

# COLLECTION MANAGEMENT POLICY

## I. Purpose

This "Collection Management Policy" (the "Policy") sets The Field Library's policy and procedures governing:

- Selection
- Procurement
- Cataloging
- Evaluation
- Removal

of "Library Resources" as defined in this Policy.

The purpose of this Policy is to position the Library to assure its community, and relevant oversight authorities, that the Library's collection management practices meet the needs of the community served by the Library, uphold the Library's mission, and comply with relevant law and regulations.

## II. Definitions

Because the management of Library Resources by a NY Regents-chartered library is controlled by law, regulation, and Regents' policy, this Policy uses the following precise terms, drawn from those laws and regulations, to define specific concepts critical to orderly and compliant collection management:

**(the) Library:** The Field Library, which is an association library chartered by the Regents in 1887.

**(the) Charter:** The most recent version of the document that creates the Library, as approved by the Regents.

**Area of Service:** The precise, geographically-defined community served by the library, as described in its Charter and Plan of Service and any contractual or policy arrangements.

**Trustees (or the "Board"):** The members of the Library's governing board, responsible for setting Library policy and hiring the Executive Director.

**Executive Director:** The professional hired by the Trustees to lead the library and supervise all other library employees. The minimum qualifications of a library director are set by 8 NYCRR 90.8, and include educational and continuing education requirements set by 8 NYCRR 90.7.

**Library Resources:** As defined by 8 NYCRR 90.3, "Library Resources" means "the print and nonprint materials owned by the library and any other services provided by the library to the

resident borrowers of the Library's Area of Service." In this Policy, Library Resources held by the Library are collectively referred to as the "**Catalog**" or "**Collection Materials**."

**Collection Management:** The overall term for the selection, procurement, cataloging, evaluation, and removal of Library Resources.

**Selection of Library Resources:** The process by which Library Resources are chosen by Library staff (see "Selection Criteria" below), based on the Library's budget and through use of vetted materials.

**Selection Criteria:** The criteria determined by the Director and other Library staff, based on the goals and identified community needs in the Library's Strategic Plan adopted by the Board, that must be met by the Collection.

**Procurement:** The process by which selected Library Resources are purchased. Procurement is governed by a combination of law, regulation, and Library policies. For certain purchases, it may also be governed by grant terms required by funding sources.

**Cataloging:** The process by which purchased items are formally added into the Library's collection. "Cataloging" includes how selected materials are listed in the Library's catalog and in what section of the Library they are placed (where they are "shelved").

**Evaluation:** The process by which collection materials are periodically reviewed to ensure they remain physically intact, relevant, and meet "community needs" as required by 8 NYCRR 90.2(6).

**Request for Re-Evaluation:** The formal process by which any trustee, library employee, or individual served by the Library may request re-evaluation of a Library Resource being included in the Library's Catalog, per the library's Selection Criteria.

**Strategic Plan:** A community needs-based, board-approved, written strategic plan of service developed by the Library Trustees and staff. As required by 8 NYCRR 90.2, the Library's Strategic Plan includes the goals and identified community needs that must be met by the Library's Collection.

**Annual Report (to the community):** An annual report to the Library's community setting forth the Library's progress in meeting its mission, goals, and objectives, as outlined in the library's Strategic Plan.

**Annual Report (to Education Department):** An annual report to the State Education Department, required by 8 NYCRR 90.1 and the NY Education Department's Division of Library Development.

**Record Retention Period:** How long different records pertaining to actions under this Collection Management Policy are retained, after which they are purged. As the Library is an association library, the Trustees set this policy.

**Donated Materials:** Books or other materials that are donated to the Library. These items are not immediately added to the Collection; they are evaluated according to the same Selection

Criteria that are applied to purchased material. Donated Materials which do not meet the library's Selection Criteria will be disposed of at the discretion of the Library.

### **III. Collection Management**

#### **A. Selection**

The Selection Criteria of the Library, as informed by the Strategic Plan approved by the Trustees, are attached as Appendix "A."

Selection Criteria are set by the Director.

Selection Criteria are maintained as a schedule to enable ease of amendment and flexibility with respect to evolving community needs.

It is expected, but not required, that Selection Criteria as set forth in Appendix "A" may be updated more frequently than this Policy. Such revision does not require approval by the Board.

As required by 8 NYCRR 90.2, the Library provides a circulation system that facilitates access to the Library's Collection as cataloged after selected materials are acquired.

#### **B. Procurement**

The Procurement of selected Library Resources by the Library is governed by the Library's Procurement policy.

At all times, the Director and the Board distinguish between Selection and Procurement. "Selection" is how Library Materials are chosen; "Procurement" is how they are purchased using library funds (for example, Donated Materials are not procured).

