Working Relationships

Moderator

Margaret Andrewes, Library Consultant

Panelists

Sam Coghlan
CEO, Stratford Public Library

Joyce Cunningham
Trustee, Fort Frances Public Library Board

Colin Plows
President, Friends of the Ottawa Public Library Association

Convenors

Jami van Haaften & Dorothy Macnaughton, Friends of Canadian Libraries (FOCAL)

Programs co-sponsored by Friends of Canadian Libraries and Ontario Library Boards' Association

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Thursday, January 31, 2013
Session #302 – Part I
9:05am – 10:20am

Our two-part workshop begins with a panel discussion on the role of Friends of the Library, Library Trustees and the Library Director. Role definition, reporting relationships, finance and governance, and the importance of a well defined working relationship, so that roles and responsibilities are well understood will be addressed. Delegates will learn how a Memorandum of Understanding can be used to clarify roles and responsibilities. A toolkit will be circulated following the conference to participants summarizing contents from Part I and Part II.

Session #402 – Part II
10:40am – 11:55am

The two-part workshop continues with round table collaboration to enable participants to work through how roles and relationships are structured, including discussion of the Memorandum of Understanding template and drafting of working documents wit the intent to share post-conference. A toolkit summarizing the results will be circulated to participants following the conference.

Contacts

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LONDON PUBLIC LIBRARY
POLICY

Title of Policy: Friends of the London Public Library
Policy Type: Means
Policy No.: M-102

Effective Date: April 28, 2011   **Review Date:** April, 2015

PURPOSE :

The purpose of this policy is to establish the conditions under which the Friends of the London Public Library is established and operate.

DEFINITIONS

"Friends" means Friends of the London Public Library
"Library Board" means London Public Library Board

POLICY STATEMENT

1)   The Friends may only be established and exists with the approval of the London Public Library Board.

2)   The organization, purposes, executive, membership, and operations of Friends are governed by the Bylaws of the Friends, as approved by the Library Board:
     (a)   all amendments and changes to the constitution and bylaws are subject to Library Board approval.

3)   The relationship between the Friends and the London Public Library is:
     i) the Library Board is responsible for library policy, planning, goal setting, and operations
     ii)   the Friends supports and furthers the objectives of the London Public Library Board through its activities and projects.
     iii)   The Friends will be task-oriented, with tasks related to particular projects, fund-raising activities, or special situations.

4)   The purposes of the Friends are:
     (a)   To promote and publicize library services in the community,
     (b)   To advocate for the library at local levels of government,
     (c)   To recruit members, and
     (d)   To fund-raise.

5)   All fund-raising and other projects of the Friends, including volunteer activities require the prior approval of the Library Chief Executive Officer or designate.

Title of Policy: Friends of the London Public Library
Policy Type: Means
Policy No.: M-102

Effective Date: April 28, 2011   **Review Date:** April, 2015

6)   The Library Board is not obligated to carry forward suggestions, recommendations or proposals of the Friends.

7)   One Library Board member and the Chief Executive Officer or designate will sit on the Executive Committee of the Friends as non-voting members.

8)   Specific fund-raising projects of the Friends will focus on non-core service enhancements and other items that are not addressed in the Library's operating budget.

9)   Friends' volunteers will be trained and managed according to guidelines established in consultation with Library Administration.

10) The Friends, through the Board representative, will report to the Library Board on a regular basis.

11) The Chief Executive Officer will determine an appropriate level of resource support to the Friends, including:

  (a) staff support as advisors, resource personnel, or other appropriate role for specific Friends projects,
  (b) library facilities and resource support (including office space, photo-copying,furniture and equipment, etc.).

12) The Library Board shall not be liable for debts or obligations of the Friends except by prior agreement.

INQUIRIES:
CEO & Chief Librarian

DOCUMENT CONTROL:
Approved: June 17, 1992 (Board Motion L92/54.5)
Reviewed: February 21, 2007 (Board Motion L07/12.4)
                       April 28, 2011 (Board Motion L11/29)

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Jan White, Executive Assistant to CEO and Chief Librarian

**OXFORD COUNTY LIBRARY BOARD POLICIES
(Consolidation 2010)**
http://www.ocl.net/pdf/oclBoardPolicies.pdf

Excerpt from COMMUNITY ENGAGEMENT POLICY (Page 13)

Advisory Committees – Friends of the Library

Intent
The Oxford County Library system depends on its branches having the support of the community served by the branch and requires excellent communication with each community. One means of supporting communication may be the establishment of a Friends of the Library group.

