



UTAH  
**STATE LIBRARY**  
DIVISION

# Standards for Utah Public Libraries 2010

LIBRARY RECERTIFICATION

\_\_\_\_\_ PUBLIC LIBRARY

DATE

XX-XX-20XX

Approved by the Utah State Library Board June 3, 2009  
Effective July 1, 2009- June 30, 2010

Donna Jones Morris – State Librarian / Division Director

Department of Community & Culture



STATE of UTAH – *Department of Community & Culture*

## Overview

In accordance with Utah Code Ann. §9-7-205, the Utah State Library Division (USL) sets standards for public libraries.

The *Standards for Utah Public Libraries* present minimum levels of effort required by public libraries in order to receive certain services and grants from USL. The *Standards* were developed with input from public libraries across the state and were approved by the Utah State Library Board.

A **public library** is defined in the Utah Code as a library that has been established and is maintained by a county or city or combination thereof. Public libraries are financially supported by the local government entity responsible for its establishment and maintenance and staffed by employees hired and responsible to that entity. These libraries must have a board of trustees (Utah Code Ann. §§9-7-401 - 511).

The *Standards* further require that libraries meet additional governance, funding, access, personnel, resources, technology, facilities, marketing, administration, and advocacy requirements, outlined in this checklist. Libraries that meet legal and USL standards are **certified public libraries**. These libraries are eligible to receive the following benefits:

- 1) Federal Library Service and Technology Act (LSTA) funds, provided they meet Federal requirements
- 2) Community Library Enhancement Fund (CLEF)
- 3) State Development Grant funds
- 4) Training and development assistance from USL
- 5) In-Library and patron access to Public Pioneer (<http://pioneer.utah.gov>) databases

All libraries that meet the legal definition of a public library, as indicated above, are eligible to apply for certification (see “Apply for Certification” below). All libraries currently certified by USL will automatically have their certification renewed for FY2008 if they comply with the current certification checklist.

## Apply for Certification: New Public Libraries

### I. APPLICATION PROCESS (Intent & Application):

- 1) City / county or governing body should write a Letter of Intent to Become a Certified Public Library to the Director, Utah State Library Division, signed by a

member of the city / county or governing body. After the jurisdiction has established its intent to seek public library certification, the USL Director will designate the library an emerging library and assign a consultant to assist the library as necessary with understanding and achieving the requirements for initial certification.

- 2) The assigned USL consultant will meet with a member of the city / county or governing body, members of the library board, and the Library Director to review the current Initial Certification Standards Checklist and the library's requirements for compliance. The consultant will provide advice and assistance to the library until such time as the jurisdiction, the board and the library director believe the library is ready for an initial certification review. Depending on numerous factors, this preparation process may take years.
- 3) The formal Application for Initial Certification as a Public Library is a letter submitted to the Director, Utah State Library Division, signed by a member of the city / county or governing body and the library board chairperson requesting an Initial Certification Review. The application must be accompanied by a packet of relevant documentation (in four print copies, and electronic documents if possible) to support the library's request, and as evidence of being qualified for certification. A library submitting a formal Application for Initial Certification submitted to the Director, Utah State Library Division prior to June 30 is eligible for certification in the next fiscal year (July 1 – Jun 30). Libraries are eligible to apply for initial Certification only once per fiscal year.
- 4) Based on the results of this initial certification review, the consultant will recommend one of three categories for the library:
  - a. **Full Certification** – The library is recommended to receive immediate certification for meeting all required certification standards.
  - b. **Pending Certification** – The library is not recommended to receive immediate certification, but can receive certification if standards are met within three (3) months from the date of the consultant review.
  - c. **Not Ready for Certification** – The library currently does not meet some standards on the checklist, and appears to lack the necessary resources to achieve these standards within three (3) months from the date of the consultant review.
- 5) The USL Director will appoint a panel of qualified USL staff to review the application. This panel may include external experts as well. The review panel will recommend one of the three categories based on their assessment of the documentation contained in the application, and will forward their recommendation to the Director within 30 days of receiving the Application. This process may include a site visit by representatives of USL.

- 6) The USL Director will review the consultant's and the review panel's recommendations and make a final decision. The library will be notified of the USL Director's decision by letter within 60 days of receipt of the application.
- 7) Libraries may appeal a certification decision of the USL Director to the State Library Board within 30 days of receipt of the letter, specifying their reasons why they believe they are qualified for certification, or pending certification status.
- 8) New libraries with a legal service area of less than 1,000 population, as established by the most current official data, are not eligible to be certified. Major libraries / library systems with legal service areas of over 100,000 population are not subject to these certification standards

## **II. CERTIFICATION CHECKLIST (Documents & Evidence):**

An application packet for initial certification should include, but is not limited to, the following documentation. (See Initial Certification Review Checklist for details.)

