

SWON Libraries
Executive Board Meeting
SWON Libraries Office
April 11, 2008

Attendance:

Jay Barkey, President; Sandy Silber, Treasurer; Sarah B. Brown, Mason Public Library; Jennifer Chase, Givaudan Flavors Corporation; Emily Colpi, Mariemont High School; Nancy Ehas, Wilmington Public Library; Kathy O’Gorman, Cincinnati State Technical and Community College; Norma Petkus, Bradford Public Library; Michael Whiteman, Northern Kentucky University, Chase College of Law; Laurel Wolfson, Hebrew Union College; Anne Abate, Executive Director; Glen Horton, SWON Libraries Technology Coordinator; Allison Rolfes, SWON Libraries CE Coordinator.

Call to Order: Jay Barkey called the meeting to order at 1:58 p.m.

President’s Remarks: Jay announced the resignation of Dave Schroeder from the Executive Board.

Presentation and Approval of the Minutes: Laurel moved to approve the minutes from the February 11, 2008 meeting. Mike seconded the motion and it was approved unanimously.

Presentation and Approval of the Financial Reports: Norma moved to approve the February and March financial reports as presented. The motion was seconded by Jennifer and approved unanimously.

State Library Budget Update:

Anne reported on the status of our funding through the State Library of Ohio. Our funding for 2007-2008 and 2008-2009 was cut by 10%. The staff is working to absorb the cut this year and has planned next year’s budget with the decrease considered.

Executive Director’s Report:

Anne reported on some activities in February and March.

The revisions to the SWON Libraries commercial insurance coverage is complete. The change will result in an approximate annual savings of \$1700.

The staff is preparing the new board books for next year. All board members will be asked to bring their books to the summer retreat for updating.

The revision to the Interstate Agreement, including adding Indiana to the agreement, was completed and sent to all parties for review. We are still waiting for opinions before moving forward with the final documents.

Anne visited quite a few libraries in February and March. One new member resulted: Franklin-Springboro Public Library.

Anne is starting the planning for a small nationwide conference on physical delivery of materials to be held in our area in the fall called Moving Mountains.

Anne made a presentation for the HCCA Semi-Annual Meeting. This also provided an opportunity to present our services and Interests Groups to a large audience. There was a great deal of interest in ROYAL from this group.

The Media Resources Interest Group has decided to open their collection up to the rest of the SWON Libraries membership on a pay-per-use basis. The staff has started to implement this plan.

Anne is still considering participating in the ONE Award. Staff workload issues may prevent participation this year.

The staff completed the design of the new lending card that was distributed in March to the Direct Lend contacts.

The entire staff put quite a bit of work into preparing for the Process Improvement series.

Pat attended a Publisher workshop and a Design workshop. She is now our expert in preparing flyers and other publications.

Staff planned a Storage Solutions Workshop for SAALCK that took place on April 1st in Lexington. Over 50 people attended, including several from Ohio.

Technology Coordinator's Report:

Glen reported on some of the items he has worked on since the last Executive Board meeting.

Glen presented Technology Trends and a website tune-up workshop for SWON Libraries. He presented at the Computers in Libraries Conference in Washington D.C. The Technology Interest Group met and celebrated Pi Day. Registration for TechConnections is open and numbers are currently in the 40's.

In addition to others, Glen provided technology assistance to Blanchester Public (website), Wyoming Schools (visit), Campbell County Public Library (problem tracking system).

Glen has purchased a new laptop to be used by himself. The old laptop will be used by the fiscal coordinator.

New sections on the website include a training partners page and a vendor discounts page.

Glen participated in several events and meetings. He attended Cincinnati SLA's Web 2.0 Principles and Best Practices, and the OCLIS meeting, a strategic planning meeting, and a discussion on open source with the other regionals and the State Library.

Program Report:

Allison reported on activities from February through March. Allison pointed out that most events that had to be canceled due to weather in February were rescheduled as soon as possible.

Allison reported on the success of the first Process Improvement workshop and the progress reports from each team that are emailed every Friday.