1. Role/Purpose: An Advisory Committee or Friends of the Library group shall choose as its purpose one or more of the following activities:

   a) Advocate on behalf of the Oxford County Library Board for support for the library.
   b) Hold special events.
   c) Assist staff through the provision of volunteer help in accordance with a Volunteer Policy.
   d) Undertake approved fundraising projects.
   e) Advise the Board on ways to improve library service to the community.
   f) An Advisory Committee or Friends of the Library group has no authority to institute policy for the branch.

2. The Advisory Committee shall review its purpose at least every term and make any necessary revisions.

3. The Branch Supervisor shall provide formal liaison with the group and act as Secretary. As such, the Branch Supervisor shall attend all meetings as a non-voting member.

4. Each Advisory Committee is encouraged to consider system-wide projects (e.g., sale of book bags).

5. Currently there are 2 Advisory Committees in the following branches:
   a) Ingersoll Library Advisory Committee
   b) Thamesford Library Advisory Committee

6. Procedures for the establishment and operation of Advisory Committees / Friends Groups are found in the Library Board Governance Policy Manual.

Policy Type: Governance
Policy Title: Local Advisory Committees/Friends of the Library

Intent

The Oxford County Library system depends on its branches having the support of the community served by the branch and requires excellent communication with each community. The Board encourages each community branch of to form a Local Advisory Committee or Friends of the Library group.

Regulation

1. Role/Purpose: A Local Advisory Committee of Friends of the Library group shall choose as its purpose one or more of the following activities:
    a. Advocate on behalf of the Oxford County Library Board for support for the library.
    b. Hold special events.
    c. Assist staff as volunteers in …
    d. Undertake approved fundraising projects.
    e. Advise the Board on ways to improve library service to the community.

2. The Local Advisory Committee shall review its purpose at least every three years and make any necessary revisions.

3. The Branch Supervisor shall provide formal liaison with the group and act as Secretary. As such, the Branch Supervisor shall attend all meetings as a non-voting member.

4. Each Local Advisory Committee is encouraged to consider system-wide projects (e.g., sale of book bags).

5.   Local Advisory Committees/Friends of the Library groups have no authority to institute policy for the branch.

6. Currently there are _____ Local Advisory Committees/Friends of the Library in the following branches:

    a. List existing LACs..

Procedures

1. A Local Advisory Committee/Friends of the Library is established when:
    a. A meeting is held in which a group of individuals desire to form a Local Advisory Committees/Friends of the Library.

    b. The group notifies the Oxford County Library Board in writing of their intentions.

c. The Oxford County Library Board passes a motion to establish the Local Advisory Committee/Friends of the Library.

2. The name of a Local Advisory Committee/Friends of the Library shall be either "*<Name of Branch>* Local Advisory Committee*" or "*Friends of the "*<Name of Branch>* Library.*"

3. Membership in a Local Advisory Committee/Friends of the Library shall be limited to persons who hold a current Oxford County Library Borrower's card registered in their name.

4. A Local Advisory Committee/Friends of the Library shall annually elect a Chairperson and a Vice-Chairperson, and a Treasurer, if appropriate.

5. Since the Branch Supervisor acts as Secretary to the Local Advisory Committee/Friends of the Library, reasonable secretarial expenses shall be considered Branch expenses of the Oxford County Library Board.

6. A Local Advisory Committee/Friends of the Library shall hold regular meetings no less than four (4) times per year.

7. The Secretary shall forward copies of the minutes of each meeting to the Chief Executive Officer to be forwarded to the Oxford County Library Board.

Memorandum of Understanding
(Hereinafter referred to as the MOU)

Between

Ottawa Public Library
(Hereinafter referred to as "the Library")

And

The Friends of the Ottawa Public Library Association
(Hereinafter referred to as "the Friends")

Hereinafter referred to jointly as "the Parties"
Concerning the

Relationship between the Ottawa Public Library
and the
Friends of the Ottawa Public Library Association

1.0   **General Information**

1.1 The Friends of the Ottawa Public Library Association is incorporated as a not-for-profit organization pursuant to the Canada Corporations Act and has received charitable status with Registration # 119234193RR0001

1.2 The Friends offers all "friends" as defined in the Oxford Dictionary, of the Library the opportunity to be counted as members of a formal organization dedicated to the support of the Library, either through the payment of a Friends membership fee, contribution of voluntary service, or both, in support of Friends activities.

1.3 The Library recognizes the existence of this apolitical independent organization, which shares the goals of the Library to enhance and promote library service and literacy in the city of Ottawa. The Friends is a focal point for citizen volunteer activity; it advocates for public library service and literacy in Ottawa and raises funds primarily through the sale of memberships, trust fund income, sponsorships and the ongoing operation of used bookstores and special sales. Funds raised are intended for both new and existing select library programs and services, and for select capital needs of the Library. Allocation of funds raised by the Friends is by the sole authority of the Friends; however, the City Librarian, will provide advice on allocation priorities and may refuse offers deemed inappropriate for the Library.

