



## Library Board Meeting Agenda

### **Indianapolis-Marion County Public Library**

**Notice Of The Regular Meeting  
July 27, 2020**

**Library Board Members Are Hereby Notified That The Regular Meeting  
Of The Board Will Be Held As A Zoom Meeting  
At 6:30 P.M.**

**For The Purpose of Considering The Following Agenda Items  
Dated This 23rd Day Of July, 2020**

**It is noted that the Meeting is closed to in-person public attendance, but the public is  
invited to view/listen to the Regular Meeting via a YouTube live stream link which will be  
available on the Library's website prior to the start of the Meeting**

**JUDGE JOSE D. SALINAS  
President of the Library Board**

### **-- Regular Meeting Agenda --**

- 1. Call to Order**
- 2. Roll Call**

3. **Branch Manager's Report** – Nikki Johnson, Manager, Martindale-Brightwood Branch Library, will provide a report on the branch's services to the community. (enclosed)

## 4. **Public Comment and Communications**

### a. **Public Comment**

In lieu of the extreme emergency facing our city and in keeping with the Executive Order issued by the Governor, the public will not be invited to physically attend this meeting but has the ability to view/listen to the Regular Meeting via a live stream YouTube link which will be available on the Library's website prior to the start of the Meeting.

## 5. **Approval of Minutes**

- a. **Executive Session, June 16, 2020** (enclosed)
- b. **Regular Meeting, June 20, 2020** (enclosed)

## COMMITTEE REPORTS

### 6. **Finance Committee (Patricia A. Payne, Chair; Raymond J. Biederman, Curtis Bigsbee)**

- a. **Report of the Treasurer – June 2020** (enclosed)
- b. **Briefing Report – 2021 Proposed Budget** (enclosed)
- c. **Resolution 26 – 2020** (Liability Insurance for Policy Period 2020-2021) (enclosed)
- d. **Briefing Report – Eliminating "Per Day" Late Fines and Waiving Historical Fines** (enclosed)

### 7. **Diversity, Policy and Human Resources Committee (Rev. T. D. Robinson, Chair; Patricia A. Payne, Judge Jose D. Salinas)**

- a. **Resolution 27 – 2020** (Approval of Youth Protection Policy) (enclosed)
- b. **Resolution 28 – 2020** (Adoption of Annual Minority/Women/Veteran/Disability Owned Business Enterprise (XBE) Utilization Goals) (enclosed)
- c. **Update on the CEO's Evaluation** (enclosed)

# Library Board Meeting Agenda

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## **8. Facilities Committee (Dr. Terri Jett, Chair; Curtis W. Bigsbee, Dr. Khuala Murtadha)**

## **9. Strategic Planning Committee (Dr. Terri Jett, Chair; Dr. Khuala Murtadha, Judge Jose D. Salinas)**

- a. **Draft of the Mission/Vision/Values for Board Comments** (enclosed)
- b. **Progress Report on the Public Survey** (at meeting)
- c. **Next Steps in the Process** (enclosed)
- d. **Statistics** (enclosed)

## **10. Library Foundation Update – (Rev. T. D. Robinson, Library Board Representative)**

## **11. Report of the Chief Executive Officer**

- a. **Confirming Resolutions:**
  - 1) **Resolution Regarding Finances, Personnel and Travel (29 – 2020)**

Enclosed.
- b. **Announcement of “All Staff Read”**
- c. **Our COVID Experience**

## **UNFINISHED BUSINESS**

**12.**

## **NEW BUSINESS**

**13.**

## DISCUSSION AND AGENDA BUILDING

**14. Future Agenda Items** – This time is made available for discussion items not on the Agenda which are of interest to Library Board members and the opportunity to suggest items to be included on future Library Board Meeting Agendas.

Items suggested for upcoming Board Agendas are as follows:

**August, 2020** –

## INFORMATION

### 15. Materials

- a. **Strategic Planning Committee Meeting Notes – July 9, 2020** (enclosed)
- b. **Finance Committee Meeting Notes – July 15, 2020** (enclosed)

### 16. Board Meeting Schedule for 2020 (Notice of Date and Place of Meeting) and Upcoming Events

- a. **Board Meetings for 2020** – *Current calendar will be updated each month, as necessary, and additional information highlighted.*
- b. **Library Programs/Free Upcoming Events** – All Programs and Events are canceled until further notice.

### 17. Notice of Special Meetings

Although single committee meetings will continue, a Special Board Meeting will be held at 6:30 p.m. on Tuesday, August 11, 2020, for the purpose of a Public Hearing on the 2021 Budget. It is anticipated that this will be a virtual meeting.

### 18. Notice of Next Regular Meeting

Monday, August 24, 2020, at the Pike Branch Library, 6528 North Zionsville Road, at 6:30 p.m.

## **19. Other Business**

## **20. Adjournment**



**Martindale-Brightwood Library**

2434 N. Sherman Drive

Indianapolis, IN 46218

317-275-4310

**Who We Are:**

- 1 FT Manager
- 1 FT Adult Librarian
- 2 FT Public Services Associates
- 1 FT Circulation Supervisor
- 1 FT Computer Lab Assistant
- 1 FT Library Assistant
- 1 PT Library Assistant
- 2 PT Pages

**Who We Serve:**

- **Total base population** is 12,748
- **Age** of population: 25.15% of population under age 18 and 62.69% of population is 18-64 years of age. Approximately 12% of population is age 65 and over
- **Language** of proficiency within households---primarily English (95.06%) followed by Spanish (3.81%) and other languages (1.13%)
- **Educational Attainment:** 20.3% of population without High School diploma. 38.02% of population has earned a High School diploma, 23.45% population with some college, no degree
- **Employment:** 20.11% total unemployed persons

- **Income:** 22.62% of the population earns less than 10,000; 29.92% earns \$10,000 to \$24,999; 26.75% earns \$25,000 to \$49,999; 11.01% earns \$50,000 to \$74,999; 4.32% earns 75,000 and up
- **Population in Poverty:** \*39.89% population living in poverty; 60.1% at or above poverty level

## How We Serve

- 652 new borrowers in 2019
- 76,894 door count in 2019
- 81,766 items circulated in 2019
- 68,373 items check-ins 2019
- 17,807 items in the collection 2019
- 193 programs and 1487 attendees 2019

## Our Story

The Martindale-Brightwood Branch Library is located at 2434 N. Sherman Drive on the near eastside of the city in its newly constructed, stand-alone facility. It was the 6th public library and has operated since 1901. The library was relocated to the previous location on Sherman Drive in 1972. In 1996 it was renovated and expanded to double in size to 5600 square ft. of space. As part of the library's strategic plan, a new stand-a-lone library has replaced the current branch and is located at the corner of 25<sup>th</sup> Street and Sherman Drive. The new branch has increased in size from 5,400 feet to 15,000 square feet, and has become the new home to its community members and patrons. This new branch of the Indianapolis Public Library system has been renamed the Martindale-Brightwood Branch to comprehensively represent the community for which it serves, and hosted its opening to the public on Saturday, June 20, 2020. The Martindale-Brightwood Branch has spaces for children and teens, a separate computer lab, three small rooms for group study and tutoring, and an adult community space complete with a fireplace.

The service area of the Martindale Brightwood community is small at 12,748 served. In this community approximately 32.27% of homes are owner-occupied, slightly more are rented at 39.5%, and there is a vacancy rate of 28%. There have been initiatives to within the neighborhood's quality of life plan to help home owners keep and improve their properties. Most Martindale Brightwood residents are employed, but there is also a notable unemployment rate of 20.11% within the community. Various agencies have sought to address this through small business ownership programs, employment programs and re-entry programs for ex-felons; including the library. Brightwood Library hosts a job center three times a week where residents can search for jobs, complete applications, and write resumes with one-on-one assistance available to them and no time limit. Patrons are also encouraged to bring their own personal digital devices including mobile phones, laptops,

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<sup>1</sup> US Census Bureau, 2010, SAUI Community Profile 2018 (American Community Survey 5-year Averages)

and tablets in order to gain assistance with navigating electronic applications used for the job and career search process. In 2019, the job center assisted 271 visitors. Brightwood branch is a primary member of the Martindale Brightwood Education Zone; a collaborative network of community partners who provide comprehensive services for families and children from pregnancy to grade 6 in fundamental areas of need.

Outreach to the community has always been a focal point of this branch library. The branch continues to provide summer lunches to hungry children via the Summer Food Service program with Indy Parks. The library has been a part of this important program for 10+ years; and recently has started serving meals after school. As a new service to the Martindale Brightwood community, we have launched, IndyConnect in partnership with the Grow with Google program to teach digital literacy skills. Residents can access free digital tools and resources to grow their skills, careers, or businesses. Library patrons can borrow Wi-Fi hotspots and laptops. The staff actively and willingly participates in promoting library services by attending school events, fairs, and festivals because we truly believe in the library's mission of "enriching lives and building communities through lifelong learning."

## Highlights

- The Martindale-Brightwood Branch maintained consistent partnerships with both the Martindale Brightwood Education Zone (MBEZ) through the Edna Martin Christian Center, and OneVoice-Martindale Brightwood Neighborhood Collaborative.
- MOVE "A Call for Change"—The branch also continued its existing partnership with MB7 Collective Impact Collaborative, presented by PACE Indy.
- The Martindale-Brightwood branch represented the Indianapolis Public Library by attending the Edna Martin Christian Center press conference held on February 24, 2020.
- Grow with Google Grant Program—This branch has been designated for including HotSpots and Google Chromebooks in its collection of materials. Our staff manages circulation of these devices, and provides data service, collection management, and assistance with access to digital information.
- Virtual eLearning Assistance—Our Public Services Associates and Branch manager collaborated to provide a review of Indianapolis Public Library available e-resources for virtual learning to MBEZ and associated families during the pandemic.
- Martindale-Brightwood staff members participated on both the Remote Reference team and the High School & College Reference team in measures to continue to offer services to the public while working from home.

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<sup>1</sup> US Census Bureau, 2010, SAUI Community Profile 2018 (American Community Survey 5-year Averages)



- REACH Pedestrian Safety Project—I met with Vincent Hill of Health by Design to discuss a potential partnership focusing on the safety of residents within the Martindale-Brightwood community.
- Martindale-Brightwood Branch Library Opening Event—The Martindale-Brightwood Branch Library hosted its opening event in its newly constructed facility on June 19, 2020; the branch opened for public service on the following day.
- Martin University—Public Services Associate (Adult) Alex Moore offered a research and writing workshop to students at Martin University; the information she shared included guidance for using Indianapolis Public Library resources and databases.
- Him by Her Collegiate School for the Arts—Martindale-Brightwood staff attended a community event hosted by Him by Her Collegiate School for the Arts; our team seeks to establish a new partnership with this school as a means of expanding service and programming to this community.
- Martindale-Brightwood met with Julia Moore and artist Brittany Box of the Art Council of Indianapolis to establish partnership and to present a temporary art installation on the branch's property.

Revised July 14, 2020  
 Nikki Johnson, Branch Manager  
 Martindale-Brightwood Library  
 2434 N Sherman Drive  
 Indianapolis, IN 46218  
 317-275-4315

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<sup>1</sup> US Census Bureau, 2010, SAUI Community Profile 2018 (American Community Survey 5-year Averages)

The Diversity, Policy and Human Resources Committee of the Indianapolis-Marion County Public Library Board met in Executive Session via Zoom on Tuesday, June 16, 2020 at 3:00 p.m., pursuant to notice given in accordance with the rules of the Board.

Rev. Robinson, Committee Chair, called the meeting to order.

Members present: Ms. Payne, Rev. Robinson and Judge Salinas.

Rev. Robinson announced that a quorum of the Committee was present and that the meeting was duly constituted.

a. Pursuant to Ind. Code 5-14-1.5-6.1(b)(9) to discuss a job performance evaluation of individual employees.

Rev. Robinson announced that there was no further business to come before the Committee and declared the Executive Session adjourned at 4:00 p.m.

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Rev. T.D. Robinson, Committee Chair

I, Rev. Robinson, Chair of the Diversity, Policy and Human Resources Committee of the Indianapolis-Marion County Public Library, hereby certify that the foregoing minutes are true and correct.

Rev. T. D. Robinson, Committee Chair



**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY  
MINUTES OF THE REGULAR MEETING  
JUNE 20, 2020**

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The Indianapolis-Marion County Public Library Board met electronically via Zoom and/or telephone on Monday, June 22, 2020 at 12:00 p.m., pursuant to notice given in accordance with the rules of the Board.

**1. Call To Order**

Judge Salinas called the meeting to order. Mr. Biederman acted as Secretary.

**2. Roll Call**

Members present electronically: Mr. Biederman, Mr. Bigsbee, Dr. Jett, Dr. Murtadha, Ms. Payne, Rev. Robinson and Judge Salinas

Members absent: None

**3. Public Comment and Communications**

It is noted that the Public Hearing portion of the Meeting was open for limited in-person public attendance this afternoon at Central Library where they were invited to view/listen/comment via a YouTube Live stream link.

Additionally, the public was invited to view/listen to this Meeting via a YouTube live stream link which was available on the Library's website.

**4. Approval Of Minutes: Executive Session, Regular and Special Meetings**

**a. Regular Meeting, May 18, 2020**

The minutes were approved on the motion of Ms. Payne, seconded by Dr. Jett, and the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

## COMMITTEE REPORTS

### 5. Finance Committee (Patricia A. Payne, Chair; Raymond Biederman, Curtis Bigsbee)

#### a. Report of the Treasurer – May 2020

Ijeoma Dike-Young, Chief Financial Officer, discussed the Report of the Treasurer. She noted that everything in the Report is as expected. Due to COVID-19, revenues are less than originally expected. Property tax receipts through May 2020 are 12% of what was budgeted for that time period. Expenditures have also been reduced although it is anticipated that more funds than anticipated will be spent in the month of July.

Ms. Payne made the motion, which was seconded by Dr. Murtadha, that the Report of the Treasurer be filed for audit.

The Report of the Treasurer was approved for filing for audit on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

#### b. Resolution 22 – 2020 (Approval of Preliminary Bond/Reimbursement Resolution – 2020 Multi-Facility Renovation and Equipment Acquisition Project Bonds)

Ms. Dike-Young noted that the Library will pursue the issuance of bonds this Fall in the amount of \$5.3 million for multi-facility renovations and equipment purchases. She then reviewed the items that the bond funds would be used for including: Opening day collection for the new West Perry Branch; the Center for Black Literature and Culture digital project; new technology for the Learning Curve at Central Library, boiler work at LSC; parking lot resurfacing at several branches; upgrades at the Pike and Nora branches; furniture at the West Perry and Lawrence branches; lighting upgrades at Central Library and the Spades Park Branch; solar panels at the West Perry Branch; and collection materials. Bonds would be paid off within two years and structured so that there would be no increase of the Library's debt service tax rate of \$0.0318. The resolution would authorize action to obtain approval of the bond issue by the City-County Council.

After full discussion and careful consideration, Ms. Payne made the motion, which was seconded by Dr. Jett, to approve Resolution 22 – 2020, the Preliminary Bond/Reimbursement Resolution – 2020 Multi-Facility Renovation and Equipment Acquisition Project Bonds.

Resolution 22 – 2020 was approved on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

The resolution is appended to, and made a part of, these minutes.

*At this time, Judge Salinas announced that he was adjourning the Regular Meeting and convening a Public Hearing.*

**c. President Salinas will Convene a Public Hearing**

*President Salinas adjourned the Regular Meeting and convened a Public Hearing.*

He announced that this Public Hearing was being held for the following purpose:

- 1) To consider the Library’s Appropriation Resolution and Financing of the 2020 Multi-Facility Renovation and Equipment Acquisition Project as Advertised on June 12, 2020 in the *Indianapolis Star* and the *Court and Commercial*.

At this time, Ms. Dike-Young advised that approving the resolution would authorize the appropriation in the Library’s budget of \$5.3 million in proceeds from the 2020 Multi-Facility Renovation and Equipment Acquisition Bonds to pay for the various projects identified.

**2) Invite Public Comment from the Audience**

There was no public comment.

**President Salinas Will Consider a Motion to Close the Public Hearing**

Rev. Robinson made a motion to close the Public Hearing. Ms. Payne seconded the motion.

Closing the Public Hearing was approved on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	
Motion carried.	

The Public Hearing was closed at this time.

*President Salinas reconvened the Regular Meeting.*

- d. **Resolution 23 – 2020** (Appropriation Resolution – 2020 Multi-Family Renovation and Equipment Acquisition Project Bonds)

After full discussion and careful consideration of Resolution 23 – 2020, the resolution was adopted on the motion of Ms. Payne, seconded by Dr. Jett, to approve Resolution 23 – 2020, the Appropriation Resolution – 2020 Multi-Family Renovation and Equipment Acquisition Project Bonds.