- 1) Official documents, including:
  - Official establishment of the library by the jurisdiction
  - Officially constituted library board
  - Library board by-laws
  - Current population data, if the jurisdiction's population is borderline of the critical populations of 1,000, 2,500 or 100,000, or includes other jurisdiction as part of the "legal service area"
  - City and library budgets, and history of maintenance of effort (MOE) demonstrating that a stable history of adequate funding from jurisdiction tax sources exists, as well as adequate collection development expenditures, and upgrading and supporting technology
  - Plans for library physical facility improvement, or expansion over time
- 2) Other essential documents and policies, including:
  - Strategic, or long-range plan covering three years
  - Technology plan (part of the strategic, or long-range plan)
  - Collection development policy, and evidence of integration with long-range plan goals
  - Internet access policy (Utah Code Ann. §9-7-215 & 216)
- 3) Evidence of other certification standards, including:
  - Library's telephone number listed in the community directory, and numerous other places within the community (LSA)
  - Photographs of the library facility showing signage, ADA compliance, etc.
  - Published hours of operation
  - Evidence that the library is capable and willing to participate in inter-library loan activities

- Information about the automated circulation system, cataloging standards used, and evidence of access to technical support
- Website URL, and patron access to electronic resources
- Library director's qualifications, and evidence of interest in continuing education
- Library staffing full time equivalence (FTE) level, and shared duties
- Orientation for new Library board members
- Library advocacy activities by the director and board members
- Library outreach programs, such as summer reading program, as evidence of the library's broader contributions to the community

### III. OTHER ELIGIBILITY CRITERIA (Successful Library Conditions/Practices):

- 1) Successful public libraries must demonstrate the attributes and conditions that are the hallmark of a library with potential for long term success, including;
  - Evidence of long term support from jurisdiction officials
  - Evidence of a library board that understands and executes its legal and fiduciary responsibilities for guiding the library's operation long term
  - Evidence of a well developed, professional working relationship between library board members and director
- 2) Successful public libraries must have substantial community support, including;
  - Evidence of substantial (based on population) community support for the library in terms of gate count, circulation, attendance at programs
  - Evidence of support from volunteers, or a well established, productive Friends organization
  - Evidence of financial and material support from community donors
- 3) Successful public libraries must be staffed with experienced and knowledgeable staff, including;
  - A library director with some formal library experience
  - Library staff that demonstrates some knowledge of library operations
  - Ability to assess community needs and implement innovative library programming

## Certification Renewal: Certified Public Libraries

A USL Consultant will meet with the library director and board chair to review the current standards checklist. The consultant will assign the library to one of two categories:

- 1) Full Certification – **the library will be certified for three years**
- 2) Provisional Certification – the library does not currently meet all standards and will have 1 year to meet these standards to move into Full Certification status.

**Libraries are certified for 3 years except: 1) libraries in Provisional status, which must be certified annually, 2) newly certified libraries, which must be certified annually for 5 years, and 3) libraries with new directors, which must be certified in the year following the appointment of the new director.**

USL will conduct a certification review for each library every three years; provided all certification standards are met, certification is automatically renewed. If a certified library fails this annual review it will be placed in Provisional Certification status under the same process as that in (2) above, except that it will have 12 months to meet certification requirements. If the library fails this second review, its Provisional Certification status will be revoked, and the library must reapply for certification as a New Library. Revocation of certification status is subject to the same appeal process outlined in (1.3) above. **Currently Certified Libraries with service populations of less than 500 will not be eligible for certification renewal.**

## Certification Categories

**Mentor Libraries:** Certified Public Libraries who also meet at least 90% of the “Best Practices” criteria and would be willing to mentor other libraries (EX: provide training or consulting).

**Certified Public Library:** The library successfully completed the certification process and is eligible for Community Library Enhancement Fund, Federal Grants (by application), access to Public Pioneer, and access to training and development programs at USL.

**Provisional Certification:** The previously Certified Library has failed to meet standards in the annual certification review. The library is eligible to receive a minimum Community Library Enhancement Fund

**Major Libraries:** Libraries with service populations of over 100,000 people are not subject to these certification standards

## Standards Checklist

Changes for FY2009 indicated in **Red**.

