves, and one from the Board of the Central Library.
- 2) Any person residing in the area served by the System is eligible to hold the office of Trustee, except employees of the System or employees of a member library.
- 3) System trustees shall be elected by a meeting of the member library trustees during the System's Annual Meeting held in last quarter of each year (Education Law 255; subdivision 2).
- 4) The Central Library member shall serve their full OWWL Library System Board of Trustees term, regardless of the length of their Central Library Board term.
- 5) The term of each shall be three years. No trustee shall hold office consecutively for more than three full three-year terms.
- 6) Three terms shall expire on December 31 each year.
- 7) In the case of a vacancy, the term shall be filled by an appointment of the appropriate county representative, selected by the System's board of trustees until the next annual election.
- 8) The Board may remove a Trustee for misconduct, incapacity, neglect of duty or refusal to carry into effect the System's educational purpose as provided in Education Law 226; subdivision 8.
- 9) Each Trustee shall have one vote, irrespective of office held.
- 10) A Trustee must be present at a meeting to have their vote counted.
- 11) A simple majority of the whole Board (including vacancies) is required for any motion to pass.
- 12) All actions of the Board shall be of the Board as a unit. No Board member shall act on behalf of the Board, on any matter, without prior approval of the Board. No Board member by virtue of their office shall exercise any administrative responsibility with respect to the System nor, as an individual, command the services of any library employee.
- 13) The fiscal year of the OWWL Library System shall be the calendar year.

OFFICERS

- 1) The officers shall be President, Vice President, Treasurer, and Secretary. A Claims Auditor independent of the Board, shall be appointed annually by the Board.

- 2) All officers and appointees shall be elected at a regular meeting prior to the first regular meeting of the year and following the Annual Meeting.
 - a. The President shall preside at all meetings and shall have the usual powers of a presiding officer. At the first regular meeting following the Annual Meeting, the President shall appoint a nominating committee to prepare and propose a slate of officers. This slate is to be presented at the next regular meeting and after its acceptance to be effective for the following year.
 - b. The Vice President shall act as President in the absence of the President.
 - c. The Secretary shall be responsible for coordinating meeting notices, appointing a designee for recording minutes of Board Meetings, and responding to any correspondence on behalf of the Board.
 - d. The Treasurer shall present a financial report at each regularly scheduled Board Meeting and shall Chair the Finance Committee of the Board.
 - e. The Claims Auditor shall be appointed by the Board to ensure that all expenditure vouchers are properly itemized and documented before payments are made.
- 3) In the case of an officer vacancy the President shall appoint a nominating committee to propose an officer. The officer is to be presented at the next regular meeting and after its acceptance to be effective immediately.

MEETINGS

- 1) The Board shall hold regular meetings at such a place and time as may be prescribed by the Board and shall meet not less than eight times per year.
- 2) Special meetings shall be held on the call of the President or any three trustees for a specific purpose. No business may be transacted at such special meeting except the stated business.
- 3) A majority of the whole board, including vacancies, shall constitute a quorum for the transaction of business.
- 4) Any Board member unable to attend any meeting of the Board should notify the Board President and/or the System's Executive Director in order to secure a quorum at each meeting.
- 5) Proceedings shall be conducted in the manner usual in deliberative bodies as follows:
 - a. The Minutes of the previous meeting
 - b. Financial Report And Audit
 - c. Communications and Reports
 - d. Old Business
 - e. New Business
 - f. Next Meeting Date
 - g. Adjournment
- 6) This order of business may be changed or suspended during any meeting of the Board by consent of the Trustees present.
- 7) If any Trustee shall fail to attend three consecutive meetings without an excuse accepted as satisfactory by the Board, he or she shall be deemed to have resigned, and the vacancy shall be filled (Education Law 226; subdivision 4).

- 8) Any Trustee wishing to resign should present that request in writing to the Board President. The resignation shall be voted on at the next regular or special meeting. Resignations shall be approved in a manner that does not allow board representation to fall below quorum.
- 9) There shall be an Annual Meeting the last quarter of each year at which members will be elected to the Board or to fill expired terms. Representatives of Member Libraries will be encouraged to attend.

COMMITTEES

- 1) The Standing Committees of the Board of Trustees shall include:
 - a. **Personnel Committee:** Reviews staff appointments, terminations, benefits, and salaries. This committee also conducts the Executive Director's annual evaluation.
 - b. **Finance Committee:** Oversees the fiscal operation of the system. The committee works with the Executive Director with regard to the preparation of an annual budget.
 - c. **Audit Committee:** Selects the independent auditor based on procurement policies and receives the independent auditor's report. The committee receives Conflict of Interest disclosures from trustees and key employees and determines irreconcilable conflicts.
 - d. **Policy Committee:** Develops fiscal and other required policies, reviewing and updating every five-years in accordance with minimum standards of service according to Section 90.2 of the Regulations of the Commissioner of Education.
- 2) Ad Hoc Committees will be appointed by the Board as the need arises.
 - a. **Construction Grant Award Committee:** Responsible for oversight of New York State public library construction grants to member libraries and makes construction grant award recommendations to the Board. The President will annually appoint the committee after member library intent to apply forms are received by the System. Trustees that also serve on the board of an applying library will be ineligible to serve on the committee.
 - b. **Nominating Committee:** Established at the first regular meeting following the Annual Meeting to nominate officers for the subsequent year.
- 3) All reports of committees shall be presented in writing at the subsequent Board of Trustees meeting.
- 4) No action of any committee shall be binding until approved by the Board unless full authority has previously been given by the Board.
- 5) No committee shall authorize any expenditure without authority of the Board.
- 6) Committees shall be appointed by the Board prior to the first meeting of the year.
- 7) The President shall be, ex officio, a member of all committees.