Resolution 23 – 2020 was approved on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

The resolution is appended to, and made a part of, these minutes.

- e. **High Level Overview – 2021 Budget**

Ms. Dike-Young presented an overview of the proposed 2021 Budget. She described the challenge of budget planning due to delayed property tax receipts. She noted that the impact on the budget won't be immediately dramatic but would be spread out and felt over the course of several upcoming budget cycles. In 2021, \$1 million will be drawn from the physical materials budget and instead used for electronic materials due to higher demand. The plan is to devise two different budget scenarios, based on economic projections. More detailed information will be presented to the Library Board in July. A public hearing and final Board approval is scheduled for August. The budget would then go to the City-County Council for approval and then on to the Department of Local Government Finance for final approval.

6. **Diversity, Policy and Human Resources Committee (Rev. T. D. Robinson, Chair; Patricia A. Payne, Judge Jose D. Salinas)**

- a. **Resolution 24 – 2020** (Supplier Diversity Policy)

Jessica Moore, Diversity, Equity and Inclusion Officer, discussed the Supplier Diversity Policy.

Ms. Moore explained that the Board had reviewed the proposed policy at last month's meeting. As a reminder, this policy supports equity of opportunity and access by diverse suppliers in procuring Library goods and services, professional services, or in construction and renovation of facilities.

After full discussion and careful consideration, Rev. Robinson made the motion, which was seconded by Mr. Bigsbee, to approve Resolution 24 – 2020, the Supplier Diversity Policy.

Resolution 24 – 2020 was approved on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

The resolution is appended to, and made a part of, these minutes.

- b. **Briefing Report** – Disparity Results and Adoption of Annual Minority, Women, Veteran, and Disability-Owned Business Enterprise (XBE) Utilization Goals

Ms. Moore introduced Camille Blunt, Director of the Office of Minority and Women Business Development (OMWBD), who addressed the Board.

Ms. Blunt discussed the Disparity Study conducted by the City of Indianapolis. She advised that the results contained in the 628-page Study indicate that there are disparities in access to business opportunities for XBE's across city departments and municipal corporations. Overall disparities for Black-owned and Native American-owned businesses were significant. The Study's results are leading to revised aspirational goals and processes for the City to implement.

A recommendation was made that large contracts be unbundled which will create more opportunities for XBE's.

Ms. Moore noted that the Library will align itself with such goals, which will be presented for approval at a future Board Meeting.

7. **Facilities Committee (Dr. Terri Jett, Chair; Curtis Bigsbee, Dr. Khuala Murtadha)**

Dr. Jett advised that the Committee did not have any items to report.

8. **Strategic Planning Committee (Dr. Terri Jett, Chair; Dr. Khuala Murtadha, Judge Jose D. Salinas)**

Dr. Jett advised that the Committee did not have any items to report.

9. **Library Foundation Update**

**June 2020 Library Foundation Update**

Rev. Robinson provided the Update for June 2020.

**News**

The Foundation's new annual fundraising event, Circulate: Night at the Library, has been postponed until next year. Please mark your calendars for April 17, 2021!

The Foundation congratulates all IndyPL staff who worked on the opening of the new Martindale-Brightwood Branch on June 19, 2020. Thank you to Curtis Bigsbee for commemorating the occasion with a ceramic book tile to be displayed at the branch.

The Foundation would also like to thank all IndyPL staff on adapting to a new format for this year's Summer Reading Program. The staff has turned a challenging situation into another successful year. One Summer Reading Program donor had this to say to us – "I'm just so amazed and encouraged at the extreme amount of planning and commitment that you and other Indianapolis organizations have accomplished to make sure that beloved programs such as the Summer Reading Program can go forth, not as normal, but in a new, special way. After such a challenging year, it's so good to hear that the Kids will still be reaching new reading goals to help keep them on track educationally...and have fun doing it!"

### **Donors**

The Foundation thanks 127 donors who made gifts last month. The following are our top corporate and Foundation contributors:

Eskenazi Health  
Herbert Simon Family Foundation  
Jewish Federation of Greater Indianapolis  
Lewis Wagner, LLP  
Office of the Lawrence Township Trustee Steve Talley  
Riley Bennett & Egloff, LLP  
Teachers Credit Union

### **Program Support**

This month, we are proud to provide funding for the following Library programs. All programs are system-wide unless otherwise noted.

#### **Children's Programs**

Herbert Simon Early Literacy Specialist

#### **Cultural**

Center for Black Literature and Culture (CEN)  
El Tendedero/The Clothesline Project  
Humanities Staffing (via IN Humanities CARES Grant)

#### **Collections/IT**

General Digitization  
Axis 360  
Digital Encyclopedia of Indianapolis

#### **Lifelong Learning**

Simple and Affordable Plant-Based Booking (CEN)

#### **Capital/Branch**

Aquarium Maintenance (PIK, E38, COL)  
Capital Improvements (WRN)



## **10. Report Of The Chief Executive Officer**

### **a. Confirming Resolutions:**

#### **1) Resolution Regarding Finances, Personnel and Travel (25 – 2020)**

Ms. Nytes advised that everything in the resolution is routine this month.

After full discussion and careful consideration, Rev. Robinson made the motion, which was seconded by Ms. Payne, to approve Resolution 25 – 2020, Resolution Regarding Finances, Personnel and Travel.

Resolution 25 – 2020 was approved on the following roll call vote:

Mr. Biederman – Aye	Ms. Payne – Aye
Mr. Bigsbee – Aye	Rev. Robinson – Aye
Dr. Jett – Aye	Judge Salinas – Aye
Dr. Murtadha – Aye	

The resolution is appended to, and made a part of, these minutes.

## **UNFINISHED BUSINESS**

### **11. None.**

## **NEW BUSINESS**

### **12. Several Board members commented on the recent opening of the Library's new Martindale-Brightwood Branch Library. They mentioned that the building was beautiful and welcoming. They also noted that the staff should be complimented.**

## **AGENDA BUILDING**

### **13. Future Agenda Items – This time was made available for discussion of items not on the Agenda which were of interest to Library Board members and the opportunity was given to suggest items that should be included on future Library Board Meeting Agendas.**

Items suggested for upcoming Board Agendas are as follows:

**July, 2020** – There were no items suggested.

## **INFORMATION**

### **14. There were no materials distributed to the Board Members at the Meeting.**

**15. Board Meeting Schedule for 2020 (Notice and Place of Meeting) and Upcoming Events/Information**

- a. **Board Meetings for 2020** – *Current calendar will be updated, as necessary, and additional information highlighted.*
- b. **Library Programs/Free Upcoming Events** – All Programs and Events are canceled until further notice.

**16. Notice of Special Meetings**

None.

**17. Notice of Next Regular Meeting**

Monday, July 27, 2020, at the Martindale-Brightwood Branch Library, 2434 North Sherman Drive, at 6:30 p.m.

It is noted that this meeting might be changed to a ZOOM meeting depending on circumstances at the time.

There was a discussion among the Board members about the possibility of holding all future Board meetings at Noon and doing them as ZOOM meetings and having them live streamed for the public.

Ms. Nytes commented that, based on the current order from the Governor, the Library is allowed to hold its Board meetings virtually. We will have to research the legality of doing this going forward once the Governor's order expires.

**18. Other Business**

None.

**19. Adjournment**

The Secretary announced that there was no further business to come before the Board.

The Chairman then declared the meeting adjourned at 1:25 p.m.

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Raymond Biederman, Secretary to the Board



**Indianapolis-Marion County Public Library**  
**Report of the Treasurer for June 2020**  
**Prepared by Accounting for July 27, 2020 Board Meeting**

6a

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**Indianapolis-Marion County Public Library**  
**Operating Fund Revenues and Expenditures**  
**Month Ended June 30, 2020**

<b>Revenue</b>		<b>Annual</b>	<b>Actual MTD</b>	<b>Actual YTD</b>	<b>% Budget</b>
		<b>2020 Revised Budget</b>	<b>6/30/2020</b>	<b>6/30/2020</b>	<b>Received</b>
Property Taxes	31	35,756,871	12,754,357	16,929,357	47%
Intergovernmental	33	7,938,539	2,011,825	4,193,764	53%
Fines & Fees	35	667,500	11,622	131,523	20%
Charges for Services	34	627,100	10,694	175,467	28%
Miscellaneous	36	765,000	110,492	1,663,862	217%
<b>Total</b>		<b>45,755,010</b>	<b>14,898,991</b>	<b>23,093,973</b>	<b>50%</b>

<b>Expenditures</b>		<b>Annual</b>	<b>Actual MTD</b>	<b>Actual YTD</b>	<b>% Budget</b>
		<b>2020 Revised Budget</b>	<b>6/30/2020</b>	<b>6/30/2020</b>	<b>Spent</b>
Personal Services & Benefits	41	28,533,984	2,007,025	13,095,869	46%
Supplies	42	1,455,276	118,456	348,222	24%
Other Services and Charges	43	16,666,181	958,398	5,797,542	35%
Capital Outlay	44	3,486,315	57,208	407,324	12%
<b>Total</b>		<b>50,141,756</b>	<b>3,141,088</b>	<b>19,648,957</b>	<b>39%</b>

**Indianapolis-Marion County Public Library**  
**Fund 101- Operating Fund - Detailed Income Statement**  
**Month Ended June 30, 2020**

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
<b>REVENUE</b>						
<b>TAXES</b>						
311000 PROPERTY TAX	43,605,112	43,605,112	12,754,357	16,929,357	-	26,675,755
311300 PROPERTY TAX CAPS	(7,848,241)	(7,848,241)	-	-	-	(7,848,241)
<b>TAXES Total</b>	<b>35,756,871</b>	<b>35,756,871</b>	<b>12,754,357</b>	<b>16,929,357</b>	<b>-</b>	<b>18,827,514</b>
<b>INTERGOVERNMENTAL</b>						
332200 E-RATE REVENUE	248,400	248,400	-	42,830	-	205,570
335100 FINANCIAL INSTITUTION TAX REV	261,850	261,850	202,569	202,569	-	59,281
335200 LICENSE EXCISE TAX REVENUE	2,774,272	2,774,272	1,494,547	1,494,547	-	1,279,725
335400 LOCAL OPTION INCOME TAX	3,854,584	3,854,584	121,309	2,048,601	-	1,805,983
335500 COUNTY OPTION INCOME TAX	467,329	467,329	38,943	250,759	-	216,570
335700 COMMERCIAL VEHICLE TAX REVENUE	302,664	302,664	141,293	141,293	-	161,371
339000 IN LIEU OF PROP. TAX	29,440	29,440	13,165	13,165	-	16,275
<b>INTERGOVERNMENTAL Total</b>	<b>7,938,539</b>	<b>7,938,539</b>	<b>2,011,825</b>	<b>4,193,764</b>	<b>-</b>	<b>3,744,775</b>
<b>CHARGES FOR SERVICES</b>						
347600 COPY MACHINE REVENUE	-	-	-	126	-	(126)
347601 PUBLIC PRINTING REVENUE	351,300	351,300	4,166	80,019	-	271,281
347602 FAX TRANSMISSION REVENUE	60,000	60,000	1,559	18,253	-	41,747
347603 PROCTORING EXAMS	3,800	3,800	-	797	-	3,003
347604 PLAC CARD DISTRIBUTION REVENUE	83,000	83,000	-	53,719	-	29,281
347605 USAGE FEE REVENUE	12,000	12,000	1,570	6,320	-	5,680
347606 SET-UP & SERVICE - TAXABLE	15,000	15,000	1,550	2,300	-	12,700
347607 SET-UP & SERVICE - NON-TAXABLE	12,000	12,000	500	1,465	-	10,535
347608 SECURITY SERVICES REVENUE	18,000	18,000	750	2,917	-	15,083
347609 EVENT SECURITY	-	-	600	960	-	(960)
347620 CAFE REVENUE	12,000	12,000	-	615	-	11,385
347621 CATERING REVENUE	60,000	60,000	-	7,977	-	52,023
<b>CHARGES FOR SERVICES Total</b>	<b>627,100</b>	<b>627,100</b>	<b>10,694</b>	<b>175,467</b>	<b>-</b>	<b>451,633</b>
<b>FINES</b>						
351200 FINES	650,000	650,000	11,344	127,544	-	522,456
351201 OTHER CARD REVENUE	2,000	2,000	65	1,040	-	960
351202 HEADSET REVENUE	7,000	7,000	54	1,158	-	5,842
351203 USB REVENUE	6,000	6,000	131	1,320	-	4,680
351204 LIBRARY TOTES	2,500	2,500	28	461	-	2,039
<b>FINES Total</b>	<b>667,500</b>	<b>667,500</b>	<b>11,622</b>	<b>131,523</b>	<b>-</b>	<b>535,977</b>
<b>MISCELLANEOUS</b>						
360000 MISCELLANEOUS REVENUE	2,500	2,500	47	1,040	-	1,460
360001 REVENUE ADJUSTMENT	-	-	(0)	1,086	-	(1,086)
361000 INTEREST INCOME	170,000	170,000	6,604	161,106	-	8,894
362000 FACILITY RTL REV - TAXABLE	100,000	100,000	220	17,764	-	82,236
362001 FACILITY RENTAL REV - NONTAX	64,000	64,000	-	4,219	-	59,781
362002 EQUIPMENT RENTAL REV - TAXABLE	1,000	1,000	900	1,500	-	(500)
362003 EQUIPMENT RENTAL REV - NONTAX	2,500	2,500	-	300	-	2,200
367004 OTHER GRANTS	225,000	225,000	-	-	-	225,000
<b>MISCELLANEOUS Total</b>	<b>565,000</b>	<b>565,000</b>	<b>7,771</b>	<b>187,015</b>	<b>-</b>	<b>377,985</b>
<b>OTHER FINANCING SRCS</b>						
396000 REFUNDS	5,000	5,000	-	341,450	-	(336,450)
399000 REIMBURSEMENT FOR SERVICES	175,000	175,000	102,721	113,575	-	61,425

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
399001 INSURANCE REIMBURSEMENTS	20,000	20,000	-	1,021,821	-	(1,001,821)
<b>OTHER FINANCING SRCS Total</b>	<b>200,000</b>	<b>200,000</b>	<b>102,721</b>	<b>1,476,847</b>	<b>-</b>	<b>(1,276,847)</b>
<b>REVENUE Total</b>	<b>45,755,010</b>	<b>45,755,010</b>	<b>14,898,991</b>	<b>23,093,973</b>	<b>-</b>	<b>22,661,037</b>
<b>EXPENSE</b>						
<b>PERSONAL SERVICES</b>						
411000 SALARIES APPOINTED STAFF	18,059,744	17,878,748	1,299,082	8,579,030	-	9,299,718
412000 SALARIES HOURLY STAFF	1,820,444	1,805,589	69,139	644,241	-	1,161,348
413000 WELLNESS	35,000	35,000	5,000	12,146	-	22,854
413001 LONG TERM DISABILITY INSURANCE	44,075	44,075	4,510	26,204	-	17,871
413002 EMPLOYEE ASSISTANCE PROGRAM	23,500	23,500	-	8,000	11,200	4,300
413003 TUITION ASSISTANCE	25,000	25,000	-	8,397	-	16,603
413100 FICA AND MEDICARE	1,513,443	1,513,443	99,130	670,121	-	843,322
413300 PERF/INPRS	2,546,358	2,546,358	274,998	1,202,277	-	1,344,081
413400 UNEMPLOYMENT COMPENSATION	9,000	25,500	2,895	6,133	19,312	55
413500 MEDICAL & DENTAL INSURANCE	4,610,470	4,597,821	249,216	1,920,691	6,447	2,670,683
413600 GROUP LIFE INSURANCE	38,950	38,950	3,056	18,629	-	20,321
<b>PERSONAL SERVICES Total</b>	<b>28,725,984</b>	<b>28,533,984</b>	<b>2,007,025</b>	<b>13,095,869</b>	<b>36,959</b>	<b>15,401,156</b>
<b>SUPPLIES</b>						
421500 OFFICE SUPPLIES - FAC/PURCH	385,096	454,797	84,660	127,776	90,315	236,706
421600 LIBRARY SUPPLIES	186,000	195,879	10,731	23,471	19,832	152,577
421700 DEPARTMENT OFFICE SUPPLIES	373,800	440,776	17,279	134,664	17,803	288,309
422210 GASOLINE	44,000	46,321	-	6,336	19,673	20,312
422250 UNIFORMS	8,000	10,800	-	4,877	1,298	4,625
422310 CLEANING & SANITATION	165,000	168,405	5,787	38,356	22,522	107,527
429001 NON CAPITAL FURNITURE & EQUIP	128,000	138,298	-	12,742	-	125,556
<b>SUPPLIES Total</b>	<b>1,289,896</b>	<b>1,455,276</b>	<b>118,456</b>	<b>348,222</b>	<b>171,442</b>	<b>935,612</b>
<b>OTHER SERVICES AND CHARGES</b>						
431100 LEGAL SERVICES	219,000	251,500	30,661	104,546	10,304	136,650
431200 ENGINEERING & ARCHITECTURAL	25,000	25,000	-	-	-	25,000
431500 CONSULTING SERVICES	285,900	533,763	25,317	143,335	159,068	231,359
432100 FREIGHT & EXPRESS	7,000	7,485	1,528	2,477	3,035	1,972
432200 POSTAGE	64,650	64,650	1,230	31,455	1,074	32,121
432300 TRAVEL	36,400	36,400	350	4,860	-	31,540
432400 DATA COMMUNICATIONS	281,800	284,150	14,565	98,012	392	185,746
432401 CELLULAR PHONE	10,080	10,080	779	5,159	-	4,921
432500 CONFERENCES	143,100	143,100	(2,000)	29,254	-	113,846
432501 IN HOUSE CONFERENCE	96,530	97,405	626	12,932	2,526	81,947
433100 OUTSIDE PRINTING	177,116	195,833	17,680	54,141	13,843	127,849
433200 PUBLICATION OF LEGAL NOTICES	1,800	1,800	-	289	-	1,511
434100 WORKER'S COMPENSATION	172,612	173,694	-	36,349	-	137,346
434200 PACKAGE	261,023	261,023	70,202	74,377	-	186,647
434201 EXCESS LIABILITY	11,179	11,179	(70,202)	9,012	-	2,167
434202 AUTOMOBILE	21,162	21,162	-	9,256	-	11,906
434500 OFFICIAL BONDS	1,080	1,080	-	975	-	105
434501 PUBLIC OFFICIALS & EE LIAB	17,280	17,280	-	15,504	-	1,776
434502 BROKERAGE FEE	18,360	18,360	-	10,000	-	8,360
435100 ELECTRICITY	1,194,813	1,421,496	46,870	372,740	948,756	100,000
435200 NATURAL GAS	146,856	184,381	3,038	57,430	90,095	36,856
435300 HEAT/STEAM	400,190	492,658	11,820	119,375	323,093	50,190
435400 WATER	83,896	95,274	3,654	29,382	63,490	2,403
435401 COOLING/CHILLED WATER	553,664	553,664	32,619	167,287	368,535	17,842
435500 STORMWATER	24,990	24,990	56	11,330	12,470	1,190
435900 SEWAGE	96,789	98,414	3,578	39,343	58,323	748
436100 REP & MAINT-STRUCTURE	573,500	801,486	33,602	349,992	210,738	240,757
436101 ELECTRICAL	672,000	672,000	5,057	82,985	195,559	393,457
436102 PLUMBING	100,000	100,000	327	17,161	12,818	70,021