**Records management:** records pertaining to Procurement of Library Resources are kept for 1 year (see LGS-1 #599).

#### **C. Cataloging**

The procedures for Cataloging the Collection of the Library, as informed by the Library's Strategic Plan, are attached as Appendix "B."

The procedures for Cataloging are set by the Director, as informed by the Strategic Plan approved by the Trustees, and the Director's familiarity with current relevant standards as set by the Library and the library and information management profession.

#### **D. Evaluation**

##### 1. Routine Evaluation

As required by 8 NYCRR 90.2(6), Library Resources in the Library's Collection are routinely evaluated to ensure the Collection meets community needs; to ensure routine evaluation, the Library Director oversees such evaluation per the schedule attached as Appendix "C."

The Director reports to the Board on the routine evaluation of Library Resources not less than annually.

Routine evaluation decisions are often affected through a process referred to as "Weeding" the Library's procedures for Weeding are included in Appendix "C."

## 2. Request for Re-Evaluation

A trustee, employee, or person served by the Library (a "Request-Maker") may request that the Selection or Cataloging of a Library Resource or Resources be re-considered.

To initiate a Request for Re-Evaluation, the Request-Maker may fill in the "Request for Re-Evaluation" form attached as "D." **Only the factors listed in the form are a suitable basis for a filing such a request.**

The procedure for removal based on a Request for Re-Evaluation is addressed in Section III.E.3 of this Policy.

Materials shall generally only be subject to Re-Evaluation under this sub-section "2" once every 5 years. For repeat requests within 5 years, unless the Selection Criteria have changed with respect to the subject Materials, the prior determination shall be supplied.

**Records management:** records pertaining to a Request for Re-Evaluation are kept for 6 years (see LGS-1 #601). In addition, also per the LGS-1 #601, because such records deal with serious constitutional issues and may have value for future research, the Library shall appraise such records for historical significance prior to disposition.

## C. Removal

Per Education Law Section 260, "*prior to the discarding of used or surplus books or other such reading materials by trustees of a chartered public, cooperative or free association library which receives over ten thousand dollars in state aid, the Trustees shall offer to donate such books or materials to a not-for-profit corporation or political subdivision located within the area of the library system or offer to sell such books or materials to the general public.*" Also as required by law, the Trustees shall retain any proceeds received from the sale of such books and materials for the purpose of maintaining and improving library service within the system.

### 1. Removal of damaged or technologically obsolete items

Upon finding that a Library Resource is too damaged to be useful or has become technologically obsolete to the point where it can no longer function in the manner intended, the item will be removed from the Collection.

## 2. Removal based on Routine Evaluation

Upon finding, after Routine Evaluation, that a Library Resource no longer meets the then-current Selection Criteria (see Appendix "A") of the Library, the item will be removed from the Collection.

## 3. Removal based on Request for Re-Evaluation

If a "Request for Re-Evaluation" form is properly submitted and either the Director, or the Board of Trustees upon appeal, determine that the Library Resource it pertains to should be removed from the Collection, it will be removed from the Collection and the Catalog by the Director (or their designee).

All Requests for Re-Evaluation will be evaluated per the Library's Strategic Plan, this Policy, and the following excerpts from the American Library Association's Code of Ethics:

*I. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.*

*II. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.*

*VI. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.*

*VII. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.*

Decisions shall be communicated using the Appendices "E", "F", and "G", with modifications as determined by the issuing authority.

**Records management:** records pertaining to Removal based on Requests for Re-Evaluation are kept for 6 years (see LGS-1 #601) and may be kept longer based on a determination of operational or historic significance.

## **IV. Access to this Policy**

To facilitate community understanding of the Library's services, operations, and governance, this Policy and its Appendices shall be posted on the Library's website, available in hard copy at the

Library, and a copy shall be provided when a person or authority inquires or raises a concern related to Collection Management.

**V. Review and Update of this Policy**

This board-approved written policy for Collection Management shall be reviewed and updated by the Trustees at least once every five years (as required by 8 NYCRR 90.3 (b)(4), OR earlier if required by law, OR if a law, regulation, or policy impacting it changes.

Table of Appendices and Authorities

<p>Appendices</p>	<p>Appendix A: Library's Selection Criteria</p> <p>Appendix B: Library's Cataloging Procedures</p> <p>Appendix C: Library's Routine Evaluation of Collection Materials Schedule &amp; Procedures</p> <p>Appendix D: Library's Request for Re-Evaluation Form and Procedure</p> <p>Appendix E: Template for Director Determination of Request for Re-Evaluation</p> <p>Appendix F: Template for Board Resolution pertaining to Trustees' Determination of Appeal of Request for Re-Evaluation</p> <p>Appendix G: Template for Trustees' Determination of Appeal of Request for Re-Evaluation</p>
<p>Related policies and documents</p>	<p>Charter &amp; Bylaws</p> <p>Library Director Job Description</p> <p>ALA Code of Ethics</p> <p>NYLA Code of Ethics</p>
<p>Controlling laws and regulations</p>	<p>New York Education Law Title I, Article 5, Part 2</p> <p>8 NYCRR 90.1, 90.2, and 90.3</p>