March was an exciting month with new program offerings. Allison highlighted two programs specifically: Andrew Sanderbeck's program in Springfield on March 5th and Tom Lianez's program on March 12th at the SWON Libraries office. Both speakers were immensely popular and will be invited back.

Allison reported on the hard work that went into the three Summer Reading programs and that 100 librarians from throughout the region and beyond attended. Allison announced the upcoming second session of Process Improvement and the Spring Support Staff Symposium. The "Innovations in Library Design" workshop series will be in the summer.

Some Interest Groups are struggling with attendance. We should work on encouraging attendance among these groups (i.e., Reference Services, Acquisitions, Retired Library Staff).

Finally, Allison announced that her last day at SWON Libraries will be Friday, April 25th.

Strategic Planning Committee Update:

Anne distributed a report from the Committee. They were able to draft a mission and several goals. These have now been handed over to the staff to write up implementation plans.

Evaluation Committee Update:

Kathy O’Gorman commented on the goals report that Anne distributed this week. There is still no formal evaluation process. Anne asked the Executive Board for suggestions for the next set of goals.

Finance Committee Update:

Sandy Silber reported that the group is still reviewing the Personnel Manual.

Anne presented an advance copy of the Proposed Budget. This will be reviewed by the Finance Committee and presented to Executive Board before the May 5th Membership Meeting so that it can be presented to the Directors at that meeting.

Nominating/Board Development Committee Update:

Sandy Silber commented on the work of the Nominating/Board Development Committee and reported the slate for the May 5th Executive Board election.

Jay Barkey is appointing Emily Colpi to fill the position vacated by Dave Schroeder. Norma made a motion to approved Jay’s appointment. Sandy seconded the motion that was approved with Emily abstaining.

Continuing Education Advisory Committee:

Allison has names of people who will be asked to serve on the Committee.

Technology Advisory Committee:

Glen reported that the Committee sent its report to the Strategic Planning Committee for their use.

Other Business:

Follow-Up Report on Executive Board Mid-Year Survey Results:

Anne reported that eight people eventually participated in the survey. The results will be used for semi-annual comparisons. The outgoing Executive Board will be asked to complete the survey before the Summer Retreat.

Update on Direct Lend / ILL Policies:

The Interlibrary Loan and Direct Lend Policies were published to the membership with little complaint. The staff is moving forward with implementation of these policies and will be scheduling mandatory meetings this spring to roll-out the policies completely to the membership.

Capital Improvements Discussion:

Anne mentioned that the building owner asked if we were interested in buying the building. After some research, we did not move forward with an offer.

Policies Update:

Anne presented several draft policies that are recommended based on the new IRS Form 990: Conflict of Interest, Whistleblower, and Document Retention as presented at the end of these minutes.

Sandy Silber moved to adopt the policies as presented. Kathy seconded the motion that passed unanimously.

Announcements:

The dues statements will be sent electronically this year.

Next Meetings:

The next Executive Board meeting will be in June with the date to be set after the May 5th Membership Meeting.

Adjournment: Without objection the meeting adjourned at 3:55 p.m.

Respectfully Submitted,

Anne K. Abate
Executive Director

WHISTLEBLOWER POLICY

SWON Libraries expects Executive Board members and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of SWON Libraries, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations. It is the responsibility of all Executive Board members and employees to comply with these principles and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Executive Board member or employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the organization prior to seeking resolution outside the organization.

Employees are encouraged to share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, the Executive Director is in the best position to address an area of concern. However, if you are not comfortable speaking with the Executive Director or you are not satisfied with the response, you are encouraged to speak with someone on the Executive Board whom you are comfortable in approaching. That individual will refer all matters to the President of the Executive Board. The President of the Executive Board is responsible for investigating and resolving all reported complaints and allegations concerning violations and, with discretion, shall advise the Executive Director.

The Finance Committee of the Executive Board shall address all reported concerns or complaints regarding accounting practices, internal controls, or auditing. The President of the Executive Board shall immediately notify the Finance Committee of any such complaint and work with the Committee until the matter is resolved.