1.4 In accordance with the Friend's by-laws, under no circumstances will the Friends financial support for the Library be considered or perceived to be a replacement for adequate public funding for the Library.

1.5 In order to seek the active participation of all Friends members in good standing in the development of advocacy policies and in the decisions of how to allocate funds raised, all Friends' Board meetings shall be open to the public, with paid-up members granted

the right to address the Board on specific issues before it. As well, Board members representing Friends local committees shall represent the views of those committees.

1.6 The Friends advocate the development and maintenance of a strong public library system in the city of Ottawa accessible to citizens of all ages, capabilities and economic circumstance. The Friends, independent of the Library, will use appropriate avenues for advocacy. When engaged in advocacy the Friends will exclusively use monies it raises by itself. In its advocacy role the Friends may speak for and mobilize the support of library users.

1.7 In its advocacy role the Friends may speak out in the interest of providing such things as more library branches or protecting the existence of library branches already in the system particularly when the Library is restricted from public advocacy, political or otherwise.

1.8 In its advocacy role the Friends may interact with elected or appointed city officials independently of the Library.

2.0 **Objective of the Memorandum of Understanding**
The objective of this MOU is to clarify the relationship between the Parties as well as each Party's roles and responsibilities relative to each other.

3.0 **Relationship Issues**
To ensure collaboration, communication and cooperation between the Library and the Friends the following actions shall be undertaken:

3.1 The Friends will operate independently of the Ottawa Public Library Board.

3.2 The Library will keep the Friends informed of matters in a timely fashion through the City Librarian, including provision of a copy of the Library's board meeting package to the Friends president.

3.3 The City Librarian serves as ex-officio non-voting director of the Friends attending all regular meetings. (*Friends by-laws section xxxx*)

4.0 **Independence Issues**
In order to maintain the independence of the Friends and to maintain awareness of the responsibilities of the Library, the parties agree that:

4.1 The Friends and the Library retain the right to set policies pertaining to fundraising, sponsorship and advertising but in setting such policies, will respect the responsibilities and policies of the other.

4.2 The Friends will respect the Library's right to refuse any gift, sponsorship or advertisement that the Library deems to be inappropriate for the Library or is not in keeping with the Library's mission, ends, core values and policies.

4.3 No party shall attempt to exercise undue influence over the operations or direction of any of the other party.

5.0   Establishing and Identifying Funding Priorities
The Library will work closely with the Friends to determine appropriate fundraising goals and priorities for the enhancement of the Library and its services.

   5.1 The mechanism(s) to determine priorities and to enable the expenditure of Friends funds for the Library should not be overly burdensome for either the Library or for the Friends.

   5.2 On an annual basis or more frequently as agreed to by the Parties, the Library shall make a written request to the Friends stating the purposes for which funds are being sought. The request shall include a short summary outlining the needs and the level of funding support required, as well as a prioritization of the those needs. The Friends will respond to requests in keeping with its philosophy, and will approve the final form of the list of requests in principle. Each item on the request list will be subject to motion of the Friends Board of Directors as funds become available. The City Librarian will ensure that there is no conflict with any priority list presented to the Foundation by the Library.

   5.3 There shall normally be sufficient prior consultation between the Parties before each funding request to ensure that the Friends can respond with deliberation; however, the Friends shall undertake to meet emergency situations expeditiously to the best of their abilities.

6.0   Coordination and Integration of Fundraising

   6.1 The Library will encourage all Library staff to work closely with the Friends of the Ottawa Public Library to ensure an integrated approach to revenue generation and to maximize potential funding for the Library.

   6.2 The Friends will work closely with the Ottawa Public Library Foundation to support an integrated approach to revenue generation for the Library.

   6.3 The Friends will not knowingly make any representation in support of the Library to any potential funder or partner without prior consultation or agreement with the City Librarian.

   6.4 The Library will not knowingly make any representation on behalf of the Friends to any potential funder or partner without prior consultation.

   6.5 It is understood that monetary donations and other forms of gifts to the Friends for the support of the Library will normally be directed to the Ottawa Public Library Foundation unless the donor directs otherwise e.g. a donation specifically made for the Friends or a bequest made specifically to the Friends.

7.0   Administrative Issues

   7.1 The Friends will prepare an annual report of activity for inclusion in the Library's Annual Report, or as requested by the City Librarian.

   7.2 The Friends will produce financial reports as required by legislation and shall furnish regular copies to the City Librarian.