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
436103 PEST SERVICES	35,000	35,000	-	5,051	20,449	9,500
436104 ELEVATOR SERVICES	101,000	101,000	88	50,836	34,299	15,865
436110 CLEANING SERVICES	1,125,311	1,241,214	57,841	440,476	617,891	182,847
436200 REP & MAINT-EQUIPMENT	217,000	231,710	16,091	77,821	23,361	130,528
436201 REP & MAINT-HEATING & AIR	467,000	543,947	21,200	137,799	237,651	168,497
436202 REP & MAINT -AUTO	63,000	66,533	1,094	16,524	-	50,009
436203 REP & MAINT-COMPUTERS	361,600	370,324	69,404	147,454	97,279	125,590
437200 EQUIPMENT RENTAL	83,800	83,800	5,148	34,514	23,497	25,789
437300 REAL ESTATE RENTAL	448,458	448,458	29,315	207,898	-	240,560
439100 CLAIMS, AWARDS, INDEMNITIES	25,000	25,000	-	-	-	25,000
439600 TRASH REMOVAL	68,563	76,523	7,931	46,098	26,862	3,563
439601 SNOW REMOVAL	382,500	455,405	-	141,000	55,631	258,774
439602 LAWN & LANDSCAPING	325,121	335,371	-	100,808	25,390	209,172
439800 DUES & MEMBERSHIPS	55,390	57,750	2,063	44,500	2,160	11,090
439901 COMPUTER SERVICES	297,500	202,549	107,722	134,762	-	67,787
439902 PAYROLL SERVICES	140,000	140,000	16,591	67,783	-	72,217
439903 SECURITY SERVICES	1,349,637	1,341,870	42,358	423,526	270,773	647,571
439904 BANK FEES/CREDIT CARD FEES	65,000	65,000	3,221	26,432	-	38,568
439905 OTHER CONTRACTUAL SERVICES	699,423	755,680	71,806	188,558	397,830	169,292
439906 RECRUITMENT EXPENSES	24,300	24,300	335	1,750	249	22,301
439907 EVENTS & PR	56,700	60,084	3,030	9,375	4,150	46,559
439910 PROGRAMMING	77,500	77,600	-	6,220	2,521	68,859
439911 PROGRAMMING-JUV.	150,000	152,960	-	19,443	18,690	114,827
439912 PROGRAMMING ADULT - CENTRAL	25,000	25,000	-	2,650	-	22,350
439913 PROGRAMMING EXHIBITS - CENTRAL	5,000	5,000	-	-	-	5,000
439930 MATERIALS CONTRACTUAL	2,129,795	3,129,795	271,802	1,577,305	-	1,552,490
451100 AUDIT FEES	15,000	15,000	-	-	-	15,000
452002 TRANSFERS IN/OUT	-	-	-	-	-	-
<b>OTHER SERVICES AND CHARGES TOTAL</b>	<b>14,491,368</b>	<b>16,666,181</b>	<b>958,398</b>	<b>5,797,542</b>	<b>4,332,804</b>	<b>6,535,835</b>
<b>CAPITAL</b>						
443500 BUILDING	-	192,000	-	-	-	192,000
445100 CAPITAL - FURNITURE	-	7,154	7,154	7,154	-	-
445200 VEHICLES	80,000	104,663	-	-	41,745	62,918
445300 CAPITAL - EQUIPMENT	-	15,582	-	15,582	-	-
445301 COMPUTER EQUIPMENT	50,000	50,000	-	-	-	50,000
449000 BOOKS & MATERIALS	3,884,250	2,884,250	49,074	337,603	-	2,546,647
449100 UNPROCESSED PAPERBACK BOOKS	137,000	232,667	981	46,986	48,427	137,254
<b>CAPITAL Total</b>	<b>4,151,250</b>	<b>3,486,315</b>	<b>57,208</b>	<b>407,324</b>	<b>90,172</b>	<b>2,988,819</b>
<b>EXPENSE Total</b>	<b>48,658,498</b>	<b>50,141,756</b>	<b>3,141,088</b>	<b>19,648,957</b>	<b>4,631,377</b>	<b>25,861,422</b>

**Indianapolis-Marion County Public Library**  
**Cashflow Projections - Operating Fund**  
**January 1 - December 31, 2020**

	Actual January	Actual February	Actual March	Actual April	Actual May	Actual June	Projected July	Projected August	Projected September	Projected October	Projected November	Projected December	Projected Y-T-D	Revised Budget	Variance
Beginning Balance	\$ 25,151,724	\$ 21,844,102	\$ 19,749,084	\$ 16,839,377	\$ 16,600,297	\$ 16,900,076	\$ 28,817,878	\$ 25,523,825	\$ 22,806,828	\$ 19,307,244	\$ 16,057,361	\$ 16,973,140	\$ 25,151,724	\$ 25,151,724	
<b>Receipts:</b>															
PROPERTY TAX	-	-	-	1,350,000	2,825,000	12,754,357	-	949,079	-	1,391,668	4,466,241	10,584,081	34,320,426	35,756,871	(1,436,445)
PROPERTY TAX CAPS	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
E-RATE REVENUE	16,060	13,050	13,720	-	-	-	8,491	41,447	23,571	8,554	8,554	98,295	231,743	248,400	(16,657)
FINANCIAL INSTITUTION TAX REV	-	-	-	-	-	202,569	-	-	-	-	-	132,431	335,000	261,850	73,150
LICENSE EXCISE TAX REVENUE	-	-	-	-	-	1,494,547	-	-	-	-	-	1,494,545	2,989,092	2,774,272	214,820
LOCAL OPTION INCOME TAX	321,215	321,215	321,215	321,215	642,431	121,309	321,215	321,215	321,215	321,215	321,215	199,905	3,854,581	3,854,584	(3)
COUNTY OPTION INCOME TAX	38,943	38,943	38,943	38,943	56,047	38,943	38,943	38,943	38,943	38,943	38,943	21,839	467,310	467,329	(19)
COMMERCIAL VEHICLE TAX REVENUE	-	-	-	-	-	141,293	-	-	-	-	-	141,293	282,586	302,664	(20,078)
IN LIEU OF PROP. TAX	-	-	-	-	-	13,165	-	-	-	-	-	16,275	29,440	29,440	-
COPY MACHINE REVENUE	126	-	-	-	-	-	-	-	-	-	-	-	126	-	126
PUBLIC PRINTING REVENUE	26,742	30,311	18,784	-	16	4,166	15,313	15,854	28,986	30,694	25,761	20,234	216,861	351,300	(134,439)
FAX TRANSMISSION REVENUE	5,514	6,375	4,785	-	21	1,559	5,200	5,344	4,925	5,712	5,054	3,806	48,294	60,000	(11,706)
PROCTORING EXAMS	250	227	285	-	35	-	814	285	69	207	193	406	2,772	3,800	(1,028)
PLAC. CARD DISTRIBUTION REVENUE	-	-	-	53,719	-	-	-	-	-	-	-	-	53,719	83,000	(29,281)
USAGE FEE REVENUE	1,870	1,120	970	770	20	1,570	767	1,558	50	643	1,166	2,280	12,784	12,000	784
SET-UP & SERVICE - TAXABLE	-	-	750	-	-	1,550	1,004	1,902	1,610	1,000	1,000	1,229	10,044	15,000	(4,956)
SET-UP & SERVICE - NON-TAXABLE	80	1,260	250	(625)	-	500	350	1,908	1,555	1,464	1,020	785	8,547	12,000	(3,453)
SECURITY SERVICES REVENUE	567	1,740	400	(540)	-	750	573	1,720	2,316	1,628	1,123	1,153	11,429	18,000	(6,571)
EVENT SECURITY	-	-	360	-	-	600	-	-	-	-	-	-	960	-	960
PARKING REVENUE	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
CAFÉ REVENUE	615	-	-	-	-	-	471	486	478	511	517	453	3,529	12,000	(8,471)
CATERING REVENUE	6,177	1,636	94	70	-	-	-	1,134	-	7,674	6,639	8,869	32,292	60,000	(27,708)
FINES	40,476	39,316	28,522	2,635	5,251	11,344	-	-	-	-	-	-	127,544	650,000	(522,456)
OTHER CARD REVENUE	195	585	195	-	-	65	3	188	286	94	94	31	1,735	2,000	(265)
HEADSET REVENUE	407	435	258	-	4	54	643	603	612	612	460	397	4,543	7,000	(2,457)
USB REVENUE	390	472	327	-	-	131	547	552	584	442	463	235	4,142	6,000	(1,858)
LIBRARY TOIES	127	172	115	-	19	28	255	235	185	160	120	88	1,505	2,500	(995)
MISCELLANEOUS REVENUE	256	335	191	211	-	47	107	125	1,005	93	105	158	2,634	2,500	134
REVENUE ADJUSTMENT	(16)	1	1,761	(661)	-	(0)	-	-	-	-	-	-	1,086	-	1,086
INTEREST INCOME	53,268	47,272	31,085	13,927	8,950	6,604	8,000	8,000	8,000	8,000	8,000	5,446	206,552	170,000	36,552
FACILITY Rtl REV - TAXABLE	6,116	8,430	4,478	(1,420)	(60)	220	-	10,915	7,914	9,722	6,039	3,614	55,968	100,000	(44,032)
FACILITY RENTAL REV - NONTAX	2,299	2,560	(80)	(560)	-	-	-	795	3,693	4,009	8,107	3,024	23,846	64,000	(40,154)
EQUIPMENT RENTAL REV - TAXABLE	-	-	600	-	-	900	-	-	-	-	-	-	1,500	1,000	500
EQUIPMENT RENTAL REV - NONTAX	-	300	-	-	-	-	-	389	402	22	-	268	1,380	2,500	(1,120)
FOUNDATION CONTRIBUTION	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
OTHER GRANTS	-	-	-	-	-	-	225,000	-	-	-	-	-	225,000	225,000	-
TRANSFER IN	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
SALE OF SURPLUS PROPERTY	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
REFUNDS	954	2,577	244	337,660	16	-	-	-	-	-	-	640	342,090	5,000	337,090
REIMBURSEMENT FOR SERVICES	5,741	5,113	-	-	-	102,721	-	229	3,436	-	-	-	117,240	175,000	(57,760)
INSURANCE REIMBURSEMENTS	-	-	-	1,021,821	-	-	-	-	784	-	-	-	1,022,605	20,000	1,002,605
<b>Total Receipts</b>	<b>528,372</b>	<b>523,444</b>	<b>468,252</b>	<b>3,137,166</b>	<b>3,537,748</b>	<b>14,898,991</b>	<b>627,696</b>	<b>1,402,972</b>	<b>450,607</b>	<b>1,833,067</b>	<b>4,900,813</b>	<b>12,741,778</b>	<b>45,050,906</b>	<b>45,755,010</b>	<b>(704,105)</b>
<b>Expenditures:</b>															
PERSONAL SERVICES & BENEFITS	2,517,344	1,811,832	2,278,595	1,976,501	2,504,573	2,007,025	2,051,187	2,051,223	2,056,250	2,934,623	2,056,285	2,050,440	26,295,877	28,725,984	2,430,107
SUPPLIES	99,329	44,442	34,784	26,109	25,100	118,457	114,000	118,000	96,000	163,000	104,000	131,000	1,074,222	1,405,276	331,054
OTHER SERVICES AND CHARGES	960,473	754,046	1,038,665	1,337,350	748,610	958,398	1,273,322	1,469,495	1,316,691	1,504,077	1,344,749	1,511,078	14,216,955	16,716,181	2,499,226
LIBRARY MATERIALS CAPITAL OUTLAY	259,304	3,070	25,220	36,285	26,236	57,208	483,240	481,250	481,250	481,250	480,000	480,000	3,294,315	3,294,315	-
TRANSFER OUT	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Expenditures</b>	<b>3,836,450</b>	<b>2,613,391</b>	<b>3,377,264</b>	<b>3,376,245</b>	<b>3,304,519</b>	<b>3,141,088</b>	<b>3,921,749</b>	<b>4,119,969</b>	<b>3,950,191</b>	<b>5,082,950</b>	<b>3,985,034</b>	<b>4,172,518</b>	<b>44,881,368</b>	<b>50,141,756</b>	<b>5,260,387</b>
<b>Change in Payables/Petty Cash/Correction*</b>	<b>455</b>	<b>(5,071)</b>	<b>(695)</b>	<b>-</b>	<b>66,550</b>	<b>159,899</b>							<b>221,138</b>	<b>-</b>	
<b>Ending Balance</b>	<b>\$ 21,844,102</b>	<b>\$ 19,749,084</b>	<b>\$ 16,839,377</b>	<b>\$ 16,600,297</b>	<b>\$ 16,900,076</b>	<b>\$ 28,817,878</b>	<b>\$ 25,523,825</b>	<b>\$ 22,806,828</b>	<b>\$ 19,307,244</b>	<b>\$ 16,057,361</b>	<b>\$ 16,973,140</b>	<b>\$ 25,542,399</b>	<b>\$ 25,542,399</b>	<b>\$ 20,764,978</b>	