**Adopted by The Board of Trustees on October 20, 2022**

## Appendix A: The Field Library's Selection Criteria

It is the objective of The Field Library to provide free and equal service to all members of the community, and as a member of the Westchester Library System, to provide further library service with access to a greater range of library resources. One of the library's most basic services is to maintain a collection of books, periodicals, audiovisual media and online and electronic resources suitable for the cultural, educational, recreational, and vocational needs of the community. In selecting material for the collection, the library is guided by the American Library Association's Library Bill of Rights, and the following specific criteria will be used:

- The library will try to build a comprehensive collection covering a wide field of interests and ideas.
- The professional staff will evaluate each item based on its literary merit, accuracy, and importance in its field. An effort will be made to utilize reviews of each item in the appropriate trade media before it is purchased.
- In selecting material on controversial subjects, all points of view will be presented insofar as materials and funds are available to do so. Material will not be excluded because of the origin, background or views of those contributing to their creation.
- The above criteria will be used to evaluate donated material as well as for library purchases.

## Appendix “B”

The Field Library will utilize the services of the Westchester Library System for cataloging records. The following procedures will be in place for adding and withdrawing items in the collection.

Upon receipt of new material, Technical Services Clerks will search the Westchester Library System catalog to determine if a catalog record already exists.

Technical Services Clerks will assign classification numbers, barcodes and shelving locations in the form of simple Dewey call numbers for copy catalog records in the WLS catalog.

Technical Services Clerks will correct errors, identify and merge duplicate records and perform other record maintenance as needed.

Technical Services Clerks will print spine labels and check in new materials and prepare materials for circulation. All print materials will have a security strip placed in the spine, spine labels, genre labels and book jackets applied.

Technical Services Clerks will assign materials to the following categories:

- Adult Playaway
- Audiobook
- Biography
- Central Library Funds A/V
- Central Library Funds Foreign
- Central Library Funds Nonfiction
- Express
- Fiction
- Foreign Language
- Juvenile Audiobook
- Juvenile Fiction
- Juvenile Foreign Language
- Juvenile Launchpad
- Juvenile Movie
- Juvenile Music
- Juvenile Nonfiction
- Laptop
- Magazine
- Movie
- Music
- New York State Fund
- New Books
- Nonfiction
- Realia
- Reference

- Young Adult A/V
- Young Adult Fiction
- Young Adult Nonfiction

In the event a catalog record does not exist for an item, Technical Services Clerks will make a copy of the front and back of the item and send the copy to the Westchester Library System for adding to the catalog.

When weeding an item, Technical Services Clerks will remove the item record from the WLS catalog, stamp Withdrawn on the inside cover of the item and black out any spine labels and barcodes. Items will then be placed for sale at the Library's Book Store or if not in sellable condition, discarded through the proper disposal.

## Appendix “C”

### **Library's Routine Evaluation of Collection Materials Schedule & Procedures**

Weeding or discarding books and other library materials is part of The Field Library’s overall collection and development program. It is as important to discard books and library materials as it is to acquire new books and resources. One of the library’s most basic services is to maintain a collection of books, periodicals, audiovisual media and online and electronic resources suitable for the cultural, educational, recreational, and vocational needs of the community. The library weeds for a number of reasons:

- The most common are to save space, improve access to the collection, discard materials in poor physical condition, and make browsing easier.
- Weeding helps to maintain the vitality of the collection by keeping the information current and not outdated.
- As formats change and more information, books, magazines are accessible online, judicious weeding can provide additional space for new types of media.

The procedure for weeding involves the professional librarian who is responsible for the purchase of that portion of the collection. A second librarian reviews and checks the potential discards, and any disputed book is discussed and decided upon by both librarians. The librarian weeds materials on a timely basis with the following criteria in mind:

- Accuracy and age of information presented, and poor or outdated content.
- Duplication of multiple copies.
- Literary value.
- Date of last circulation.
- Appearance and condition.
- Specific types of books annually published that lend themselves to weeding such as almanacs, annual publications, science texts, and ephemeral material.

Appendix "D"

**Form to Request Re-Evaluation of Library Resource**

This Request for Re-Evaluation is governed by the Library's Collection Management Policy and the Library's current procedures for Selection and Cataloging.

For current copies of these documents, visit ADDRESS or ask at PLACE for a copy.