7.3 The Friends are responsible for the deportment and conduct of Friends volunteers working on library property and will investigate any complaints by the public and take appropriate corrective measures when and as needed.

8.0   **Library support for the Friends**
The Library shall provide assistance to the Friends in a manner and form that is reasonable for an organization conducting volunteer activity of the size and scope undertaken by the Friends. This assistance shall include but not necessarily be limited to:

    a. Retail and storage/sorting space for the Friends used book stores. This also includes the provision of services such as utilities, cleaning and maintenance.

    b. Use of the library meeting rooms and facilities to the Friends at no charge.

    c. Assistance with preparation and production of fundraising materials or other promotional activities as may be required by the Friends within the limitations of available library staff and the Library's operational priorities.

8.1 The Library shall endeavour to secure advice and support for the Friends on technical issues provided there is no conflict with the Library's public duties.

8.2 The Friends will have first call on all the Library's discarded and donated books for re-sale as well as the reasonable provision of transport of these items from receiving branches to Friends bookstore locations on a space available basis. When large donations make this arrangement impractical, the Library will give reasonable notice to the Friends so that the Friends may make alternate arrangements.

8.3 As a guide to accepting donations at library branches, the following guidelines apply:

    1) Children's books in reasonable shape e.g. clean, no missing covers, pages or defacing.
    2) Young adult fiction e.g. Babysitters, Goosebumps Scholastic, Nancy Drew, Hardy Boys, Tom Swift etc. Age of materials does not matter in these cases provided the books are in good condition.
    3) Fiction and non-fiction including textbooks in hard or soft cover not more than 10 years old except in the case of classics.
    4) Coles Notes, travel literature (not more than 5 years old) histories, dictionaries and thesauri of any age are acceptable as well as coffee table books in good order.
    5) All books must be intact and free of yellowed pages, smells and mildew.
    6) Audio-visual material should be intact and undamaged.
    7) Magazines are not accepted unless they are in good condition and appear to be of high quality and of technical or historical value.

8.4 When the Friends conduct occasional major book sales using municipally owned buildings (e.g. recreational complexes) the City Librarian will be asked to intervene with municipal authorities to request that the facility be made available to the Friends on the same rates as charged to municipal institutions (e.g. the OPL), noting that funds raised will ultimately support the Library. In a similar vein, when space is available on the library vehicles used to move books between library branches, the City Librarian will, if possible, arrange for the shipment of books or a reasonable portion thereof from storage/sorting locations to and from the place of sale. This will simplify the administrative and financial accounting burden on FOPLA volunteers, and will ensure monies raised by the Friends ia available to support the OPL with minimum overhead for the Friends.

8.5 The Friends will maintain displays containing donation boxes and membership applications with pre-addressed envelopes at all library branches. It is the sole responsibility of the Friends to collect and account for monies from these boxes and no liability accrues to the staff for damage or theft.

8.6 When a patron completes a Friends membership form, the library staff will ensure that the patron is aware that the application with fee must be mailed to the Friends at the Main Branch via the Canada Post, since the Library cannot accept responsibility for non-public monies in its internal mail system.

9.0 Parties Representatives

The following persons will be the authorized representatives of the parties for the purposes of this MOU and may be contacted at the following addresses:

For the Ottawa Public Library:

_____   _____
Rick Chiarelli, Chair   Date:Sept 11, 2006
Ottawa Public Library
120 Metcalfe Street
Ottawa. ON K1P 5M2
T. 613-598-4001   F. 613-567-8815
Email: rick.chiarelli@ottawa.ca

For the Friends of the Ottawa Public Library Association:

_____   _____
Andrew Billingsley   Date: September 11, 2006
President
The Friends of the Ottawa Public Library Association
250 Harmer Ave S
Ottawa, Ontario
K1Y 0V6

Witness for the Ottawa Public Library

_____   _____
Barbara Clubb, City Librarian and CEO   Date: September 11, 2006
Ottawa Public Library
120 Metcalfe Street
Ottawa, ON K1P 5M2
T. 613-598-4001 F. 613-567-8815
E-Mail: barbara.clubb@library.ottawa.on.ca

Witness for the Friends of the Ottawa Public Library Association:

_____   _____
Lori Nash   Date: September 11, 2006
Vice President
The Friends of the Ottawa Public Library Association
247 Tompkins Ave
Orleans , Onytario
K1E 1H1
E-Mail lori.nash@rogers.com

A Stratford Public Library Fundraising Protocol
Approved June 21, 2005

1. BACKGROUND

Stratford Public Library (SPL) has been contributing to the well being and betterment of Stratford, the community and its residents, since the middle of the nineteenth century. SPL was born as a corporate entity August 8, 1853 with the incorporation of the Stratford Mechanics' Institute (with A.B. Orr as President).