**Indianapolis-Marion County Public Library**  
**Receipts & Disbursements**  
**Month Ended June 30, 2020**

<b>FUND</b>	<b>CASH AND INVESTMENTS 5/31/20</b>	<b>RECEIPTS</b>	<b>DISBURSEMENTS</b>	<b>CASH AND INVESTMENTS 6/30/20</b>
101 Total Operating	16,900,076	14,898,991	2,981,189	28,817,878
<b>EXCESS LEVY</b>	-	-	-	-
104 Total Fines	6	17,793	17,793	6
<b>BEECH GROVE</b>	-	-	-	-
226 Total Parking Garage	779,665	8,951	11,909	776,707
230 Total Grant	474,177	21,008	11,760	483,424
245 Total Rainy Day	5,528,499	2,665	371	5,530,793
270 Total Shared System	341,543	-	103,497	238,047
301 Total BIRF 1	3,644,849	4,123,045	5,174,612	2,593,283
321 Total BIRF 2	746,290	2,731,540	3,140,342	337,488
471 Total Library Improvement Reserve Fund	2,480,474	1,270	3,188	2,478,557
472 Total Construction	13,242	-	13,242	-
<b>CAPITAL PROJECTS FUND</b>	-	-	-	-
<b>2014 MULTI-BRANCH FAC IMPROV</b>	-	-	-	-
475 Total 2015 Bond RFID Books & Materials	202,414	-	15,449	186,965
476 Total 2016 Bond - Michigan Rd	36,912	25,620	25,620	36,912
477 Total 2017A Bond - Brightwood	1,107,707	-	189,702	918,006
478 Total 2017B Bond - Eagle	755,059	-	31,943	723,117
479 Total 2018A Bond - AHS/ILS/Fac Improvmts	2,571,962	-	31,994	2,539,968
480 Total 2018 BBond - West Perry Branch	8,626,734	-	343,930	8,282,804
481 Total 2019 Bond - LAW WAY Renovation	1,367,432	625	107,312	1,260,746
800 Total Gift	1,386,158	119,662	220,250	1,285,569
806 Total Payroll Liabilities (1)	121,036	108,461	148,420	81,077
812 Total Foundation Agency Fund	1,884	140	1,884	140
813 Total Staff Association Agency Fund	31	-	-	31
814 Total Sales Tax Agency Fund	(102)	551	252	197
815 Total PLAC Card Revenue Agency Fund	15,490	195	-	15,685
<b>Grand Total</b>	<b>47,101,539</b>	<b>22,060,517</b>	<b>12,574,658</b>	<b>56,587,398</b>

**Indianapolis Marion County Public Library**  
**Status of the Treasury**  
**Investment Report**  
**Month Ended June 30, 2020**

**Chase Savings Account**

	Balance June 30, 2020	Interest Earned June 30, 2020
Operating Fund	\$ 5,001,352	\$ 93
Grant Fund	\$ 193,395	\$ -
Parking Garage	\$ 409,133	\$ 17
Bond & Interest Redemption Fd	\$ 0	\$ -
Bond & Interest Redemption Fd 2	\$ 13,386	\$ -
Rainy Day Fund	\$ 404,653	\$ 17
Gift Fund	\$ 24	\$ 8
<b>Total Chase Savings Account</b>	<b>\$ 6,021,942</b>	<b>\$ 134</b>

The average savings account rate for June was 0.05%

**Fifth Third Bank Investment Account**

	Balance June 30, 2020	Interest Earned June 30, 2020
Library Improvement Reserve Fd	\$ 2,224,961	\$ 1,270
Rainy Day Fund	\$ 4,450,513	\$ 2,541
<b>Total Fifth Third Bank</b>	<b>\$ 6,675,474</b>	<b>\$ 3,812</b>

The average investment account rate for June was 0.69%

**Hoosier Fund Account Income**

	Balance June 30, 2020	Interest Earned June 30, 2020
Operating Fund	\$ 1,635,077	\$ 2,819
Rainy Day Fund	\$ 178,976	\$ 107
2017A Brightwood Project Fund	\$ -	\$ -
2018B West Perry Project Fund	\$ 3,062,846	\$ -
2018A Multi-Project Fund	\$ 2,323,565	\$ -
Bond & Interest Redemption Fd	\$ 19,886	\$ 1,479
2019 Lawrence/Wayne Project Fund	\$ 427,481	\$ 625
<b>Total Hoosier Fund Account</b>	<b>\$ 7,647,831</b>	<b>\$ 5,030</b>

The average Hoosier Fund account rate for June was 0.70%

**TrustIndiana**

	Balance June 30, 2020	Interest Earned June 30, 2020
Operating Fund	\$ 6,415,791	\$ 2,787
2015 RFID Project Fund	\$ 150,000	\$ -
2017A Brightwood Project Fund	\$ 0	\$ -
2017B Eagle Project Fund	\$ 579,471	\$ -
2018B West Perry Project Fund	\$ 4,890,752	\$ -
Bond & Interest Redemption Fd 2	\$ 90,897	\$ -
Bond & Interest Redemption Fd	\$ 450,162	\$ 32
<b>Total TrustIndiana Account</b>	<b>\$ 12,577,074</b>	<b>\$ 2,819</b>

The average TrustIndiana account rate for June was 0.26%

**U. S. Bank**

	Balance June 30, 2020	Interest Earned June 30, 2020
Operating Fund	\$ 8,052,952	\$ 906
<b>Total U. S. Bank</b>	<b>\$ 8,052,952</b>	<b>\$ 906</b>

The average U. S. Bank account rate for June was 0.05%

**Previous Month's Chase Savings Account Activity**

	Balance May 31, 2020	Interest Earned May 31, 2020
Operating Fund	\$ 1,260	\$ 19
Grant Fund	\$ 193,395	\$ -
Parking Garage	\$ 409,116	\$ 17
Bond & Interest Redemption Fd	\$ 83,960	\$ -
Bond & Interest Redemption Fd 2	\$ 360,386	\$ -
Rainy Day Fund	\$ 404,636	\$ 17
Gift Fund	\$ 16	\$ 8
<b>Total Chase Savings Account</b>	<b>\$ 1,452,768</b>	<b>\$ 61</b>

The average savings account rate for May was 0.05%

**Previous Month's Fifth Third Bank Investment Account**

	Balance May 31, 2020	Interest Earned May 31, 2020
Library Improvement Reserve Fd	\$ 2,223,691	\$ 1,741
Rainy Day Fund	\$ 4,447,972	\$ 3,483
<b>Total Fifth Third Bank</b>	<b>\$ 6,671,662</b>	<b>\$ 5,224</b>

The average investment account rate for May was 0.94%

**Previous Month's Hoosier Fund Account Income**

	Balance May 31, 2020	Interest Earned May 31, 2020
Operating Fund	\$ 1,632,259	\$ 3,642
Rainy Day Fund	\$ 178,869	\$ 106
2017A Brightwood Project Fund	\$ 1,418,314	\$ -
2018B West Perry Project Fund	\$ 3,062,846	\$ -
2018A Multi-Project Fund	\$ 2,573,565	\$ -
Bond & Interest Redemption Fd	\$ 18,407	\$ 1,530
2019 Lawrence/Wayne Project Fund	\$ 1,508,542	\$ 896
<b>Total Hoosier Fund Account</b>	<b>\$ 10,392,801</b>	<b>\$ 6,175</b>

The average Hoosier Fund account rate for May was .70%

**Previous Month's TrustIndiana**

	Balance May 31, 2020	Interest Earned May 31, 2020
Operating Fund	\$ 6,413,004	\$ 4,282
2015 RFID Project Fund	\$ 150,000	\$ -
2017A Brightwood Project Fund	\$ 352,534	\$ -
2017B Eagle Project Fund	\$ 626,937	\$ -
2018B West Perry Project Fund	\$ 5,390,752	\$ -
Bond & Interest Redemption Fd 2	\$ 90,897	\$ -
Bond & Interest Redemption Fd	\$ 968,130	\$ 46
<b>Total TrustIndiana Account</b>	<b>\$ 13,992,255</b>	<b>\$ 4,329</b>

The average TrustIndiana account rate for May was .37%

**Previous Month's U.S. Bank**

	Balance May 31, 2020	Interest Earned May 31, 2020
Operating Fund	\$ 8,052,046	\$ 1,006
<b>Total U. S. Bank</b>	<b>\$ 8,052,046</b>	<b>\$ 1,006</b>

The average U. S. Bank account rate for May was 0.15%

**Indianapolis-Marion County Public Library**  
**Fund 301 and 321 - Bond and Interest Funds - Detailed Income Statement**  
**Month Ended June 30, 2020**

	<b>ORIGINAL BUDGET</b>	<b>REVISED BUDG.</b>	<b>MTD</b>	<b>YTD</b>	<b>P.O.</b>	<b>AVAILABL E BUDG.</b>
<b>REVENUES</b>						
Property Taxes						
311000 PROPERTY TAX	12,882,655	12,882,655	6,328,213	6,328,213	-	6,554,442
<b>Property Taxes Total</b>	<b>12,882,655</b>	<b>12,882,655</b>	<b>6,328,213</b>	<b>6,328,213</b>	<b>-</b>	<b>6,554,442</b>
Intergovernmental						
335100 FINANCIAL INSTITUTION T	71,439	71,439	57,670	57,670	-	13,769
335200 LICENSE EXCISE TAX REVE	751,196	751,196	423,219	423,219	-	327,977
335700 COMMERCIAL VEHICLE TAX	59,660	59,660	40,225	40,225	-	19,435
339000 IN LIEU OF PROP. TAX	8,441	8,441	3,747	3,747	-	4,694
<b>Intergovernmental Total</b>	<b>890,736</b>	<b>890,736</b>	<b>524,861</b>	<b>524,861</b>	<b>-</b>	<b>365,875</b>
Miscellaneous						
361000 INTEREST INCOME	-	-	1,511	16,100	-	(16,100)
<b>Miscellaneous Total</b>	<b>-</b>	<b>-</b>	<b>1,511</b>	<b>16,100</b>	<b>-</b>	<b>(16,100)</b>
<b>REVENUES Total</b>	<b>13,773,391</b>	<b>13,773,391</b>	<b>6,854,586</b>	<b>6,869,175</b>	<b>-</b>	<b>6,904,216</b>
<b>EXPENSES</b>						
Other Services and Charges						
439904 BANK FEES/CREDIT CARD F	6,750	6,750	-	3,500	-	3,250
438100 PRINCIPAL	14,795,000	14,795,000	7,285,000	8,920,000	-	5,875,000
438200 INTEREST	1,848,161	1,848,161	1,029,954	1,242,466	-	605,695
<b>Other Services and Charges Total</b>	<b>16,649,911</b>	<b>16,649,911</b>	<b>8,314,954</b>	<b>10,165,966</b>	<b>-</b>	<b>6,483,945</b>
<b>EXPENSES Total</b>	<b>16,649,911</b>	<b>16,649,911</b>	<b>8,314,954</b>	<b>10,165,966</b>	<b>-</b>	<b>6,483,945</b>

**Indianapolis-Marion County Public Library**  
**Fund 245 - Rainy Day Fund - Detailed Income Statement**  
**Month Ended June 30, 2020**

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
<b>REVENUE</b>						
<b>MISCELLANEOUS</b>						
361000 INTEREST INCOME	30,000	30,000	2,665	39,155	-	(9,155)
<b>MISCELLANEOUS Total</b>	<b>30,000</b>	<b>30,000</b>	<b>2,665</b>	<b>39,155</b>	<b>-</b>	<b>(9,155)</b>
<b>REVENUE Total</b>	<b>30,000</b>	<b>30,000</b>	<b>2,665</b>	<b>39,155</b>	<b>-</b>	<b>(9,155)</b>
<b>EXPENSE</b>						
<b>OTHER SERVICES AND CHARGES</b>						
431100 LEGAL SERVICES	100,000	94,788	371	11,399	-	83,389
431200 ENGINEERING & ARCHITECTURAL	400,000	563,113	-	-	163,113	400,000
431500 CONSULTING SERVICES	-	7,521	-	4,200	-	3,321
438400 ISSUANCE COSTS	-	1,013	-	1,013	-	-
452002 TRANSFERS IN/OUT	-	-	-	(205,070)	-	205,070
<b>OTHER SERVICES AND CHARGES TOTAL</b>	<b>500,000</b>	<b>666,433</b>	<b>371</b>	<b>(188,459)</b>	<b>163,113</b>	<b>691,779</b>
<b>CAPITAL</b>						
441000 LAND	500,000	500,000	-	-	-	500,000
443500 BUILDING	1,000,000	1,000,000	-	-	-	1,000,000
<b>CAPITAL Total</b>	<b>1,500,000</b>	<b>1,500,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,500,000</b>
<b>EXPENSE Total</b>	<b>2,000,000</b>	<b>2,166,433</b>	<b>371</b>	<b>(188,459)</b>	<b>163,113</b>	<b>2,191,779</b>

**Indianapolis-Marion County Public Library**  
**Fund 471 - Library Improvement Reserve Fund - Detailed Income Statement**  
**Month Ended June 30, 2020**

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
<b>REVENUE</b>						
<b>MISCELLANEOUS</b>						
361000 INTEREST INCOME	40,000	40,000	1,270	18,798	-	21,202
<b>MISCELLANEOUS Total</b>	<b>40,000</b>	<b>40,000</b>	<b>1,270</b>	<b>18,798</b>	<b>-</b>	<b>21,202</b>
<b>REVENUE Total</b>	<b>40,000</b>	<b>40,000</b>	<b>1,270</b>	<b>18,798</b>	<b>-</b>	<b>21,202</b>
<b>EXPENSE</b>						
<b>OTHER SERVICES AND CHARGES</b>						
436100 REP & MAINT-STRUCTURE	600,000	910,795	-	261,175	49,621	600,000
<b>OTHER SERVICES AND CHARGES TOTAL</b>	<b>600,000</b>	<b>910,795</b>	<b>-</b>	<b>261,175</b>	<b>49,621</b>	<b>600,000</b>
<b>CAPITAL</b>						
444501 COMPUTER SOFTWARE	-	259,563	3,188	5,738	253,826	-
<b>CAPITAL Total</b>	<b>-</b>	<b>259,563</b>	<b>3,188</b>	<b>5,738</b>	<b>253,826</b>	<b>-</b>
<b>EXPENSE Total</b>	<b>600,000</b>	<b>1,170,358</b>	<b>3,188</b>	<b>266,912</b>	<b>303,446</b>	<b>600,000</b>

**Indianapolis-Marion County Public Library**  
**Fund 226 - Parking Garage - Detailed Income Statement**  
**Month Ended June 30, 2020**

	Original Budget	Revised Budget	MTD	YTD	P.O.	Available Budget
<b>REVENUE</b>						
CHARGES FOR SERVICES						
347610 PARKING REVENUE	120,000	120,000	8,084	64,396	-	55,604
347611 EVENTS PARKING	8,000	8,000	850	1,350	-	6,650
<b>CHARGES FOR SERVICES Total</b>	<b>128,000</b>	<b>128,000</b>	<b>8,934</b>	<b>65,746</b>	<b>-</b>	<b>62,254</b>
MISCELLANEOUS						
361000 INTEREST INCOME	5,000	5,000	17	444	-	4,556
<b>MISCELLANEOUS Total</b>	<b>5,000</b>	<b>5,000</b>	<b>17</b>	<b>444</b>	<b>-</b>	<b>4,556</b>
<b>REVENUE Total</b>	<b>133,000</b>	<b>133,000</b>	<b>8,951</b>	<b>66,190</b>	<b>-</b>	<b>66,810</b>
<b>EXPENSE</b>						
SUPPLIES						
421200 PRINTER SUPPLIES	2,000	2,000	533	720	-	1,280
421500 OFFICE SUPPLIES - FAC/PURCH	6,000	6,000	153	1,106	-	4,894
422310 CLEANING & SANITATION	100	100	-	-	-	100
<b>SUPPLIES Total</b>	<b>8,100</b>	<b>8,100</b>	<b>686</b>	<b>1,826</b>	<b>-</b>	<b>6,274</b>
OTHER SERVICES AND CHARGES						
431100 LEGAL SERVICES	1,000	1,000	-	-	-	1,000
431501 PARKING GARAGE CONTRACTUAL	12,000	12,000	2,000	7,000	-	5,000
432200 POSTAGE	500	500	-	-	-	500
432400 DATA COMMUNICATIONS	4,000	4,025	691	2,449	-	1,576
434201 EXCESS LIABILITY	5,000	5,000	810	2,939	-	2,061
436100 REP & MAINT-STRUCTURE	15,000	15,000	-	-	-	15,000
436110 CLEANING SERVICES	8,000	8,000	-	-	-	8,000
436200 REP & MAINT-EQUIPMENT	8,000	8,000	-	367	-	7,633
436201 REP & MAINT-HEATING & AIR	123,062	146,124	-	-	23,062	123,062
439904 BANK FEES/CREDIT CARD FEES	7,000	7,000	27	2,861	-	4,139
439905 OTHER CONTRACTUAL SERVICES	45,000	45,000	7,695	27,033	-	17,967
<b>OTHER SERVICES AND CHARGES TOTAL</b>	<b>228,562</b>	<b>251,649</b>	<b>11,223</b>	<b>42,649</b>	<b>23,062</b>	<b>185,938</b>
CAPITAL						
445300 CAPITAL - EQUIPMENT	242,000	242,000	-	-	-	242,000
<b>CAPITAL Total</b>	<b>242,000</b>	<b>242,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>242,000</b>
<b>EXPENSE Total</b>	<b>478,662</b>	<b>501,749</b>	<b>11,909</b>	<b>44,475</b>	<b>23,062</b>	<b>434,212</b>

**Indianapolis-Marion County Public Library**  
**Fund 270 - Shared System - Detailed Income Statement**  
**Month Ended June 30, 2020**