Basis for Standard	Certification Levels
<p><b>R</b> – Required by Federal or State Law</p> <p><b>S</b> – State Library Authority for Standards Making (Utah Code Ann. § 9-7-205)</p> <p><b>BP</b> – Best Practice – Professional Practice/Peer Performance</p>	<p><b>Full Certification</b> – meets all R and S standards</p> <p><b>Mentor Library</b> – meets all R and S standards and 90% or more Best Practice standards</p>

	<b>Provisional</b> – currently certified library fails to meet R and S standards
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Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
<b>I. Governance</b> Utahns have access to a library established by a legal jurisdiction with a duly appointed Board of Directors					
R	A. The jurisdiction (county and / or city government) has made the decision to establish and maintain a public library.				
R	B. The jurisdiction has established a Board of Directors for the public library.				See Doc. X <i>Attach list of Library Trustees and their term dates.</i>
R	C. The Board of Directors operates in a manner consistent with Utah Code Ann. §§9-7-402 – 404 (City Libraries), or §§9-7-502 – 504 (County Libraries), and §52-4-201 (Open Meetings Law).				
S	D. The Board of Directors adopts a 3-year long-range plan for the library that covers the current certification year, and presents the plan to the local governing body, with a copy submitted to the State Library.				See Doc. X <i>Attach 3 year plan</i>
<b>II. Funding/Finances</b> Utahns have access to a library that receives the majority of its funding year to year from local government					
S	A. The jurisdiction funds a formal annual budget. The budget includes line items for personnel, library collections, operations, technology, and capital outlay.				See Doc. X <i>Attach current library budget.</i>
S	B. The jurisdiction provides at least 65% of the library's operating expenses from local (city and/or county) government <b>revenues</b> .				See Doc. X <i>Attach Statistical Annual Report.</i> \$XXXXXX Total Operating Expenditures – Data Element #304.5 \$XXXXXX from Local Funds (XXXX%) – Data Element #304.1
S	C. The jurisdiction complies with maintenance of effort funding support for the library. The jurisdiction expends an amount not less than 90% of the amount actually expended on the library in the second preceding fiscal year, exclusive of capital outlay and one-time increases.				See Doc. X – Data Element #304.1 <i>Attach Statistical Annual Report.</i> Current MOE \$XXXX Previous MOE \$XXXX Difference (\$XXXX) = (XXXX%)
<b>III. Access &amp; Services</b> Utahns have access to a library with convenient hours, accessible staff and collections, and provisions for compliance with ADA.					

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
S	A. The library telephone number is listed in the community's printed telephone directory in the white, blue (government), and/or yellow pages. The library telephone number is listed in free online directory listings.				
S	B. The library is open to the public at least 32 hours per week, including a minimum of 8 evening and / or weekend hours, except that libraries serving populations under 2,500 are open to the public at least 20 hours per week, including a minimum of 4 evening and / or weekend hours. Evening hours are defined as non-duplicated hours after 5PM; Weekend hours are defined as non-duplicated hours on Saturday and / or Sunday.				See Doc. X – Data Element #500.1 <i>Attach Statistical Annual Report.</i> Open XXXX hours per week. Mon-Thu XXXX Fri-Sat XXXX Sun XXXX Population of Legal Service Area: XXXX – Data Element #208
S	C. The library actively promotes Interlibrary Loan and initiates reference referrals when materials are not available in the library's own collection to meet patron requests. The library may charge fees to recover some of the costs for ILL service, per board policy.				See Doc. X – Data Element #553 <i>Attach Statistical Annual Report.</i> Current – XXX Previous – XXX
S	D. The library has an automated circulation system that maintains borrower information, tracks overdues, allows holds to be placed on materials, and provides statistical reports.				
S	E. The library has a web site that provides access to an online catalog, contact information for programs and services, and links to online resources and Public Pioneer.				See Doc. X <i>Attach Statistical Annual Report.</i> Website address: XXXX – Data Element #163 Online Catalog: Yes No
BP	F. The library provides assistance for individuals with disabilities in using computers in the library, such as special video monitors or other assistive technology apparatus. Eligibility information for Library Services for the Blind and Disabled is available at the library.				
BP	G. The library provides services to the broad community within its jurisdiction through outreach to special populations, such as those who speak languages other than English; early childhood care providers, schools, literacy teachers, health centers, senior citizens, and social service agencies. Basic programming includes story time and summer reading programs.				