From the beginning, SPL has relied upon generous volunteer effort. In the early years, SPL relied upon "successful and influential men [*sic*] of that day, some of whom doubled as librarian when there was a need in that area". In fact, paid staff and grants from the City did not become staples of SPL sustainability until after several decades of surviving on philanthropy and fees.

This reliance upon generous volunteer effort continues to this day with a volunteer library board and dozens of volunteers helping with library operations. Many spectacular SPL successes in recent years have been in the area of fundraising thanks to the activities of SPL's *associate groups*: the Friends of the Stratford Public Library ("**the Friends**") and the Stratford Public Library Foundation ("**the Foundation**").

2. PURPOSE

Together, the Friends, the Foundation, the Board and staff have annually held countless events and sought sponsors in support of their events. However, there is a potential for conflict. For instance, two or more groups might approach the same business within the same timeframe but for different events, or two businesses in competition might both be approached to sponsor the same event.

The purpose of this protocol is to clarify the roles of the various groups in regard to fundraising activities for SPL.

3. THE GROUPS

3.1 The Board

Stratford Public Library is under the management and control of the Stratford Public Library Board (Public Libraries Act, s. 3(3)). Stratford Public Library Board (hereafter, "**the Board**") has chosen to govern SPL according to principles of John Carver's Policy Governance® model. Under the Policy Governance® Model, the Board delineates its own role as separate from that of staff (see http://www.carvergovernance.com/model.htm for a more detailed description of the model).

The Policy Governance® Model is based on the premise that, "The Board is where all authority resides until some is given away (delegated) to others". Both associate groups acknowledge that any fundraising activities they undertake must be done either with the explicit approval of the Board or within policies and strategic plans established by the Board.

Board members are appointed by City Council. The Board proposes a budget to City Council each year (in 2004, 85% of SPL's operating budget of $1.6 million was paid by the

City).   In the spirit of Policy Governance®, the Board is a governance board, focussing on policy development, planning, linking to the community and advocacy.

The Board's mission as of July, 2000 (*"for the next three to five years"*) is:

> *The Stratford Public Library provides access, through the assistance of a well trained staff, to a wide variety of materials and resources that both support lifelong learning and respond to the interests of patrons of all ages. The Library meets the specific needs of its community by providing a learning environment, the resources to help people reach their personal literacy goals, and the tools needed by students of all ages to further their educational progress.*

The Board, as a body, does not often involve itself with fundraising efforts other than to establish policies regarding the fundraising efforts of others.

On the other hand, individual board members are encouraged to become involved but through one of SPL's associate groups (the Foundation and the Friends). The Board is not registered with the Canada Revenue Agency as a charity (although tax receipts for donations and gifts can be issued through the City, but under the Income Tax Act).

3.2 The Staff

The Board hires a Chief Executive Officer (CEO) who is responsible for meeting ends established by the Board within limitations also established by the Board. In theory under the Policy Governance® model, other SPL staff work for the CEO (and not directly for the Board) but, in reality, great effort is expended to establish a spirit of teamwork where staff and the Board see themselves working together. Staff engage in fundraising activities under authority delegated through the CEO.

SPL boasts of having a capable, dedicated, professional staff that operates an efficient and highly effective library service that is responsive to the needs of Stratford and its residents. Staff at times find themselves in the position of undertaking fundraising efforts in the form of seeking sponsorships for library programmes, usually on an *ad hoc* basis. This often includes proposal writing either on behalf of one of the associate groups or in support of a staff-initiated concept. Staff frequently administer promotions or small-scale fundraising activities that take place within the library (from selling tickets to library programmes to selling fundraising products). Often these in-library activities are administered by staff on behalf of associate groups or the Board, but they can also be for programmes that staff have initiated.

Fundraising by **Library staff** has been largely of the type that asks for little or no buy-in from donors. Typical activities have included finding a local organization to donate refreshments for an event. Except when staff are acting on behalf of the Friends or Foundation, donations raised directly by Library staff tend to result more from the donor's response to receiving excellent service than from a specific request by the staff. One notable exception that precedes the existence of either the Friends or the Foundation was the donation by the Chalmers family to create the "Chalmers Public Theatre Resource Collection" (see http://www.stratford.library.on.ca/chalmers.htm).

A Volunteer Program Manager recruits and administers activities of several dozen volunteers who assist staff in the performance of a variety of tasks ranging from one-time

activities to ongoing responsibilities. Volunteers play an important role in assisting with delivery of one-time events, including fundraising events and other that raise revenue.