	<b>Original Budget</b>	<b>Revised Budget</b>	<b>MTD</b>	<b>YTD</b>	<b>P.O.</b>	<b>Available Budget</b>
<b>REVENUE</b>						
CHARGES FOR SERVICES						
347640 SHARED SYSTEM REVENUE	-	-	-	9,213	-	(9,213)
<b>CHARGES FOR SERVICES Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>9,213</b>	<b>-</b>	<b>(9,213)</b>
<b>REVENUE Total</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>9,213</b>	<b>-</b>	<b>(9,213)</b>
<b>EXPENSE</b>						
PERSONAL SERVICES						
411000 SALARIES APPOINTED STAFF	56,824	56,824	4,747	30,854	-	25,971
413100 FICA AND MEDICARE	4,347	4,347	337	2,194	-	2,153
413300 PERF/INPRS	8,069	8,069	1,011	4,381	-	3,688
<b>PERSONAL SERVICES Total</b>	<b>69,240</b>	<b>69,240</b>	<b>6,095</b>	<b>37,428</b>	<b>-</b>	<b>31,812</b>
SUPPLIES						
421600 LIBRARY SUPPLIES	2,060	2,313	-	-	253	2,060
<b>SUPPLIES Total</b>	<b>2,060</b>	<b>2,313</b>	<b>-</b>	<b>-</b>	<b>253</b>	<b>2,060</b>
OTHER SERVICES AND CHARGES						
431500 CONSULTING SERVICES	5,000	5,000	-	-	-	5,000
432300 TRAVEL	1,836	1,836	-	-	-	1,836
432501 IN HOUSE CONFERENCE	250	250	-	-	-	250
439907 EVENTS & PR	510	510	-	-	-	510
439909 REIMBURSEMENT FOR SERVICES EXP	77,250	102,450	97,402	97,402	-	5,048
439931 E-BOOKS	12,100	12,100	-	-	-	12,100
452002 TRANSFERS IN/OUT	-	-	-	-	-	-
<b>OTHER SERVICES AND CHARGES TOTAL</b>	<b>96,946</b>	<b>122,146</b>	<b>97,402</b>	<b>97,402</b>	<b>-</b>	<b>24,744</b>
<b>EXPENSE Total</b>	<b>168,246</b>	<b>193,699</b>	<b>103,497</b>	<b>134,830</b>	<b>253</b>	<b>58,616</b>

**Indianapolis-Marion County Public Library**  
**Fund 800 & 230 - Gift and Grant - Detailed Income Statement**  
**Month Ended June 30, 2020**

	MTD	YTD
<b>REVENUE</b>		
<b>MISCELLANEOUS</b>		
360000 MISCELLANEOUS REVENUE	-	-
360001 REVENUE ADJUSTMENT	-	-
361000 INTEREST INCOME	(8)	(309)
367000 FOUNDATION CONTRIBUTION	(119,662)	(911,658)
367002 FOUNDATIONS - DESIGNATED GIFTS	-	-
367004 OTHER GRANTS	(21,000)	(172,118)
399000 REIMBURSEMENT FOR SERVICES	-	(7,255)
<b>MISCELLANEOUS Total</b>	<b>(140,669)</b>	<b>(1,091,340)</b>
<b>REVENUE Total</b>	<b>(140,669)</b>	<b>(1,091,340)</b>
<b>EXPENSE</b>		
<b>PERSONAL SERVICES</b>		
411000 SALARIES APPOINTED STAFF	3,808	45,898
412000 SALARIES HOURLY STAFF	2,042	10,975
413001 LONG TERM DISABILITY INSURANCE	-	-
413100 FICA AND MEDICARE	290	2,093
413300 PERF/INPRS	901	3,905
413500 MEDICAL & DENTAL INSURANCE	-	1,189
413600 GROUP LIFE INSURANCE	-	-
<b>PERSONAL SERVICES Total</b>	<b>7,041</b>	<b>64,061</b>
<b>SUPPLIES</b>		
421500 OFFICE SUPPLIES - FAC/PURCH	-	282
421600 LIBRARY SUPPLIES	-	2,112
421700 DEPARTMENT OFFICE SUPPLIES	94,518	136,600
<b>SUPPLIES Total</b>	<b>94,518</b>	<b>138,993</b>
<b>OTHER SERVICES AND CHARGES</b>		
431500 CONSULTING SERVICES	1,496	24,908
432100 FREIGHT & EXPRESS	-	-
432300 TRAVEL	-	-
432400 DATA COMMUNICATIONS	4,066	28,476
432500 CONFERENCES	-	2,946
432501 IN HOUSE CONFERENCE	-	-
433100 OUTSIDE PRINTING	-	9,942
436100 REP & MAINT-STRUCTURE	-	-
439800 DUES & MEMBERSHIPS	-	250
439901 COMPUTER SERVICES	-	-
439903 SECURITY SERVICES	-	-
439905 OTHER CONTRACTUAL SERVICES	86,111	174,746
439907 EVENTS & PR	-	113
439910 PROGRAMMING	2,208	16,253
439911 PROGRAMMING-JUV.	4,407	23,013
439912 PROGRAMMING ADULT - CENTRAL	-	26,254
439913 PROGRAMMING EXHIBITS - CENTRAL	-	-



	MTD	YTD
439930 MATERIALS CONTRACTUAL	-	-
439934 DATABASES	-	-
<b>OTHER SERVICES AND CHARGES Total</b>	<b>98,288</b>	<b>306,900</b>
<b>CAPITAL</b>		
445100 CAPITAL - FURNITURE	-	-
445200 VEHICLES	-	-
445300 CAPITAL - EQUIPMENT	-	-
445301 COMPUTER EQUIPMENT	-	-
449000 BOOKS & MATERIALS	-	85,591
449100 UNPROCESSED PAPERBACK BOOKS	27,347	61,328
449200 ART & EXHIBITS	-	-
<b>449300 RARE BOOKS/SPECIAL COLLECTIONS</b>	<b>-</b>	<b>-</b>
<b>CAPITAL Total</b>	<b>27,347</b>	<b>146,919</b>
<b>OTHER FINANCING SRCS</b>		
459000 REFUNDS	8,621	11,053
459001 UNRESTRICTED EXPENSES	-	-
<b>OTHER FINANCING SRCS Total</b>	<b>8,621</b>	<b>11,053</b>
<b>EXPENSE Total</b>	<b>235,814</b>	<b>667,926</b>

**Indianapolis-Marion County Public Library**  
**Summary of Construction Fund Cash Balances**  
**Month Ended June 30, 2020**

**Construction Fund Cash Balances - Does Not Include Retainage Withheld**

Fund 475 - Restricted - RFID Project	186,965.33
Fund 476 - Restricted - Michigan Road Project	36,912.40
Fund 477 - Restricted - Brightwood Project	485,231.33
Fund 478 - Restricted - Eagle Project	684,653.15
Fund 479 - Restricted - Multiple Projects	2,534,458.41
Fund 480 - Restricted - West Perry Project	8,248,915.22
Fund 481 - Restricted - Lawrence/ Wayne Projects	1,093,360.44
Fund 472 - Construction/Foundation	0.00
<b>Total Construction Fund Cash Balances</b>	<b>13,270,496.28</b>

**Construction Fund Classification Breakdown**

Fund 475 - Restricted - RFID Project	186,965.33
Fund 476 - Restricted - Michigan Road Project	36,912.40
Fund 477 - Restricted - Brightwood Project	485,231.33
Fund 478 - Restricted - Eagle Project	684,653.15
Fund 479 - Restricted - Multiple Projects	2,534,458.41
Fund 480 - Restricted - West Perry Project	8,248,915.22
Fund 481 - Restricted - Lawrence/ Wayne Projects	1,093,360.44
Fund 472 - Construction/Foundation - Assigned - Central	0.00
<b>Total Construction Fund Breakdown</b>	<b>13,270,496.28</b>

**Summary of Classifications**

Total Restricted	13,270,496.28
Total Assigned	0.00
<b>Total of All Classifications</b>	<b>13,270,496.28</b>

**Summary of Project Activity**

<u>PROJECT</u>	<u>TOTAL PROCEEDS + INTEREST</u>	<u>* ADJUSTED ORIGINAL BUDGET</u>	<u>CURRENT MONTH</u>	<u>CURRENT YEAR</u>	<u>PROJECT TO DATE</u>	<u>OPEN P.O.</u>	<u>UNEXPENDED</u>
* Fund 475 - Restricted - RFID Project	2,000,000.00	2,000,000.00	15,449.00	77,355.53	1,813,034.67	186,810.00	155.33
* Fund 476 - Restricted - Michigan Road Project	7,719,554.17	7,719,554.17	0.00	122,869.85	7,682,641.77	2,902.33	34,010.07
* Fund 477 - Restricted - Brightwood Project	6,170,396.01	6,100,000.00	189,701.60	1,873,180.08	5,614,768.67	467,402.07	17,829.26
* Fund 478 - Restricted - Eagle Project	7,844,465.11	7,800,000.00	39,005.07	234,227.68	7,115,346.85	145,994.45	538,658.70
* Fund 479 - Restricted - Multiple Projects	5,068,386.81	5,000,000.00	34,641.79	425,199.55	2,465,541.59	297,750.94	2,236,707.47
* Fund 480 - Restricted - West Perry Project	9,608,603.58	9,600,000.00	377,818.97	476,105.28	1,351,084.78	8,126,733.12	122,182.10
* Fund 481 - Restricted - Lawrence/ Wayne Projects	3,182,878.38	3,182,878.38	171,356.87	2,047,517.94	2,089,517.94	965,156.30	128,204.14
Fund 472 - Major Repairs & Maintenance	3,454,070.94	3,454,070.94	13,241.56	13,241.56	3,454,070.94	0.00	0.00
<b>Total Expenditures</b>	<b>45,048,355.00</b>	<b>44,856,503.49</b>	<b>841,214.86</b>	<b>5,269,697.47</b>	<b>31,586,007.21</b>	<b>10,192,749.21</b>	<b>3,077,747.07</b>

	<u>*** BUDGET</u>	<u>ADJUSTED ORIGINAL BUDGET</u>	<u>CURRENT MONTH</u>	<u>CURRENT YEAR</u>	<u>PROJECT TO DATE</u>	<u>BUDGET BALANCE</u>
Interest Earnings - Foundation - Fund 472	15,270.69	15,270.69	0.00	0.00	15,270.69	0.00
Appropriated Interest Earnings - Fund 476	154,554.17	154,554.17	0.00	0.00	154,554.17	0.00
Appropriated Interest Earnings - Fund 477	225,396.01	155,000.00	0.00	0.00	155,000.00	0.00
Appropriated Interest Earnings - Fund 478	127,837.56	83,372.45	0.00	0.00	83,372.45	0.00
Appropriated Interest Earnings - Fund 480	197,647.04	189,043.46	0.00	0.00	189,043.46	0.00
Appropriated Interest Earnings - Fund 481	0.00	9,167.04	625.43	9,167.04	9,167.04	0.00

\* This is the original maximum budget for the Bond including interest that was appropriated for use.



## Board Briefing Report

6b

To: IMCPL Board

Meeting Date: July 27, 2020

From: Finance Committee

Subject: 2021 Proposed Budget

Background:

### Overall Summary of 2021 Budget:

	<u>2021</u>	<u>2020</u>
Operating Fund	\$49,968,376	\$48,658,498
BIRF -Debt Service	17,815,267	16,646,603
LIRF	0	0
Rainy Day Fund	3,000,000	2,000,000
<b>TOTAL</b>	<b><u>\$70,783,643</u></b>	<b><u>\$67,305,101</u></b>

### Operating Fund:

The attached projected budget and estimated revenues for the Operating Fund are still in draft form. There might be some changes made before our public hearing which is currently scheduled for August 11th.

The Library is waiting on information from the Department of Local Government (DLGF) on Circuit Breaker (Tax Caps) and assessed property values. Certified Net Assessed Values will be available on August 1st.

Attached is a summary of the projected revenues and expenditures for 2021 as well as a detailed draft budget for the Operating Fund. Below are significant assumptions.

## Significant Assumptions:

### Revenues:

- Property Taxes: The DLGF released the growth quotient of 4.2% for 2021 so we have assumed the levy will grow by that percentage. Circuit breaker credits are expected to be 18% of the levy and we are projecting delinquencies of 1%.
- Intergovernmental Revenue estimates were based on distributions for the first half of 2020.
- Local Income Tax: The budget assumes this will decrease by 15% in 2021.
- Fines: The budget assumes we will not have late fines but will have lost book fees.
- In-Branch Revenues: This includes printing, faxing, events and café revenues. The budget assumes this will decrease by 16%.
- Interest Income is based on current rates and expected to be about the same as 2018 which is significantly lower than 2019.

### Expenditures:

1. The largest part of our budget continues to be **Salaries and Benefits** so with revenues not growing as anticipated, this part of the budget will be impacted. The planned overall increase in the preliminary budget for Salaries and Benefits is approximately 2.6%.
  - Salaries:
    - Assumptions right now are that salaries for 2021 will either stay flat or will be an increase of 1%. We have reserved another 1% to give flexibility if revenues come in better than expected.
    - Hiring freeze with exceptions approved by Jackie
    - Assumption of no use of subs
  - Health Insurance – The 2021 budget includes a 2.7% increase in health insurance from the 2020 budget. Since our last budget briefing, we now have projections that Insurance premiums are expected to increase by 11%. We have not increased the budget more than 2.7% as the 2020 budgeted amount was high.
  - Wellness – Plan for an increase in the budget for wellness programs to benefit staff – screenings, flu shots, enrichment classes, weight watchers and other wellness initiatives.

- Unemployment Insurance is assumed to increase.
  - FICA – The contribution rate set by the Federal Government is 7.65%
  - PERF – The Library pays the employer contribution to PERF at 11.2%. The budget assumes that the Library will continue to pay the employee required contribution of 3% which makes the total Library contribution 14.2% of salaries for benefit eligible employees
2. In this initial draft, **Supplies** are budgeted to increase by approximately \$310,000 due to planned purchases of Staff and Public PCs that are due to be refreshed.
  3. The **Other Services and Charges** category is currently budgeted to increase by 1%, excluding the e-resources which is typically reported in this category but is being reported with Collection Materials. This includes, costs for insurance, printing, legal, consulting, training, utilities, repairs and maintenance, security, cleaning and other.
    - We have external factors out of our control such as cost of utilities.
    - Non-tangible collection materials – e-books, and other electronic formats – this is managed in combination with our tangible collection materials to reflect the patron usage.
  4. **Collection Materials** includes a proposed increase of 2% or \$109,251. Due to the increased demand in e-resources, we have moved \$1,000,000 from the physical books and materials budget to the e-resources budget. Due to the budget constraints, we cannot increase this overall category by much more.

**Bond and Interest Redemption Fund (BIRF-debt service):**

In accordance with Indiana Code, this fund can only be used for making our debt payments related to outstanding bonds. The projected 2021 budget includes the 2020 small bond issue for West Perry collection materials, CBLC digital project and facility improvement projects, scheduled to be sold later this year. Although the total budget is higher for the BIRF funds, **the debt service tax rate will be the same as the 2020 tax rate.** The anticipated debt service will be structured to ensure a flat tax rate but we are budgeting high for flexibility.

Bonds	Budget Year Paid off	Original Principal Amount	2021 Debt Service Budget
<b>BIRF Fund #1</b>			
2010 Central Library Project/Refunding	2022	23,630,000	\$2,839,780
2011 Central Library Project/Refunding	2022	8,310,000	2,589,525
2013 Central Library Project/Refunding	2022	30,725,000	370,000
2014 Bonds – E. Wash, South Port and Warren renovations	2022	4,755,000	3,317,025
Fees			4,750
<b>TOTAL</b>			<b>9,121,080</b>
<b>BIRF Fund #2</b>			
2016 Bonds - Michigan Road Branch	2028	7,565,000	225,838
2017A Bonds - Brightwood Branch	2025	5,945,000	169,557
2017B Bonds - Eagle Branch	2029	7,660,000	140,831
2018A Bonds - ILS, new branch materials and facility improvement	2021	5,000,000	1,454,960
2018B Bonds - West Perry Branch	2030	9,635,000	261,000
2019 Bonds - Lawrence and Wayne renovations	2021	3,040,000	1,432,000
2020 Bonds - West Perry collections/facility improvement	2022	5,350,000 *	5,000,000
Fees			10,000
<b>TOTAL</b>			<b>8,694,186</b>
<b>Grand Total</b>			<b>\$17,815,266</b>

\*Anticipated Debt Service for bonds to be sold late 2020

**Library Improvement Reserve Fund (LIRF):**

There are no projects being funded by the LIRF fund in 2021.

**Rainy Day Fund:**

Expenses related to the Library's building projects that will be reimbursed by bond proceeds.