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
BP	H. The library director and at least one other permanent or part-time staff member are available to the public through telephone or email contact. The library has a telephone message system and/ or uses an "Ask-A-Librarian" feature on the library web site.				
BP	I. The library provides a photocopier for public use and a public computer printer. The library may charge for printing per board policy.				
<b>IV. Personnel</b> Utahns have access to a library staffed by competent and well-trained staff.					
S	A. The library director has acquired formal library or related management training through an accredited institution of higher education, or has completed the State Library's UPLIFT program.				
S	B. The library has at least 1.3 FTE employees, except that libraries serving populations under 2500 have at .75 FTE per 1000 population served or 1 FTE, whichever is less.				See Doc. X – Data Element #253 <i>Attach Statistical Annual Report.</i> Current – XXX FTE Previous – XXX FTE Population of Legal Service Area: XXXX – Data Element #208
S	C. New directors complete a State Library orientation program within the first three months of their hire. The directors learn about State Library services and requirements for directors.				
S	D. The library director pursues at least 20 hours of library-related training per year. This training includes both formal and informal learning opportunities.				
S	E. The library director assigns staff responsibilities for cataloging, public services, including children's services and reference, and computer services, including familiarity with Public Pioneer databases, and adaptive technology.				
<b>V. Materials &amp; Resources</b> Utahns have access to a library that offers a full range of materials and electronic resources that are current, classified, and relevant to community needs.					
S	A. The library has a publicly funded budget to purchase materials. The minimum annual expenditure for materials for any size library is \$2,000.				See Doc. X <i>Attach current library budget.</i> See Doc. X – Data Element #356 <i>Attach Statistical Annual Report.</i> Current – XXXX Previous – XXXX

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
S	B. The Library has a written collection development policy, approved by the board, which guides the purchase and weeding of materials, and specifies how the library's collection will meet community needs and how the library will address challenges to materials.				See Doc. X <i>Attach current collection development policy.</i>
S	C. Materials are cataloged according to standard library practices utilizing MARC 21, AACR2 rules, and Sears/LC subject headings. Materials are searchable in OPACs located in the library facility and/or via a web-based catalog.				
S	D. The library provides electronic resources, including Public Pioneer, to users in the library and to home users through library card access or other library authentication processes.				
S	E. Collection purchases support the library roles and community service responses identified through the library's long-range planning process.				See Doc. X <i>Attach current collection development policy.</i> See Doc. X <i>Attach 3 year plan</i>
BP	F. The library's collection is periodically evaluated to measure the effectiveness of material purchases and community use of the collection. Statistical data collected in the statewide annual report, such as, total holdings, circulation, and turnover per capita, can be used for collection analysis.				
BP	G. The library supports the development of small, emergent, or community libraries, such as mentoring and training.				
BP	H. Library materials are marketed to the public in a variety of ways, such as library displays, readers' advisory lists, and promotions on the library's web site.				
<b>VI. Technology</b> Utahns have access to a library that uses the latest technology to improve library operations and patron services.					
R	A. The Library must have in effect an Internet and Online Access Policy in accordance with Utah Code Ann. §§ 9-7-215 and 216, and Administrative Rule R223-2.				See Doc. X <i>Attach current Internet &amp; Online Access Policy</i>

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
S	B. The library budgets for current and future software upgrades, for electrical, data, and communications infrastructure, and for ongoing hardware and software replacements. Planning for the maintenance and upgrade of the library's technology infrastructure is given as a section within the library's 3-year long-range plan.				See Doc. X <i>Attach 3 year plan</i>
S	C. The library provides public access Internet stations to reasonably accommodate community demand. Libraries serving populations under 2,500 shall provide a minimum of 2 public stations.				See Doc. X – Data Element #650 <i>Attach Statistical Annual Report.</i> Current – XXXX Previous – XXXX Population of Legal Service Area: XXXX – Data Element #208
S	D. The library has access to skilled technical support to provide troubleshooting for computer operations, install software and hardware upgrades, and assist with other technology needs, <i>including adaptive technology.</i>				
BP	E. Library staff seeks to improve their computer and Internet searching skills by attending classes, workshops and online training programs.				
<b>VII. Facilities</b> Utahns have access to attractive, functional, and well-maintained library facilities.					
R	A. Library facilities are publicly owned or leased, publicly maintained, and meet Federal Americans with Disabilities Act (ADA) guidelines for providing access to persons with disabilities as provided in the USL ADA Accessibility checklist at <a href="http://www.accessboard.gov/adaag/html/adaag.htm">http://www.accessboard.gov/adaag/html/adaag.htm</a>				
S	B. The library building is identified with signs clearly visible from the street. The entrance is well lighted and hours of service are viewable from outside the building and on the library's web site.				
BP	C. The library has a building plan to accommodate population growth and address potential needs for more space.				
BP	D. The library has convenient and adequate parking based on applicable building codes and anticipated usage.				