A very close relationship exists between fundraising and volunteerism. The act of volunteering can be described as a gift of services and time. Accordingly, the CEO must ensure that staff and all groups pay careful and ongoing attention to the role of volunteers *vis à vis* fundraising.

3.3 <u>The Friends</u>

The Friends group was formed in 1996 to assist with fundraising for specified furnishing and equipment and to assist with social and public relations events. The purpose and goals of the Friends as articulated in the Constitution and By-laws are:

> *The Friends shall be a non-policy making and non-profit organizations, the object of which shall be to promote the following purposes:*
> * *to enable the Library's pursuit of its objectives through fundraising;*
> * *to increase, through promotion and public relations, the community's understanding of the benefits of the Library;*
> * *to foster awareness and understanding of the importance of the Library's role in the community;*
> * *to provide opportunities for volunteers to participate in activities which achieve the Board's Mission.*

Key projects of the Friends have been the annual book sale and the magazine subscription program whereby sponsors are sought for SPL magazines. Also, funds from the Friends have allowed SPL to provide children's programmes without charging a fee for admission.

The Friends excel at activities such as the annual book sale and the ongoing solicitation of magazine sponsorships. A library fundraising consultant describes these as being among the type of gifts that require very little or no "buy-in" from donors - they simply give their gifts.

The mandate of the Friends is couched in very general language, deliberately so in order to not unnecessarily impede the ability to seize opportunities or pursue new ideas. Currently, the Friends' focus is to fund activities that raise awareness and understanding of the library.

The Friends group is not incorporated but is registered as a charity with the Canada Revenue Agency.

3.4 <u>The Foundation</u>

The Foundation was incorporated September 29, 1998 with objects as follows:

> *To receive and maintain a fund or funds and to apply from time to time all or part thereof and the income therefrom for charitable purposes of ensuring the highest possible quality of library services for the community served by the Stratford Public Library. Specific emphasis shall be placed on maintaining equity of access to library services and on funding programs that will enhance the Library's role and mission.*

The Foundation was originally established with the intention to create endowment funds that could support extraordinary SPL activities. The Foundation has established the Orr Family Endowment Fund and another general endowment.

The Foundation is developing a planned giving approach and also supports selected projects of considerable scope. For instance, the Foundation currently sponsors PLOW, *Public Library On Wheels*, a community outreach literacy program of the Perth County Information Network, managed by SPL in partnership with Perth East Public Library and West Perth Public Library.

The Foundation is incorporated and is registered as a charity with the Canada Revenue Agency. The Foundation recently approved its "Donation and Investment Policies & Procedures" which includes both a Privacy Statement and a Code for Fundraising Accountability.

4. DISCUSSION

The protocol is intended to inculcate and support a culture of continuous and full communication amongst the groups in order to achieve voluntary coordination of their fundraising activities. Accordingly, the protocol is not just about the Friends and the Foundation. Without full communication and coordination of effort, it is easy to imagine a single business being approached by representatives of the Board and/or staff, as well as the Friends and the Foundation.

5. THE STRATFORD PUBLIC LIBRARY FUNDRAISING PROTOCOL

5.1 The Protocol

5.1.1 All fundraising efforts must be approved by the Board.

5.1.2 All fundraising efforts must be planned in conjunction with the CEO and within the dictates and spirit of the strategic directions set by the Board, including within parameters and targets that the Board may set from time to time.

5.1.3 No fundraising will be undertaken to fund routine operating activities that should be covered by the City's budget

5.1.4 All fundraising activities will be undertaken in accord with the "Privacy Statement" and the principles of the "Code for Fundraising Accountability" of the Foundation's "Donation and Investment Policies & Procedures"

5.1.5 In October of a year, each associated group and the CEO (for Library staff) will submit a Proposed Fundraising Plan outlining, in general terms, the group's plans re fundraising for the following year.   The Plans will include what activities are planned and what funds are planned to be made available in the following year to SPL. It is expected that such plans will have been discussed with the chief executive.

The Presidents of the associated groups and a staff member designated by the chief executive will be invited to attend a SPL Board Meeting in November or December for the purpose of discussing the Plans, including the staff's Plan.   The Board may suggest revisions to a Plan, but only in discussion with the appropriate group. The Board may

request coordination between the associated groups, especially if their Plans include aspects that are outside the general guidelines of scale and scope as follows:

5.1.5.1 Friends and staff undertake activities that call for little buy-in from donors and the Foundation undertakes activities that call for greater buy-in; and

5.1.5.2 Friends support ongoing enhancements to SPL's operation but on a one-at-a-time basis and the Foundation supports major projects and service enhancements, not usually of an ongoing nature.