Construction	\$2,500,000
Land	1,000,000
Consulting Services /Engineering & Architectural	400,000
Legal Services	<u>100,000</u>
	<b>\$3,000,000</b>

Indianapolis Public Library  
2021 Preliminary Draft Budget for Discussion  
For Finance Committee  
7.27.20

Category	2021 Budget	2020 Projection	2020 Budget	2019 Actuals	2018 Actuals
<b>Revenues</b>					
Property Taxes	\$ 36,803,587	\$ 34,320,426	\$ 35,756,871	\$ 35,241,287	\$ 34,689,089
Intergovernmental Revenues	7,415,326	8,189,752	7,938,539	8,034,031	7,494,414
Charges for Services	555,492	409,124	627,100	704,684	665,767
Fines and Fees	165,918	122,873	667,500	650,159	672,553
Miscellaneous	882,878	2,008,132	765,000	1,516,639	1,532,849
<b>Total Revenues</b>	<b>45,823,201</b>	<b>45,050,308</b>	<b>45,755,010</b>	<b>46,146,800</b>	<b>45,054,672</b>
<b>Expenditures</b>					
Salaries and Benefits	29,454,382	26,772,378	28,725,984	24,823,476	24,066,586
Supplies	1,599,490	1,013,665	1,289,896	897,500	798,381
Other Services and Charges					
Repairs and Maintenance	2,628,278	2,259,415	2,590,100	2,512,989	2,723,958
Utilities	2,594,244	2,301,183	2,501,198	1,962,629	2,035,495
Security	1,255,542	1,120,348	1,349,637	978,283	843,914
Cleaning	1,176,936	1,050,287	1,125,311	888,544	914,459
Snow Removal, Trash Removal, Landscaping	834,396	812,534	776,184	704,577	668,206
Other Contractual Services	679,296	567,293	699,423	650,090	425,804
Postage, Data Communications, Training	604,905	487,418	639,560	458,947	444,507
Insurance	513,688	331,274	502,696	314,185	407,827
Professional Services	497,400	552,590	629,900	469,691	739,325
Rentals	430,483	500,527	532,258	505,052	494,631
Other Services and Charges	1,168,540	788,225	1,015,306	1,026,196	814,787
Total Other Services and Charges	12,383,708	10,771,094	12,361,573	10,471,183	10,512,914
Collection Materials	6,260,296	6,132,232	6,151,045	5,972,595	5,490,765
Other Capital Outlay	270,500	192,000	130,000	1,285,120	134,914
<b>Total Expenditures</b>	<b>49,968,376</b>	<b>44,881,368</b>	<b>48,658,498</b>	<b>43,449,874</b>	<b>41,003,561</b>
<b>Surplus/(Deficit)</b>	<b>(4,145,175)</b>	<b>168,940</b>	<b>(2,903,488)</b>	<b>2,696,926</b>	<b>4,051,111</b>
<b>Ending Fund Balance</b>	<b>\$ 21,765,488</b>	<b>\$ 25,910,663</b>	<b>\$ 22,838,235</b>	<b>\$ 25,741,723</b>	<b>\$ 22,972,161</b>

**Indianapolis Public Library**  
**2021 Preliminary Draft Budget for Discussion**  
**Operating Fund**  
**7.27.20**

Object Code Description	2021			
	Scenario 1	2020 Budget	2019 Actuals	2018 Actuals
<b>Revenues</b>				
311000 - PROPERTY TAX	45,436,527	43,605,112	42,109,199	40,789,832
311300 - PROPERTY TAX CAPS	(8,178,575)	(7,848,241)	(7,579,000)	(6,960,602)
311300 - DELINQUENCIES/UNCOLLECTED	(454,365)	-	711,088	859,859
<b>Total Property Taxes</b>	<b>36,803,587</b>	<b>35,756,871</b>	<b>35,241,287</b>	<b>34,689,089</b>
332200 - E-RATE REVENUE	395,000	248,400	378,942	234,286
335100 - FINANCIAL INSTITUTION TAX REV	332,860	261,850	336,411	258,770
335200 - LICENSE EXCISE TAX REVENUE	2,694,752	2,774,272	2,740,197	2,787,494
335400 - LOCAL OPTION INCOME TAX	3,276,396	3,854,584	4,022,623	3,733,275
335500 - COUNTY OPTION INCOME TAX	397,230	467,329	233,093	205,100
335700 - COMMERCIAL VEHICLE TAX REVENUE	289,648	302,664	298,245	246,049
339000 - IN LIEU OF PROP. TAX	29,440	29,440	24,521	29,440
347600 - COPY MACHINE REVENUE	-	-	2,257	1,325
347601 - PUBLIC PRINTING REVENUE	303,631	351,300	361,466	346,371
347602 - FAX TRANSMISSION REVENUE	62,553	60,000	74,468	62,773
347603 - PROCTORING EXAMS	3,469	3,800	4,130	5,715
347604 - PLAC CARD DISTRIBUTION REVENUE	55,000	83,000	83,509	77,837
347605 - USAGE FEE REVENUE	2,520	12,000	12,044	12,730
347606 - SET-UP & SERVICE - TAXABLE	17,888	15,000	21,295	18,753
347607 - SET-UP & SERVICE - NON-TAXABLE	14,420	12,000	17,167	18,722
347608 - SECURITY SERVICES REVENUE	19,784	18,000	23,553	27,414
347609 - EVENT SECURITY	-	-	9,630	7,296
347620 - CAFE REVENUE	10,000	12,000	16,325	5,810
347621 - CATERING REVENUE	66,226	60,000	78,840	81,022
351200 - FINES	153,000	650,000	634,780	655,948
351201 - OTHER CARD REVENUE	1,163	2,000	1,385	1,442
351202 - HEADSET REVENUE	5,708	7,000	6,795	7,285
351203 - USB REVENUE	4,479	6,000	5,332	5,775
351204 - LIBRARY TOTES	1,568	2,500	1,867	2,103
360000 - MISCELLANEOUS REVENUE	2,500	2,500	5,320	4,746
360001 - REVENUE ADJUSTMENT	-	-	115	(592)
361000 - INTEREST INCOME	90,000	170,000	386,888	91,346
362000 - FACILITY RTL REV - TAXABLE	128,422	100,000	152,884	101,841
362001 - FACILITY RENTAL REV - NONTAX	36,539	64,000	43,499	75,931
362002 - EQUIPMENT RENTAL REV - TAXABLE	18,064	1,000	21,505	14,733
362003 - EQUIPMENT RENTAL REV - NONTAX	2,353	2,500	2,801	4,791
367004 - OTHER GRANTS	225,000	225,000	225,000	225,000
392100 - SALE OF SURPLUS PROPERTY	-	-	3,787	160
396000 - REFUNDS	5,000	5,000	21,437	35,611
399000 - REIMBURSEMENT FOR SERVICES	175,000	175,000	229,203	275,768
399001 - INSURANCE REIMBURSEMENTS	200,000	20,000	424,201	703,514
<b>Total Revenues</b>	<b>45,823,201</b>	<b>45,755,010</b>	<b>46,146,800</b>	<b>45,054,672</b>



Object Code Description	2021			
	Scenario 1	2020 Budget	2019 Actuals	2018 Actuals
<b>Expenditures</b>				
411000 - SALARIES APPOINTED STAFF	\$ 18,251,455	\$ 18,070,748	\$ 15,519,814	\$ 15,279,907
412000 - SALARIES HOURLY STAFF	1,805,589	1,805,589	1,765,332	1,689,361
413000 - WELLNESS	45,000	35,000	28,144	20,655
413001 - LONG TERM DISABILITY INSURANCE	44,957	44,075	47,038	42,927
413002 - EMPLOYEE ASSISTANCE PROGRAM	23,970	23,500	19,200	21,080
413003 - TUITION ASSISTANCE	30,000	25,000	10,085	21,638
413004 - SALARY ADJUSTMENT	271,061	-	-	-
413100 - FICA AND MEDICARE	1,555,100	1,513,443	1,265,748	1,227,994
413300 - PERF/INPRS	2,630,197	2,546,358	2,212,257	2,157,067
413400 - UNEMPLOYMENT COMPENSATION	20,000	9,000	5,185	420
413500 - MEDICAL & DENTAL INSURANCE	4,737,323	4,614,321	3,914,771	3,568,045
413600 - GROUP LIFE INSURANCE	39,729	38,950	35,901	37,492
<b>Salaries and Benefits</b>	<b>29,454,382</b>	<b>28,725,984</b>	<b>24,823,476</b>	<b>24,066,586</b>
421500 - SMALL EQUIP, DEVICES and FACILITY PURCHASES	710,120	385,096	146,964	192,401
421600 - LIBRARY SUPPLIES	106,000	186,000	80,661	75,627
421700 - DEPARTMENT/BRANCH OFFICE SUPPLIES	320,020	373,800	485,549	378,560
422210 - GASOLINE	44,880	44,000	26,244	22,918
422250 - UNIFORMS	8,160	8,000	4,474	102
422310 - CLEANING & SANITATION	169,950	165,000	93,095	104,079
429001 - NON CAPITAL FURNITURE & EQUIP	240,360	128,000	60,513	24,694
<b>Total Supplies</b>	<b>1,599,490</b>	<b>1,289,896</b>	<b>897,500</b>	<b>798,381</b>
431100 - LEGAL SERVICES	219,000	219,000	165,396	248,460
431200 - ENGINEERING & ARCHITECTURAL	-	25,000	-	-
431500 - CONSULTING SERVICES	278,400	385,900	304,295	490,865
432100 - FREIGHT & EXPRESS	7,070	7,000	5,138	4,801
432200 - POSTAGE	65,265	64,650	19,229	36,118
432300 - TRAVEL	33,280	36,400	17,419	16,158
432400 - DATA COMMUNICATIONS	278,400	281,800	283,387	261,379
432401 - CELLULAR PHONE	10,890	10,080	11,145	11,927
432500 - CONFERENCES	132,000	143,100	63,410	77,477
432501 - IN HOUSE CONFERENCE	78,000	96,530	59,219	36,647
433100 - OUTSIDE PRINTING	154,000	177,116	170,493	136,891
433200 - PUBLICATION OF LEGAL NOTICES	1,810	1,800	1,255	1,900
434100 - WORKER'S COMPENSATION	172,612	172,612	81,569	139,846
434200 - PACKAGE	268,854	261,023	93,894	209,155
434201 - EXCESS LIABILITY	11,514	11,179	85,434	8,430
434202 - AUTOMOBILE	21,797	21,162	18,555	18,371
434500 - OFFICIAL BONDS	1,112	1,080	975	-
434501 - PUBLIC OFFICIALS & EE LIAB	17,798	17,280	15,259	15,266
434502 - BROKERAGE FEE	20,000	18,360	18,500	16,759
435100 - ELECTRICITY	1,236,709	1,194,813	885,733	905,060
435200 - NATURAL GAS	167,793	146,856	87,596	97,140
435300 - HEAT/STEAM	408,194	400,190	268,254	311,414
435400 - WATER	87,574	83,896	68,378	67,808
435401 - COOLING/CHILLED WATER	564,737	553,664	526,360	536,589
435500 - STORMWATER	28,512	24,990	20,776	17,760
435900 - SEWAGE	100,725	96,789	105,532	99,723
436100 - REP & MAINT-STRUCTURE	746,361	573,500	1,026,161	1,541,184
436101 - ELECTRICAL	487,437	672,000	526,566	-
436102 - PLUMBING	102,000	100,000	76,124	-
436103 - PEST SERVICES	35,700	35,000	24,957	-
436104 - ELEVATOR SERVICES	139,740	101,000	107,800	-

Object Code Description	2021			
	Scenario 1	2020 Budget	2019 Actuals	2018 Actuals
436110 - CLEANING SERVICES	1,176,936	1,125,311	888,544	914,459
436200 - REP & MAINT-EQUIPMENT	221,340	217,000	137,428	59,874
436201 - REP & MAINT-HEATING & AIR	476,340	467,000	281,413	700,802
436202 - REP & MAINT -AUTO	64,260	63,000	32,446	36,442
436203 - REP & MAINT-COMPUTERS	355,100	361,600	300,093	385,657
437200 - EQUIPMENT RENTAL	86,908	83,800	67,044	63,479
437300 - REAL ESTATE RENTAL	343,575	448,458	438,008	431,152
439100 - CLAIMS-AWARDS-INDEMNITIES	25,750	25,000	-	-
439600 - TRASH REMOVAL	71,404	68,563	97,155	76,975
439601 - SNOW REMOVAL	419,910	382,500	348,410	332,618
439602 - LAWN & LANDSCAPING	343,082	325,121	259,011	258,613
439800 - DUES & MEMBERSHIPS	58,230	55,390	56,314	34,953
439901 - COMPUTER SERVICES	366,100	197,500	333,844	232,847
439902 - PAYROLL SERVICES	140,000	140,000	129,579	119,169
439903 - SECURITY SERVICES	1,255,542	1,349,637	978,283	843,914
439904 - BANK FEES/CREDIT CARD FEES	66,950	65,000	47,966	40,792
439905 - OTHER CONTRACTUAL SERVICES	679,296	699,423	650,090	425,804
439906 - RECRUITMENT EXPENSES	29,000	24,300	12,866	7,724
439907 - EVENTS & PR	54,200	56,700	22,520	18,193
439910 - PROGRAMMING	77,500	77,500	75,124	69,759
439911 - PROGRAMMING-JUV.	150,000	150,000	123,263	119,467
439912 - PROGRAMMING ADULT - CENTRAL	25,000	25,000	23,297	30,659
439913 - PROGRAMMING EXHIBITS - CENTRAL	5,000	5,000	960	775
439920 - PROPERTY TAXES	-	-	-	320
439930 - MATERIALS CONTRACTUAL	3,100,000	2,129,795	2,149,955	2,074,214
459000 - REFUNDS	-	-	5,000	-
451100 - AUDIT FEES	15,000	15,000	23,715	1,338
<b>Total Other Services &amp; Charges</b>	<b>15,483,708</b>	<b>14,491,368</b>	<b>12,621,139</b>	<b>12,587,128</b>
443500 - BUILDING	-	-	915,665	-
444490 - IMPROVEMTS OTH THAN BUILDING	-	-	-	-
445100 - CAPITAL - FURNITURE	-	-	8,658	-
445200 - VEHICLES	-	80,000	47,440	19,947
445300 - CAPITAL - EQUIPMENT	-	-	20,740	13,647
445301 - COMPUTER EQUIPMENT	270,500	50,000	292,618	101,320
449000 - BOOKS & MATERIALS	3,160,296	3,884,250	3,776,606	3,343,874
449100 - UNPROCESSED PAPERBACK BOOKS	-	137,000	46,034	72,678
449200 - ART & EXHIBITS	-	-	-	-
449300 - RARE BOOKS/SPECIAL COLLECTIONS	-	-	-	-
<b>Total Other Capital Outlay</b>	<b>3,430,796</b>	<b>4,151,250</b>	<b>5,107,760</b>	<b>3,551,466</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>49,968,376</b>	<b>48,658,498</b>	<b>43,449,874</b>	<b>41,003,561</b>



## Board Action Request

6c

**To:** IMCPL Board

**Meeting Date:** July 27, 2020

**From:** Finance Committee

**Approved by the  
Library Board:** July 27, 2020

**Effective Date:** July 27, 2020

**Subject:** Resolution 26-2020 – Liability Insurance for Policy Period 2020-2021

**Recommendation:** Authorize the adoption of Resolution 26-2020

**Background:** The majority of the Library's general insurance coverage is renewed on an annual basis in July for the period August 1 through July 31 (The Directors and Officers Liability Insurance coverage is renewed in December for the Calendar year).

Our insurance broker, Gallagher, recommends going with Travelers (our current carrier) again for the 2020-2021 renewal period. The insurance was bid for the 2019-2020 year and Travelers quote was significantly less than the other two carriers. Travelers quote this year is still lower than the quotes from the other carriers last year. It is important to build a relationship with our insurance carriers and so, given that Travelers has given us a quote that is still very competitive, we would recommend that the Library stay with Travelers again in 2020/2021. A small portion of the Library's overall insurance is provided through two other carriers (National Union Fire Insurance Company for AD&D coverage and BCS Insurance Company for Cyber Liability coverage) and we recommend staying with these carriers as well.

The premium increased from last year due to the market trends and the worker's compensation claims. The Library has worked very hard to increase safety awareness and thus reduce the factor used in measuring and comparing the number and amount of worker's compensation claims, called mod. Although our mod has decreased steadily over the past couple years, this year, it increased slightly. The Library's Safety and Security Officer continues to work to train staff in proper procedures to increase safety and reduce claims.

**Strategic/Fiscal Impact:** The fiscal impact overall is an increase compared to the amount we paid for the 2019/2020 coverage. Total cost for 2019/2020, including the brokers fee, was \$277,492 and the amount quoted for 2020/2021 is \$303,276, an increase of \$25,784 or 9.3%. This amount for the 2020/2021 renewal year of \$303,276 (with an additional \$5,000 if additional coverage is selected) is still less than the amount paid for 2018/2019, which was \$376,289.