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
BP	E. The Library provides access to its collections and services by disabled, blind, and homebound patrons.				
BP	F. The building and its interior project a welcoming image: the furnishings are clean, comfortable, and functional; there are clearly recognizable areas for different uses and users. There is a logical shelving flow to the order of materials.				
<b>VIII. Marketing and PR</b> Utahns have access to a library that promotes its services and programs to library users and the community at large.					
S	A. The library's long-range plan includes public relations activities aimed at increasing the visibility and usage of the library.				See Doc. X <i>Attach 3 year plan</i>
BP	B. The library uses a variety of public relations and marketing tools to inform the public about its materials and services. Examples: appealing print brochures, bookmarks, and newsletters; customer-friendly interior signage; attractive and informative web pages, <i>tv, radio, and internet marketing</i>				
BP	C. The library administration maintains contact and cordial working relationships with the local and regional media.				
BP	D. The library administration maintains contact and cordial working relationships with schools, community agencies, appropriate organizations and businesses, and government officials from the library's service area.				
<b>IX. Administration</b> Utahns have access to a library that is professionally managed.					
R	A. As chief executive officer, the library director administers policies approved by the library board.				

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
R, S	B. The library director submits required reports to the Utah State Library in a timely manner: <ol style="list-style-type: none"> <li>a. 3-year long-range plan (to include planning for technology);</li> <li>b. Statistical annual report;</li> <li>c. Community Library Enhancement Fund expenditure report;</li> <li>d. Summer Reading Program evaluation report; and</li> <li>e. Triennial Internet and Online Access Policy review and update.</li> </ol>				<ol style="list-style-type: none"> <li>a. See Doc. X <i>Attach 3 year plan</i></li> <li>b. See Doc. X <i>Attach Statistical Annual Report.</i></li> <li>c. See Doc. X <i>Attach CLEF report.</i></li> <li>d. See Doc. X <i>Attach SRP report.</i></li> <li>e. See Doc. X <i>Attach current Internet &amp; Online Access Policy</i></li> </ol>
S	C. The library director provides <b>an annual orientation</b> for new board members including specifics on board roles and responsibilities.				
BP	D. The library director provides leadership and communication to the staff, the library board, and to the local governing authority.				
BP	E. The library director pursues opportunities to develop innovative programs and takes advantage of grant opportunities.				<b>Examples: XXXX</b>
BP	F. The library director is a member of the Utah Library Association and encourages staff participation in continuing education activities. The director and key staff subscribe to the Utah Library Network (ULN) and other library discussion lists.				
<b>X. Advocacy</b> Utahns have access to a library with trustees and staff committed to the advancement of library services in their community.					
S	A. The library director and board are active advocates for their library.				<b>Examples: XXXX</b>
S	B. Board members promote and support the library system, its programs and services, in the community they serve.				<b>Examples: XXXX</b>
BP	C. Board members: <ol style="list-style-type: none"> <li>1) Advocate for library service on state and federal levels,</li> <li>2) Belong to the Utah Library Association, and,</li> <li>3) Participate in organized efforts to monitor local, state, or federal laws affecting libraries. Dues for board members and library staff to belong to professional library associations are paid by the library budget.</li> </ol>				

Basis	Standard	Achieved	Will Achieve (date)	Not Achieved	Documentation & Comments
BP	D. The library documents stories about how library services benefit patrons with local, state, and federal funding.				



## CERTIFICATION REVIEW

Library: XXXXX PUBLIC LIBRARY

Certification recommendation:

- Full Certification
- Full Certification, Mentor Library
- Provisional
- Not Certified

Date of certification recommendation: XX-XX-20XX

USL Consultant: XXXX

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The following library officials have reviewed the 20XX edition of the Standards for Utah Public Libraries and are aware of the Utah State Library Consultant's evaluation and recommendation.

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Library Director Name	Signature	Date
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Library Board Chair Person Name	Signature	Date
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Local Government Official Name	Signature	Date
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