To initiate a Re-Evaluation of a Library Resource, please fill out the form and follow the instructions below:

NAME	
Address	
Library Card #	
Catalog # of Material of Concern	
Title of Work	
Basis of Concern (select all that apply):	<ul style="list-style-type: none"><li><input type="radio"/> Does not meet current Selection Criteria</li><li><input type="radio"/> Improperly Cataloged (please note specific issue)</li><li><input type="radio"/> Does not fall within needs of community</li></ul>
Please include any comments you would like the Library to consider:	Comments:
Date submitting form:	
Signature:	

## **Instructions and process:**

Please only list **one work** per form.

Please submit this form by either emailing it to INSERT, mailing it to INSERT, or faxing it to INSERT.

Your submission will be reviewed by the Library Director within fourteen (14) calendar days of receipt.

You will receive a response in writing that indicates either:

a) your request for Re-Evaluation has been evaluated and no change is required;

OR

b) your request has been evaluated by the Library and the Selection or Cataloging of the item will be changed, which shall be briefly described in the reply.

If the Library determines that no action is needed, and you disagree, you may appeal this determination within fourteen (14) calendar days by submitting a copy of your original Request, and the Director's reply, together with statement saying "I request an appeal" to the Board of Trustees by either email to INSERT, fax to INSERT, or USPS to INSERT.

The Board of Trustees is an all-volunteer organization that meets no less than 4 times per year.<sup>1</sup> Therefore, any appeal regarding a Request for Re-Evaluation will be finalized within sixty (60) days. Any material under review will remain in circulation until such time as the Library determines it must be removed.

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All Requests for Re-Evaluation will be evaluated per the Library's Plan of Service, policies, and the following excerpts from the American Library Association's Code of Ethics.

*I. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.*

*II. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.*

*VI. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.*

*VII. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.*

**The Board of Trustees' determination is final.**

Appendix "E"

**Request for Re-Evaluation of Library Resource  
Form for Notice of Director's determination**

**Request for Re-Evaluation of Library Resource**

**Notice of Director's determination made on DATE**

**Regarding Request for Re-Evaluation of**

**TITLE, CATALOG NUMBER**

**Submitted on: DATE**

**RE: Notice of Director's Determination**

Dear NAME:

The Field Library received your above-referenced Request for Re-Evaluation on DATE.

In evaluating your request, I as Executive Director have applied the Library's Collection Management Policy, its Strategic Plan, and the Code of Ethics of the American Library Association.

Based on that criteria, I have determined that [the Library Resource was properly included in the Library's collection] **OR** [the Library Resource was not properly included in the Library's collection, and will be removed/re-cataloged as INSERT].

The Field Library strives to meet the needs of everyone in the community, as required by our Strategic Plan. If you would like to appeal this determination, you may direct your appeal to the Board of Trustees care of Secretary at 4 Nelson Ave., Peekskill, NY 10566.

Sincerely,

NAME

Director,

The Field Library

Appendix "F"

**Template for Board of Trustees' Resolution pertaining to Trustees' Determination of Appeal of Request for Re-Evaluation**

Text of resolution once decision has been reached:

**WHEREAS** the Board timely received an appeal of the Director's decision attached to this resolution from NAME OF REQUEST-MAKER; and

**WHEREAS** the Board has evaluated the appeal by applying the factors in the Library's Collection Management Policy, its Long-Range Plan of Service, and the Code of Ethics of the American Library Association;

**BE IT RESOLVED** that the appeal is [granted, and the item it pertains to is to be removed by the Director per library policy within 5 business days, and the Board shall notify the Request-Maker of this decision within 5 calendar days] **OR** [denied, and the Board shall notify the Request-Maker of this determination within 5 calendar days] as provided by the Library's Collection Management Policy; and

**BE IT FURTHER RESOLVED** that this Board re-affirms its commitment to New York State Constitution, the United States Constitution, and the American Library Association Code of Ethics, as adopted by the New York Library Association.

AYES:

NAYS:

ABSTAIN:

Appendix "G"

**Request for Re-Evaluation of Library Resource**  
**Notice of Board Determination of Appeal of Decision made on DATE**  
**Regarding TITLE, CATALOG NUMBER**

RE: Notice of Library Board of Trustees' Determination upon Appeal

Dear NAME:

The Board of Trustees of The Field Library received your above-referenced appeal on DATE. On DATE, the Board met to consider your appeal.

In evaluating your request, the board applied the Library's Collection Management Policy, its Strategic Plan, and the Code of Ethics of the American Library Association.

Based on that criteria, the board has determined that [the Library Resource was properly included in the Library's collection] **OR** [the Library Resource was not properly included in the Library's collection, and will be removed/re-cataloged].

Thank you for entrusting the board of trustees with your concerns. The Field Library strives to meet the needs of everyone in the community, and this requires careful attention to the needs of all, and the many factors governing selection of library materials.

Your understanding of, and input into, that process is appreciated.

Sincerely,

NAME

President,

The Field Library

Library Board of Trustees