5.1.5.3 The CEO may assign staff to assist the Friends and/or Foundation as she/he deems appropriate and affordable.

5.1.6 The groups will not proceed with implementing their plans until the Board has indicated approval. Nonetheless, yearly approval is not required for a group to continue implementing an ongoing fundraising program that is already underway, having been approved in a Plan in the previous year.

5.1.7 For staff, this approval flows through the Chief Executive Officer within the parameters of John Carver's Policy Governance® model (the Board establishes limits on what the CEO can do, or allow to be done by other staff).

5.1.8 The CEO must ensure that staff, and all groups, pay careful and ongoing attention to the role of volunteers *vis à vis* fundraising.

5.1.9 Informal communication among members of associate groups about fundraising activities must be respectful of the need for privacy of donors and potential donors.

5.2 Database

Staff, receiving advice and guidance from the Friends and Foundation, will maintain an ongoing database of who in the community has been approached, or is about to be approached. Members of the Friends, the Foundation, all staff and any Board members who are about to contact any person or any organization in the community shall, first, check the database through staff as designated by the chief executive for previous or planned contacts and, secondly, have designated staff update the database with any contacts that they plan.

The database will include a statement of when it should be acceptable to approach this person or organization again. All users of the database shall respect this statement and not approach a person or organization before the date stated in the database.

6. CAPITAL FUNDRAISING

In the event that the opportunity arises to support the building of a new library building, or an expansion to the existing building, the Board will meet with the associate groups in order to develop appropriate roles for each group in capital fundraising for the building.

Roles and Relationships

Roles and Relationships

Many Friends groups form because of initiative taken by a Library Board Trustee, manager or staff member. However, there is an important distinction between the role of the Library Board, Friends, and library management and staff.

Open communication on a regular basis by all parties is critical. Representation at Friends meetings by the Library Director/CEO or a liaison person and a Library Board Trustee demonstrates to the Friends group that they are important and worth the time and support of the library.

Should a Library Board Trustee also serve as the Friend's President? This question was posed recently on the Friends of Libraries U.S.A. (FOLUSA) listserv.

FOLUSA's Fact Sheet #10 The Role of the Friends Board notes "Friends may be future Trustees, and Trustees future Friends; however, there should be no overlapping boards."

The role of the Friends of the Library is not to set library policy. A member should not have more power and authority than his or her peers on either board. A conflict of interest could arise if a member of the Library Board setting policy is also a member of the Friend's Board, in a position to influence decisions about funding. In addition, according to the FOLUSA fact sheet, the Library Board may implement a policy that may not be in the best interest of the Friends.

Sally Reed, FOLUSA's Executive Director, describes the risk of micromanagement, where an individual may cross the line between governance and not management of the library. "Both boards are (and should be) evolving with new members coming on and others leaving," says Reed.

Reed discussed this topic in the August 2005 issue of FOLUSA Newsupdate.

"The most highly functional organizations have a very clear sense of the different roles of the key players - Trustees, librarian, Friends' board members – and will ensure that they do not overlap in terms of decision making and authority".

Resources:

Macnaughton, D. & van Haaften, J. (2007). *How to form your friends of the library group.* Sault Ste. Marie, ON: Friends of Canadian Libraries.

Friends of Libraries U.SA. *Fact sheet #10 the role of the friends board.* (www.folusa.org/resources/pdf-versions/fact-sheet-10.pdf)

Friends of Libraries U.S.A. *Fact sheet #11 Role of trustees.* (www.folusa.org/resources/pdf-versions/fact-sheet-11.pdf)

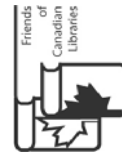Southern Ontario Library Service. (1999). *Trustee tips #16: cultivating your friends.* Toronto: SOLS. (http://www.sols.org/publications/trusteetips/Tip16.pdf)

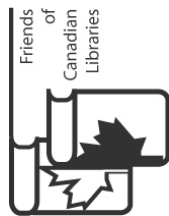Service des bibliothèques de l'Ontario-Sud. (1999). *Tuyaux pour administrateurs No. 16 embarquez vos amis dans les amis.* Toronto: SOLS. (www.sols.org/publications/trusteetips/french/Tuyaux16.pdf)

Southern Ontario Library Service. *Small library kits #10 initiating a friends of the library group* (1999). Toronto: SOLS. (www.sols.org/publications/kits/smalllibrary/index.htm (links to document and appendices)