# Indianapolis Marion-County Public Library

8/1/2020 to 8/1/2021 Policy Term

## Exposure History

	2015	2016	2017	2018	2019	2020	% Change
Total Building and Contents (Does Not Include Inland Marine, Fine Arts, Computer, Valuable Papers)	\$202,725,864	\$212,659,900 (Includes Beech Grove Library)	\$218,013,914	\$221,309,812	\$246,000,000	\$256,182,747	4.90%
EDP Hardware, Software, EE	\$3,198,397	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	0%
Inland Marine Miscellaneous Property	\$379,086	\$592,476	\$972,493	\$1,109,983	\$1,965,523	\$2,192,532	12%
Total Payrolls	\$16,300,141 (1)	\$16,765,265 (1)	\$17,024,490 (1)	\$17,562,535 (1)	\$17,434,380 (2)	\$19,007,671 (2)	9%
Total Employees	Not provided	319 FT 303 PT	414 FT 204 PT	Not provided	314 FT 319 PT 268 Hourly 849 Volunteers	338 FT 297 PT 268 Hourly 849 Volunteers	.003%
Experience Mod. Factor	2.06	1.990	1.670	1.570	1.230		%
Total Volunteers	459	715 (17,196 total hours of service)	436 ongoing 466 one time (14,796 total hours of service)	489 ongoing 293 one time (19,265 total hours of service)	451 ongoing 398 one time (18,141 total hours of service)	451 ongoing 398 one time (18,141 total hours of service)	0%
Total Vehicles	16	17	16	17	18	19	5.6%
Fine Arts	\$3,648,969	\$3,648,969	\$4,205,767	\$4,229,617	\$4,232,617	\$4,232,617	0%
Operating Budget Expenditures excluding debt service			\$43,501,386	\$44,709,820	\$46,356,497	\$48,658,498	5%

(1) Audited

(2) Estimated.

# Indianapolis Marion-County Public Library – Executive Summary

## 8/1/2020 to 8/1/2021 Policy Term

Arthur J. Gallagher Risk Management Services, Inc. is pleased to present our proposal to the Indianapolis-Marion County Public Library for the August 1, 2020 policy term.

The Gallagher Library Program has created one of the most comprehensive and competitively priced insurance programs available. This concept of packaged protection provides a balanced blend of basic and enhanced coverages for your library or system that goes beyond the standard program offered by others. This insurance program includes customized, professional loss control services to help you identify hazards and prevent workplace injuries.

Travelers Insurance Group – this carrier provided renewal terms effective 8/1/2020. While property rates have increased substantially industry wide, with rates increasing upwards to 25% or higher, Travelers was committed to keeping the rate increase down to a minimum of less than 10%. Travelers is committed to add Sexual Abuse coverage in the Umbrella layer, but is willing to add the coverage provided all controls are in place and the carrier is committed to working with the Library to help implement those controls along with any other controls to complete their risk management program. This must be approved prior to 8/1/2020. Total

Travelers Program Renewal Premium \$276,032

The Workers Compensation losses continue to dictate the high modification factor for the Library, and has increased slightly from last year due to increased claim activity. Travelers has a host of programs and loss control to help the Library reduce claim activity and we suggest the Library utilize their services when needed.

Experience Modification Factor Increased from 1.230 in 2019 to 1.430 in 2020

Prior years: 1.45 2011; 1.55 in 2012; 1.76 in 2013; 1.76 in 2014; 2.06 in 2015; 1.990 in 2016; 1.670 in 2017; 1.570 in 2018; 1.230 in 2019

Factors considered into this renewal are:

- Total Insurable Property Values – increased almost 5% - from \$243,603,505 in 2019 to \$258,182,747 in 2020.
- Increase of 2% to the Business Personal property values
- Added new Brightwood Branch to schedule this term: \$6,120,000 building value/\$1,000,000 Contents
- Travelers requested building value increase to 4% due to increasing construction costs and materials
- Fine Arts values – increased slightly – remained the same at \$4,232,617
- Payroll – increased 9% - from \$17,434,380 in 2019 to \$19,007,671
- Vehicle count- increased – from 18 in 2019 to 19 in 2020

The Exposure Summary (following page) outlines the specifics of the data.

We will always diligently and aggressively explore any potential opportunity to reduce the insurance costs for the Indianapolis-Marion County Public Library. Arthur J. Gallagher Risk Management Services, Inc. will continue to strive to provide exceptional service and expertise, and will do everything possible to grow this longstanding and valued relationship. We would like to express our appreciation to the Library, for their assistance in the renewal process. We are excited to continue our relationship this year as your Insurance Broker/Risk Management Consultant.

In the following pages, we will demonstrate what makes our company the best fit for your insurance placement and risk management needs. Thank you again for allowing us to be your partner in this placement.



Marcus Henthorn  
Area Vice President

Katherine Bisceglia  
Client Service Manager Senior

Martin Dezellan  
Area Vice President

**PREMIUM SUMMARY**  
**INDIANAPOLIS MARION COUNTY PUBLIC LIBRARY**  
**8/1/2020 – 8/1/2021**

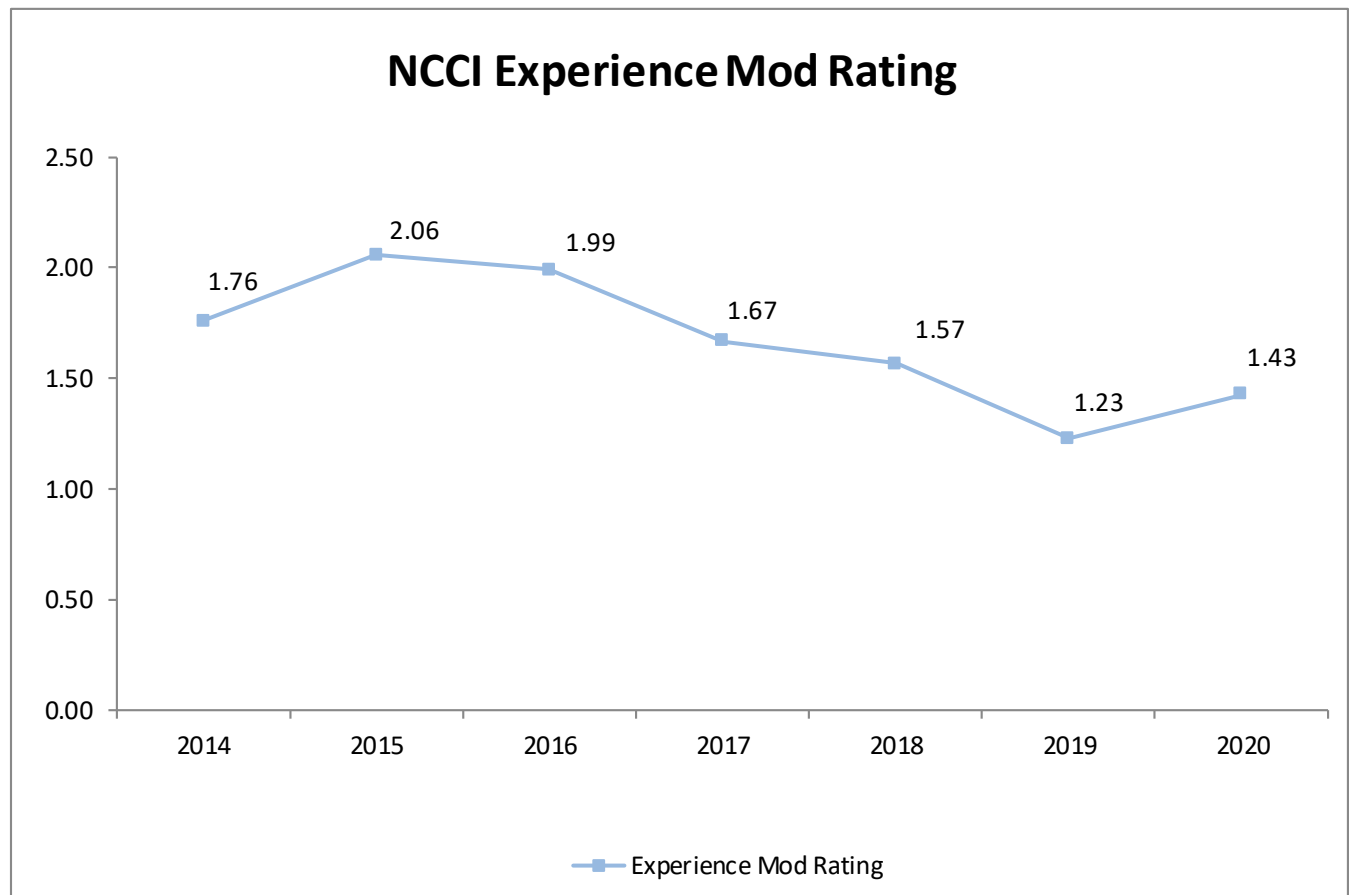
	EXPIRING 2019 PROGRAM TRAVELERS		RECOMMENDED 2020 PROGRAM TRAVELERS	
LINE OF COVERAGE	CARRIER	EXPIRING PREMIUMS	CARRIER	ESTIMATED PREMIUMS
<b>Property</b>	TravelersIndemnity Co.	\$118,303	TravelersIndemnity Co.	\$134,751
<b>Inland Marine</b>	TravelersIndemnity Co.	\$3,734	TravelersIndemnity Co.	\$4,166
<b>Crime</b>	TravelersIndemnity Co.	\$1,701	TravelersIndemnity Co.	\$1,871
<b>General Liability/EBL</b>	TravelersCasualty Co America	\$19,161	TravelersCasualty Co America	\$18,609
<b>Auto</b>	TravelersIndemnity Co.	\$18,512	TravelersIndemnity Co.	\$21,537
<b>Umbrella</b>	TravelersProp/Casualty Co of America	\$18,024	TravelersProp/Casualty Co of America	\$16,077
<b>Workers Compensation</b>	TravelersIndemnity Co of	\$70,533	TravelersIndemnity Co of CT	\$79,021
		<b>\$249,968</b>		<b>\$276,032</b>
<b>AD&amp;D</b>	National Union Fire Insurance Company of Pittsburgh PA	<b>\$740</b>	National Union Fire Insurance Company of Pittsburgh PA	<b>\$893</b>
<b>Cyber Liability</b>	BCS Insurance Company	<b>\$6,784</b>	BCS Insurance Company	<b>\$6,504</b>
<b>Gallagher Service Fee</b>	1 <sup>st</sup> year of 3 year contract	<b>\$20,000</b>	2 <sup>nd</sup> year of 3 year contract	<b>\$20,000</b>
<b>Total Estimated Program Cost</b>		<b>\$277,492</b>		<b>\$303,276</b>
	Estimated \$5,000 Additional Premium allocated for Sex Molestation in Umbrella	<b>\$282,492</b> <b>Estimated Max pay</b>	Estimated \$5,000 Additional Premium allocated for Sex Molestation in Umbrella	<b>\$308,276</b> <b>Estimated Max pay</b>

## Market Review

We approached the following carriers in an effort to provide the most comprehensive and cost effective insurance program.

INSURANCE COMPANY	LINE OF COVERAGE	RESPONSE	PREMIUM
Travelers Indemnity Company	Property		\$134,751
Travelers Indemnity Company	Crime		\$1,871
Travelers Indemnity Company	Inland Marine – Miscellaneous Equip		\$4,166
Travelers Casualty Co of America	Auto	Recommended	\$21,537
Travelers Indemnity Company	General Liability/EBL	Quoted	\$18,609
Travelers Property Casualty Co of America	Umbrella (1)		\$16,077
Travelers Indemnity Company of CT	Workers Compensation/EL		\$79,021
			<b>TOTAL \$276,032</b>
<p>(1). Travelers can include Sexual Molestation coverage in the Umbrella Layer once policies and procedures are in place. The carrier is willing to add the coverage provided all controls are in place and they are committed to working with the Library to help them implement those controls along with any other controls to complete their risk management program. The additional premium for adding this coverage will be approximately \$5,000 additional premium and will be pro-rated if endorsed after the effective date.</p>			
National Union Fire Insurance Company of Pittsburgh PA	Accident & Health	Recommended Quote	\$740
BCS Insurance Company	Cyber Liability	Recommended Quoted	\$6,504





**In each of the past two years, the library has had one large claim.**

**If those two claims were eliminated, this year's ERM would be approximately 0.84.**



## Board Resolution

6c

INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY  
RESOLUTION 26-2020  
LIABILITY INSURANCE FOR POLICY PERIOD 2020-2021  
July 27, 2020

**WHEREAS**, the Library has reviewed its current insurance coverages and deductibles for the period August 2020-August 2021; and

**WHEREAS**, the Library prefers to renew its coverages with its current insurance carrier, Travelers Insurance Group, as they have been determined to provide the most cost effective coverage.

**BE IT RESOLVED**, that for the policy year 2020-2021, the Library Board of Trustees approves the selection of Travelers Insurance Group as the provider of the Library property, liability, automobile, workers compensation, umbrella, inland marine, boiler and crime insurance coverages at a combined maximum cost of \$308,276.



## Board Briefing Report

6d

**To:** IMCPL Board **Meeting Date:** July 27, 2020

**From:** John Helling, Director of Public Services

**Subject:** Eliminating "per day" late fines and waiving historical fines

**Background:** The Indianapolis Public Library is examining the potential impacts of going "fine free." This means eliminating the "per day" late fines that accrue when materials become overdue but are eventually returned; we are not considering eliminating the fees that are incurred when materials are damaged, lost, or otherwise removed from public access.

The "fine free movement" has been gathering momentum in the public library world for several years. Libraries have been asking themselves if the revenue realized from fines offsets the negative impacts that fines have on our relationships with communities and individual patrons.

**Strategic/Fiscal Impact:** We collect approximately 60% of the late fines that are incurred by patrons. The library has seen a steady decline in the amount of revenue that we take in from fines, from around \$900,000 in 2014 to around \$477,000 in 2019. We would be giving up this income. There would be offsetting benefits, including a decrease in the number of "placements" with Unique Management, our debt collection agency.

We collect a much lower percentage of lost/damaged materials fees. In 2019, we collected \$130,924 out of \$792,254, or about 16.5%.

As part of the process of going "fine free," the library is proposing waiving around \$2 million in historical fines. These are fines that we are extremely unlikely to collect. Our collection rate for "current year" fines is around 60%. After one year it drops to 11%, after two years it drops to 3%.

We feel that there would be significant business value to going fine free. Simply put, it is an obstacle to accomplishing our mission. Fines disproportionately affect our patrons of color and our patrons who reside in ZIP codes with low income/high poverty.

Going fine free would allow our Public Services staff to focus more on customer service and would also simplify many interactions with the public, allowing them to emphasize the more foundational aspects of the library's mission. Waiving historical fines would allow many patrons to reengage with the library.

**Recommendation:** In August, we would like for the library board to consider taking action to eliminate fines at IndyPL.

# “FINE FREE” AT INDYPL

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Examining the impact of restructuring our fines

# “Fine Free” at IndyPL

1. Why “Fine Free”
2. Our specific proposal
3. History of IndyPL fine relief programs
4. Looking at the data - who do fines affect most?
5. Financial impacts and analysis
6. Questions

# Why “Fine Free”

- **Contrary to our goals of providing equitable access:**
  - **A form of social inequity:** Fines and fees have inequitable effects across our patron base
  - **Barriers to access:** Public libraries in general, and the Indianapolis Public Library specifically, have been discussing how our fine/fee structures can be barriers to access
- **Not effective:** Studies have shown that small fines do not have an impact on return rates.
- **Not fiscally sustainable:** with the increase in use of electronic materials, fine revenues have steadily decreased over the years. Cost in staff time may exceed revenues generated, although this is difficult to measure.

# What is being proposed:

- We are proposing:
  - Elimination of “per day” late fines (lost and damaged items would still be charged to patrons to protect public investment in those materials)
  - Increasing collection efforts on lost book fees
  - Waiving debt for current outstanding fines in the amount of \$2 million

# What are other libraries doing?



Source: [Urban Libraries Council fine free map](#)



# What are other libraries doing?

- Feedback from San Francisco Public Library
  - “Overall, feedback has been very positive. Front line staff has noted better interactions with patrons and less time spent reconciling cash issues/preparing deposits. We do get rare feedback from patrons worried that not having fines will discourage patrons from returning items and thereby block access to materials for patrons wanting those items. We have not found that to be the case.”
  - “We did see our active patron count (defined by CA State Library as patrons active in the past 3 years) increase 4% between July 1 and December 2020. Comparatively, our active patron count only increased 2.2% in previous fiscal year (July 2018 - June 2019).”