LIAISONS TO THE BOARD

- 1) The **Executive Director** of the OWWL Library System shall be considered the Executive Officer of the Board. They shall have sole charge of administration of the System and shall be directly responsible to the Board of Trustees.

- 2) **A representative from the Director's Advisory Council** shall serve as the Member Library Liaison to the Board.

AMENDMENT

These bylaws may be repealed, amended or added to at a regular meeting of the Board by a majority vote of the Trustees present, but only after the substance of the proposed change has been submitted in writing at a prior regular or special meeting, and notice thereof has been given in the notice of the meeting at which it is to be considered.

*Amended: June 9, 2021; December 9, 2020; January 13, 2016; December 14, 2011; June 8, 2011;
March 8, 2000; November 16, 1994; June 16, 1993
Established: June 28, 1990*

SYSTEM TRUSTEE ETHICS STATEMENT

Library System Trustees are accountable for the resources of the System as well as to see that the System carries out its mission to support library services. Every Trustee makes a personal commitment to contribute the time and energy to faithfully carry out their duties and responsibilities effectively and with absolute truth, honor, and integrity.

- Trustees shall respect the opinions of their colleagues and not be critical or disrespectful when they disagree or oppose a viewpoint different than their own.
- Trustees shall comply with all the laws, rules, policies, and regulations that apply to them and to the System.
- Trustees, in fulfilling their responsibilities, shall not be swayed by partisan interests, public pressure or fear of criticism.
- Trustees shall not engage in discrimination of any kind and shall uphold library patrons' rights to privacy in the use of library resources.
- Trustees must distinguish clearly in their actions and statements between their personal philosophies and attitudes and those of the System, acknowledging and supporting the formal position of the Board even if they disagree.
- Trustees must respect the confidential nature of the System's business and not disclose private information or discussion in Executive Session to anyone. Trustees must also be aware of and in compliance with laws that increase transparency.
- Trustees must avoid situations in which personal interests might be served or financial benefits gained as a result of their position or access to privileged library information, for either themselves or others.
- A Trustee shall immediately disqualify themselves whenever the appearance of or a conflict of interest exists.
- Trustees shall not use their position to gain unwarranted privileges or advantages for themselves or others from the System or from those who do business with the System.
- Trustees shall not interfere with the management responsibilities of the Executive Director or the supervision of System staff.
- Trustees shall support the efforts of the System in resisting censorship of library materials by groups or individuals.

Trustee Name

Trustee Signature

Date

Adopted: June 8, 2022

SYSTEM RESOLUTIONS

RESOLUTION ON DIVERSITY, EQUITY, AND INCLUSION

WHEREAS, the OWWL Library System remains committed to being an organization that is intentional in its embrace of Diversity, Equity, and Inclusion and is committed to supporting our 42 member libraries to stand against intolerance of any kind;

WHEREAS, any speech or action that threatens the safety, equality, or dignity of any member of our library communities, including ableism, hate speech, homophobia, misogyny, racism, religious persecution, sexism, transphobia, xenophobia, and all other forms of discrimination and oppression, is unethical to the core mission of libraries and librarianship; and

WHEREAS, libraries and library service should recognize, value, and empower all aspects of identity, including: age, ancestry, citizenship status, color, creed, culture, disability/ability, gender expression, gender identity, genetic information, geographic origin, language, marital status, national or ethnic origin, neurodiversity, parental status, pregnancy, race, religion, sex, sexual orientation, socioeconomic status, veteran status, and all others; now, therefore, be it

RESOLVED, that the OWWL Library System, on behalf of its Board of Trustees, will continue to build a culture that is respectful, open to change, and empathetic to all perspectives;

RESOLVED, that the OWWL Library System will hold our organization accountable to our member libraries and to our library communities;

RESOLVED, that the OWWL Library System will ensure our services, spaces, and resources are representative of diverse cultures and perspectives, inclusive, and accessible to everyone;

RESOLVED, that the OWWL Library System will foster intellectual freedom and diverse discourse through Continuing Education opportunities;

RESOLVED, that the OWWL Library System will encourage member libraries and their governing bodies to scrutinize policies, procedures, and practices that may create barriers to service or are exclusionary toward oppressed or marginalized populations;

RESOLVED, that the OWWL Library System will support actionable steps by our member libraries in their ongoing efforts to be inclusive of all community members and to provide equitable library services to all; and

RESOLVED, that the OWWL Library System will maintain an open dialogue and work to continuously educate ourselves and learn with our member libraries to build an inclusive organizational culture.