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	BOARD	CEO	STAFF	FRIENDS
Mission	• To govern	• To administer	• To implement	• To support
Mandate	• Public Libraries Act • Municipal By-law	• Job description • Mission statement, goals and objectives	• Job description	• Constitution
Role	• Policy & planning • Accountability • Advocacy	• Administration • Planning and procedures • Advocacy	• Implementation • Administration as delegated • Advocacy	• Fundraising • Volunteer support • Advocacy
Responsibilities	• Fiscal health of the library • Representation of the community • Services that meet needs of community • Liaison with Council • Securing support for the library from Council and the community	• Delivery of services • Staffing • Budget monitoring • Representing the library in the community	• Provision of services • Advising CEO on services • Representing the library in the community	• Fundraising campaigns • Volunteer hours or scheduling • Speaking out for library services in the community
Activities	• Monthly meetings • Budget presentation to Council • Development and review policies and plans • CEO performance appraisal	• Carry out Board directives • Monitor service delivery through output measures • Supervise staff • Report to Board	• Executive procedures • Report to CEO or delegate	• Plan and execute fundraising activities • Work as volunteers on specific services • Report to Board • Maintain membership

This table originated from the Southern Ontario Library Service. It presents the essence of the necessary separation of roles and responsibilities.

fact sheet #25
for Friends and Foundations

United
for Libraries
Association of Library Trustees,
Advocates, Friends and Foundations
A division of the American Library Association

SAMPLE MEMORANDUM OF UNDERSTANDING

Sample Memorandum of Understanding Between Friends and Libraries

The following will constitute an operating agreement between the Friends of the Anytown Public Library (Friends) and the Anytown Public Library (Library). It will stand until and unless it is modified by mutual agreement of the Friends executive board and the Anytown Public Library administration. The Friends mission is to raise money and public awareness in the community to support the services and programs of the Library. As a non-profit, 501(c)(3) organization, however, the Friends group is a legally distinct entity and is not a part of the Library.

The Library agrees to include the Friends in the long-term planning process to ensure that the Friends are aware of the goals and direction of the Library.

The Library agrees to share with the Friends the library's strategic initiatives at the beginning of each fiscal year and discuss with Friends how their resources and support might help forward these initiatives.

The Library agrees to supply the Friends with a "wishlist" each year that indicates the anticipated needs for Friends support.

The Library agrees to provide the Friends with staff support to assist them with development of the newsletter, mass mailings, meeting coordination, and Friends promotional materials.

The Library agrees to provide public space for Friends membership brochures and promotional materials.

The Library agrees to provide the Friends with space in the Library for book storage and sorting, book sales, and office needs.

The Friends agree to publicly support the Library and its policies.

The Friends agree to include a member from the library's administration as a non-voting presence at all Friends' meetings and to allow room on the agenda for a library report.

The Friends agree that any and all monies raised will be spent exclusively for library programs, services, and other Library defined needs unless otherwise agreed to by both the Friends and the Library.

The Friends agree that the library administration has the final say in accepting or declining any and all gifts made to the library.

The Friends agree to engage in advocacy efforts on behalf of the Library under the guidance of the Library and the Library's Board of Trustees.

The Friends agree that if they cease to actively fundraise and promote the Library, they will disband, allowing for a new Friends group to be established in the future.

For additional information, see Fact Sheet #23, "Guidelines for Giving."

United for Libraries

Recommended Reading

Loucks, R. (Ed.) (1994) Should our library form a "Friends of the Library" group? *Trustee tips* #8. Retrieved January 19, 2013 from http://www.sols.org/files/docs/develop/publications/ trusteetips/trusteetipsTip8e.pdf

Loucks, R. (Ed.) (1992) The Role of the Board in Advocacy and Lobbying *Trustee tips* #5. London: Southern Ontario Library Service. Retrieved January 19, 2013 from http://www.sols.org/files/docs/develop/publications/trusteetips/trusteetipsTip5e.pdf

Loucks, R. (Ed.) (1999) Cultivating your Friends . Trustee tips #16. Retrieved January 19, 2013 from http://www.sols.org/files/docs/develop/publications/trusteetips/trusteetipsTip16.pdf

Macnaughton D. and van Haaften, J. (2007) *How to form your Friends of the Library group.* Sault Ste. Marie: Friends of Canadian Libraries.

Ontario Library Boards' Association (2012) *Leadership by design.* Retrieved January 1, 2013 from http://www.accessola.org/OLAWEB/OLBA/Leadership_by_Design/ OLAWEB/OLBA/Leadership_by_Design/Leadership_by_Design.aspx?hkey=81a464f2-176e-405c-9947-765abe323df2

United for Libraries (2012) The role of the Friends Board. *Fact sheet for Friends and Foundations* #10. Retrieved January 19, 2013 from http://www.ala.org/united/ foundations/factsheets

United for Libraries (2012) The role of the Library Trustees. *Fact sheet for Friends and Foundations* #11. Retrieved January 19, 2013 from http://www.ala.org/united/ foundations/factsheets