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. The President of the Executive Board will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

DOCUMENT RETENTION AND DESTRUCTION POLICY

SWON Libraries shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference or to comply with contractual or legal requirements. Records and documents outlined in this policy includes paper, electronic files (including e-mail) and voicemail records regardless of where the document is stored, including network servers, desktop or laptop computers and handheld computers and other wireless devices with text messaging capabilities.

In accordance with 18 U.S.C. Section 1519 and the Sarbanes Oxley Act, SWON Libraries shall not knowingly destroy a document with the intent to obstruct or influence an "investigation or proper administration of any matter within the jurisdiction of any department agency of the United States . . . or in relation to or contemplation of such matter or case." If an official investigation is underway or even suspected, document purging must stop in order to avoid criminal obstruction.

In order to eliminate accidental or innocent destruction, SWON Libraries has the following document retention requirements:

Type of Document	Minimum Best Practice Requirement
Accounts receivable & payable ledgers & schedules	7 years
Articles of Incorporation, charter, bylaws, minutes and other incorporation records	Permanently
Audit reports, Financial Statements (year end): general/private ledgers, trial balance, journals	Permanently
Bank Reconciliation	3 years
Bank statements, deposit records, electronic fund transfer documents, & cancelled checks	3 years
Chart of accounts	Permanently
Checks (for important payments & purchases)	Permanently
Contracts, mortgages, notes and leases (expired)	7 years
Contracts (still in effect)	Permanently
Correspondence (general)	3 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Depreciation schedules	Permanently
Donations	7 years
EEOC reports	Permanently
Employment applications* (depending on the # of employees, employers must retain applications & other personnel records relating to hires, rehires, tests, promotions, transfers, demotions, selection for training, layoff, recall, termination or discharge) (Civil Rights Act of 1964, Title VII, ADA, ADEA)	3 year from making the record or taking the personnel action
Expense Analyses/expense distribution schedules	7 years
Garnishments	7 years

CONFLICT OF INTEREST

Executive Board members have a duty to subordinate personal interests to the welfare of SWON Libraries and the members. Conflicting interests can be financial, personal relationships, status, or power. Executive Board members and employees are prohibited from receiving gifts, fees, loans, or favors from suppliers, contractors, consultants, or financial agencies, which obligate or induce the Executive Board member or employee to compromise responsibilities to negotiate, inspect or audit, purchase or award contracts, with the best interest of SWON Libraries in mind.

Executive Board members and employees are prohibited from knowingly disclosing information about SWON Libraries to those who do not have a need to know or whose interest may be adverse to SWON Libraries, either inside or outside SWON Libraries. Executive Board members or employees may in no way use such information to the detriment of SWON Libraries.

Executive Board members or employees may not have a significant financial interest in any property which SWON Libraries purchases, or a direct or indirect interest in a supplier, contractor, consultant or other entity with which SWON Libraries does business.

Since it is not possible to write a policy that covers all potential conflicts, Executive Board members and employees are expected to be alert for and avoid situations which might be construed as conflicts of interests. Any possible conflict of interests on the part of any Executive Board member should be disclosed to the other Executive Board members and made a matter of record, either through an annual procedure or when the interest becomes a matter of Executive Board action.

Any Executive Board member having a conflict of interests or possible conflict of interests should not vote or use personal influence on the matter, and should not be counted as part of a quorum for the meeting. The minutes of the meeting should reflect that a disclosure was made, the abstention from voting and the quorum situation.

These restrictions should not be construed as preventing the Executive Board member from briefly stating a position in the matter, nor from answering pertinent questions of other Executive Board members, since this knowledge could be of assistance to the deliberations.

All Executive Board members will be required to complete the "Conflict of Interests" statement. This policy will be reviewed by the Executive Board annually and given to each new board member for signature during orientation.

Conflict of Interest Statement

I have read and am familiar with the SWON Libraries Executive Board policy concerning conflict of interests, and I have initialed the line opposite the appropriate paragraph below.

_____ During the past year, neither I, nor to the best of my knowledge, any member of my family has had an interest or taken any action which would contravene the policy of this Executive Board.

_____ During the past year, neither I, nor to the best of my knowledge, any member of my family has had an interest or taken any action which would contravene the policy of this Executive Board, except such interest or action fully disclosed below:

Executive Board member signature: _____

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