Adopted: April 14, 2021

RESOLUTION ON FAIR ACCESS TO DIGITAL CONTENT

WHEREAS, OWWL Library System and member libraries have a duty to ensure access to information for all;

WHEREAS, publishers are increasingly imposing restrictions on library purchases of new and popular materials in digital formats;

WHEREAS, libraries are typically required to pay exponentially higher prices for copies of books in digital formats than consumers; and

WHEREAS, these barriers are an impediment to the freedom to read, particularly for those who are most dependent on libraries, as well as a challenge to our long-held commitment to equity of access; now, therefore, be it

RESOLVED, that the OWWL Library System supports all digital content being made equally available to libraries without moratorium or embargo and at fair prices;

RESOLVED, that the OWWL Library System supports itself and member libraries raising public awareness of these issues; and

RESOLVED, that OWWL Library System supports itself and member libraries taking active steps to reduce the efficacy of publisher practices that are harmful to libraries and readers.

*Amended: March 10, 2021
Adopted: November 20, 2019*

RESOLUTION ON FAIR COMPENSATION FOR LIBRARY WORKERS

WHEREAS, the labor of public library workers is critical in ensuring that residents of a region have access to library services;

WHEREAS, the individual boards of member libraries hold the sole responsibility to approve fair and competitive wages; and

WHEREAS, library workers deserve to be fairly compensated for their labor; now, therefore, be it

RESOLVED that the OWWL Library System supports all workers employed by member libraries earning at least the New York State Minimum Wage; and

RESOLVED that the OWWL Library System supports that in circumstances where New York State Minimum Wage laws do not extend to library workers, member library boards decide locally to compensate workers at a level at least equal to minimum wage.

Amended: March 10, 2021

Adopted: June 12, 2019

RESOLUTION ON THE FREEDOM TO READ

WHEREAS, the right to read is a fundamental concern of the OWWL Library System;

WHEREAS, the First Amendment to the United States Constitution guarantees all individuals the right to express their ideas without governmental interference and to read and listen to the ideas of others;

WHEREAS, the freedom to read is an essential component to our democracy;

WHEREAS, private groups in various parts of the country prioritize censorship of reading materials perceived as containing controversial views;

WHEREAS, libraries offer materials for all parts of the community and have a longstanding belief in the ability of each person and family to decide what is right for themselves while maintaining collections that reflect the diversity of the entire community;

RESOLVED, that the OWWL Library System, on behalf of its Board of Trustees, affirms the *Freedom to Read Statement* of the American Library Association, *the Library Bill of Rights* of the American Library Association, and the *Position Statement on the Defense of Intellectual Freedom* by the New York Library Association;

RESOLVED, that it is the responsibility of the OWWL Library System and the library community to contest encroachments upon the freedom to read by individuals or groups seeking to impose their own standards or tastes upon the community at large;

RESOLVED, that the OWWL Library System celebrates the American Library Association's Banned Books Week to support these beliefs;

RESOLVED, that the OWWL Library System encourages all libraries to acquire and make available materials representative of all the people in our society; and be it further

RESOLVED, that the OWWL Library System encourages people to read freely, now and forever.

Adopted: April 13, 2022

RESOLUTION ON MONETARY LIBRARY FINES AND FEES AS A FORM OF SOCIAL INEQUITY

WHEREAS, monetary fines and fees do not serve the core mission of publicly supported libraries to provide free and equal access for all people of their community;

WHEREAS, monetary fines and fees present an economic barrier to library information, materials, services, and programs;

WHEREAS, monetary fines and fees effectively reinforce distinctions among community members based on the ability to pay;

WHEREAS, monetary fines and fees limit library card adoption and library usage;

WHEREAS, monetary fines and fees create a negative impact on community and public relations;

WHEREAS, monetary fines and fees absorb valuable staff time applying, collecting, and managing dues; and

WHEREAS, the vision of the OWWL Library System states “Everyone enjoys the freedom to read, learn, and grow through equitable access to library services.” now, therefore, be it

RESOLVED, that the OWWL Library System, on behalf of its Board of Trustees affirms the “Resolution on Monetary Library Fines as a Form of Social Inequity” of the American Library Association and endorsement of such resolution by New York Library Association;

RESOLVED, that the OWWL Library System implores libraries to scrutinize their practices of imposing fines and fees on library patrons;

RESOLVED, that the OWWL Library System urges governing bodies of libraries to strengthen funding support for libraries so they are not dependent on monetary fines and fees as a necessary source of revenue; and

RESOLVED, that the OWWL Library System encourages libraries, guided by the Core Values of Librarianship and the Library Bill of Rights, to actively move toward eliminating monetary fines and fees and provide free and equitable library services to all people of their community.

Revised: March 20, 2021; September 9, 2020

Adopted: June 12, 2019