# A brief history of fine relief efforts at IndyPL

- Earn and Learn
  - “Read away your fines”
  - Structured like the Summer Reading Program – certain books were worth certain “points” which would then take fines off a card
  - Fines on children’s cards are not usually the child’s fault
- Fresh Start
  - Transition from child card to adult card
  - Fines accrued as a child are wiped away for a “fresh start”
- Second Chance
  - For adults
  - Basically, a down payment plus a payment plan allow you to keep borrowing
- Informal agreements
  - Talking to staff about your situation
  - “EDC” status – exempt from debt collect

# A brief history of fine relief efforts at IndyPL

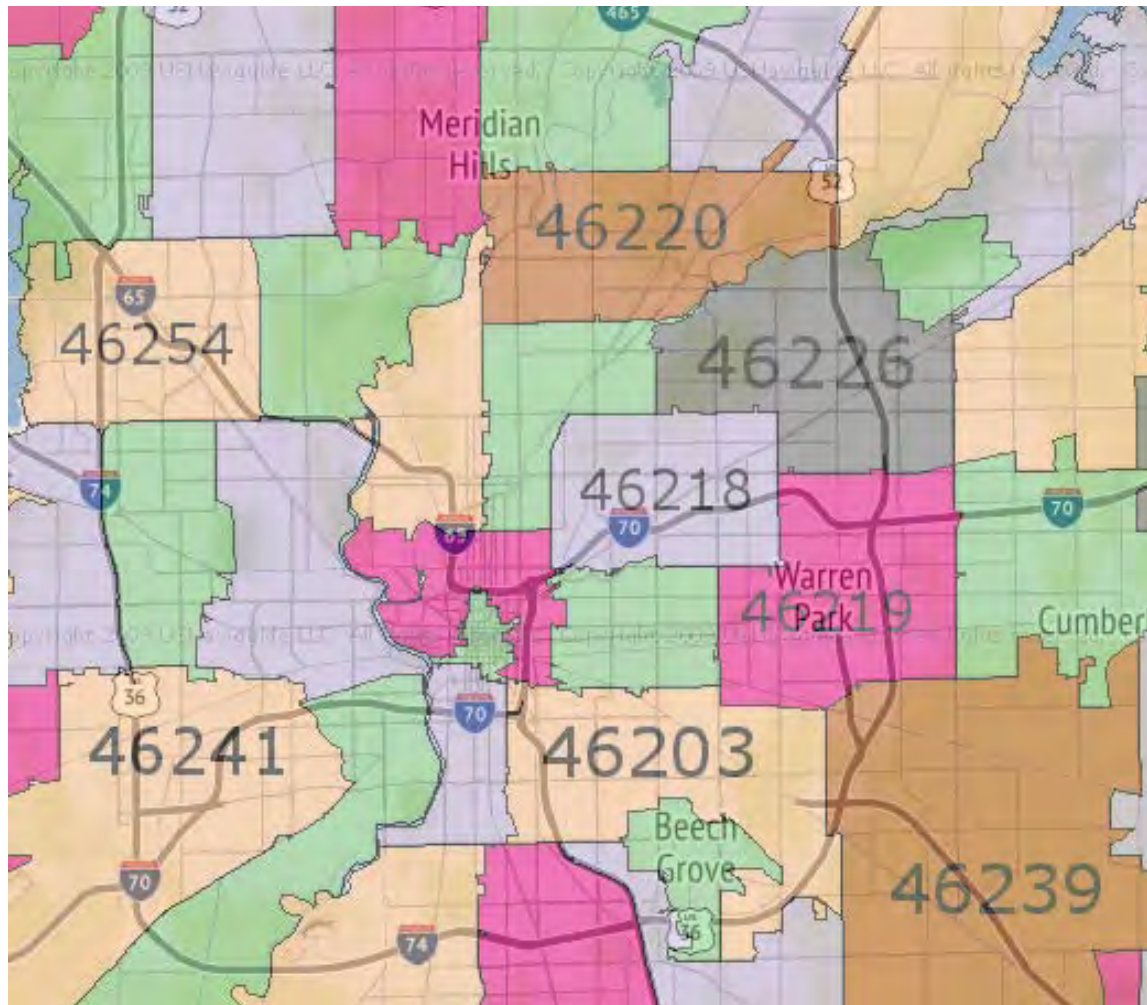
- Earn and Learn – staff feedback
  - “My optimistic guess would be that maybe 25% of the children in the program went all the way through and got their library privileges back.”
  - The problem is that usually, the fines are not really the child’s fault. Even if the fines were for the child’s own material, they can’t drive to the library, and they are not the ones getting email reminders.”
  - “We sign kids up for E&L by the hundreds when we do school library card drives. It’s a lot of explanation and documentation, which gets lost and we repeat all that when they do come to a library branch. Or the child loses the point card, so they have to start over.”
  - “One family learned about the Fresh Start program for young adults, so they just waited until each child aged out of E&L and got their fines waived altogether.”

# Where is the “late fee” debt?

- Patrons from 734 Zip codes owe debt to IndyPL.
- These ten Zip codes have the most debt in the IndyPL system.
- Combined, they account for more than half of the systemwide debt (\$1,014,874.62 of a total \$2,000,050.96).

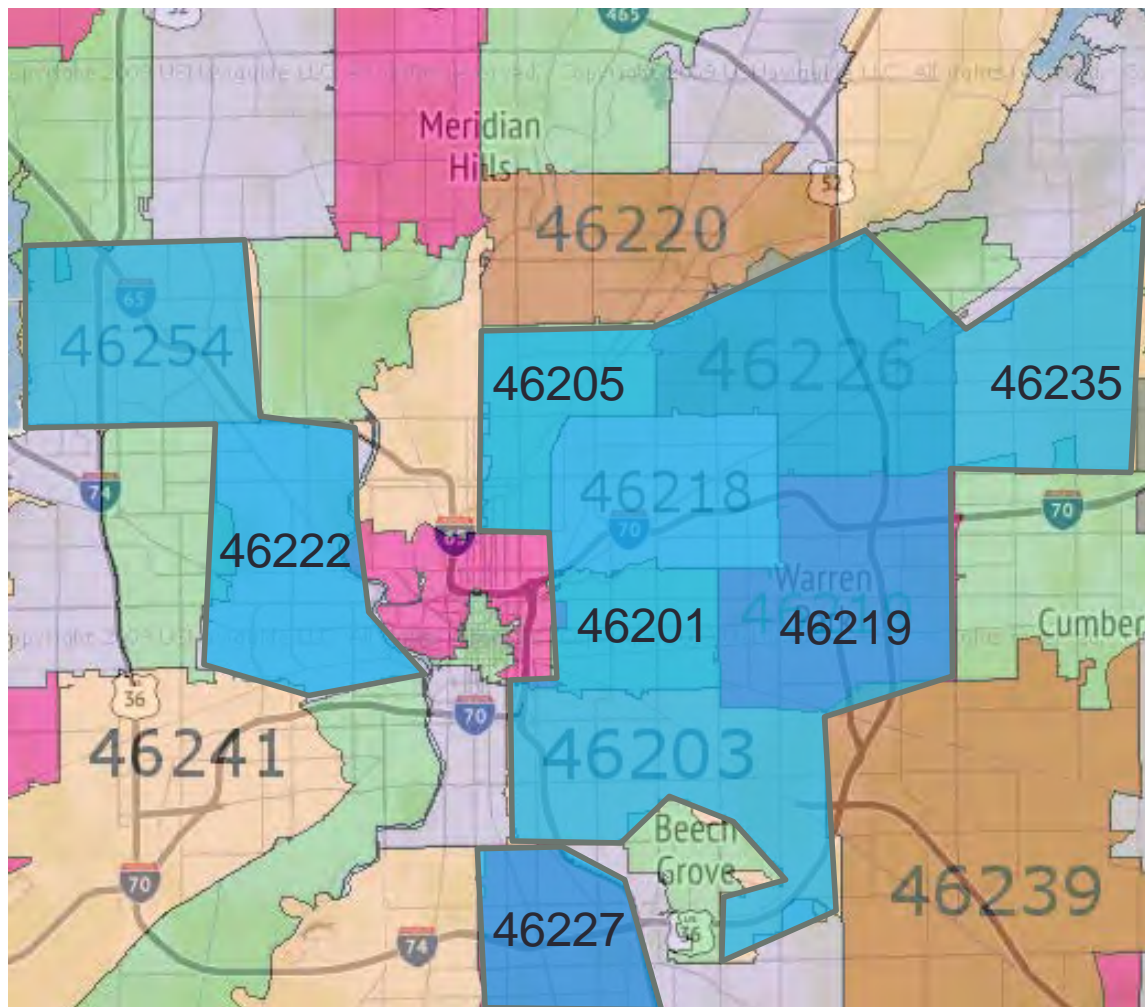
1	Zip Code	City	State	Outstanding Amount
2	46201	Indianapolis	IN	\$162,657.96
3	46226	Indianapolis	IN	\$113,868.49
4	46218	Indianapolis	IN	\$110,111.66
5	46203	Indianapolis	IN	\$103,571.19
6	46222	Indianapolis	IN	\$102,063.62
7	46235	Indianapolis	IN	\$89,234.14
8	46227	Indianapolis	IN	\$88,310.85
9	46205	Indianapolis	IN	\$84,115.71
10	46219	Indianapolis	IN	\$82,600.01
11	46254	Indianapolis	IN	\$78,340.99

# Where is the debt?



# Where is the debt?

Top Ten Zip codes

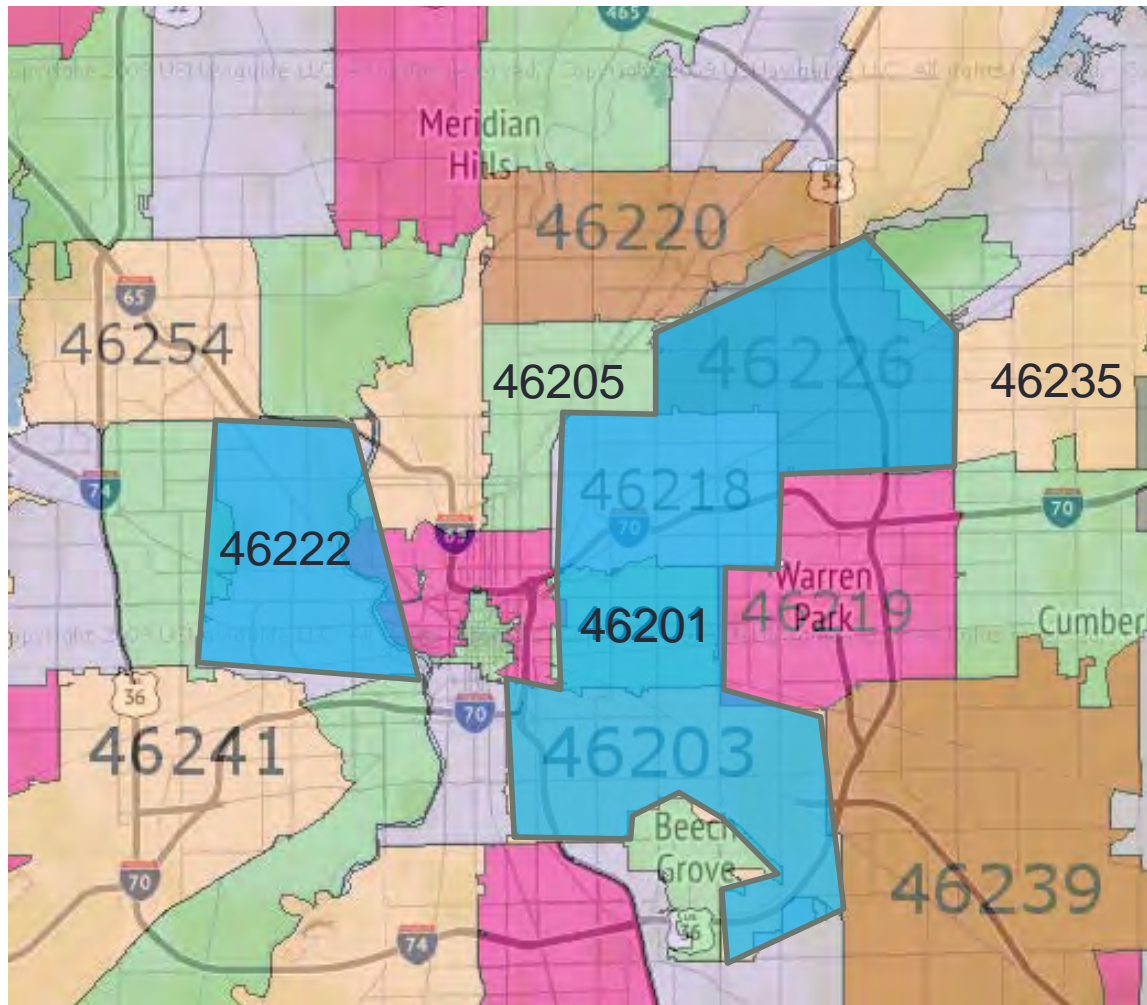


1	Zip Code
2	46201
3	46226
4	46218
5	46203
6	46222
7	46235
8	46227
9	46205
10	46219
11	46254



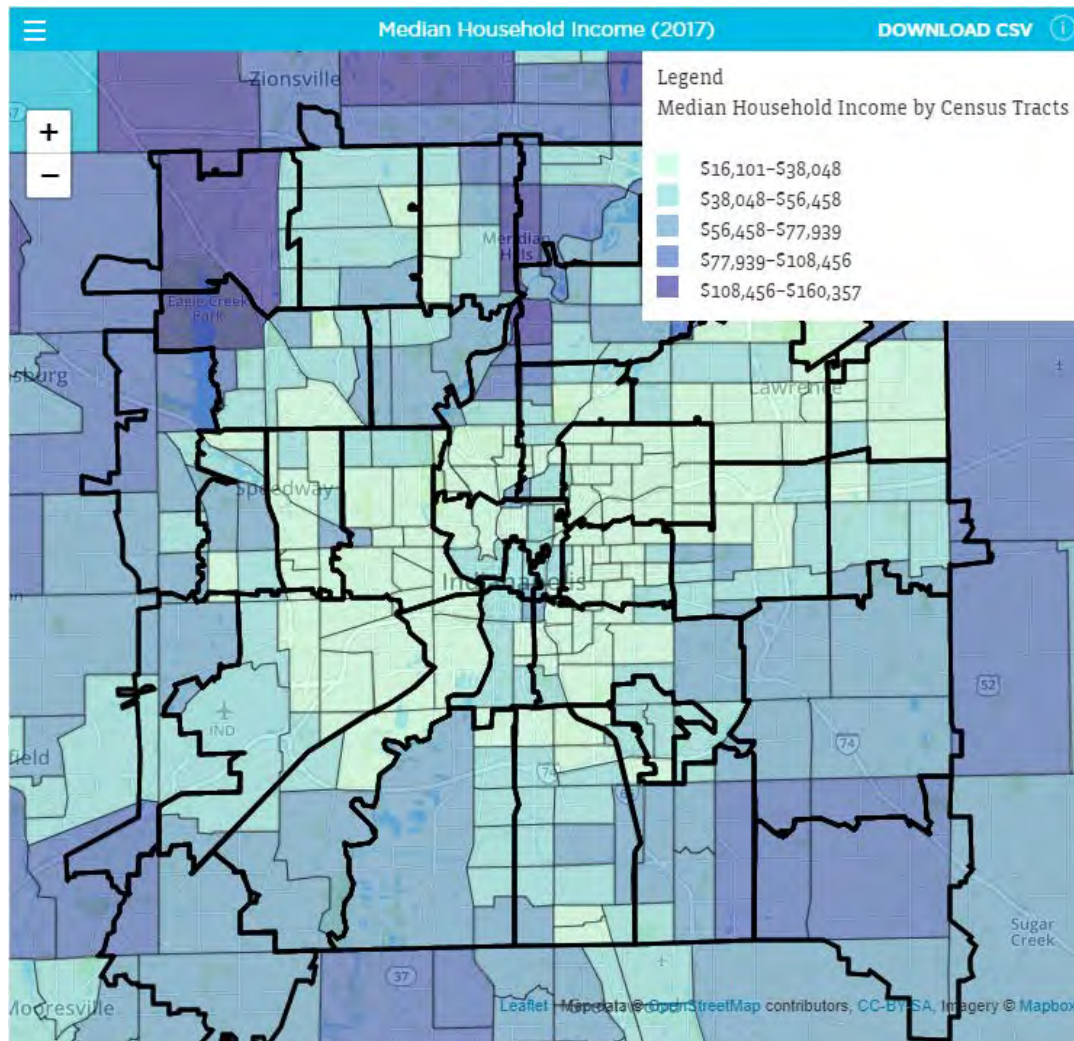
# Where is the debt?

Top Five Zip codes



1	Zip Code
2	46201
3	46226
4	46218
5	46203
6	46222

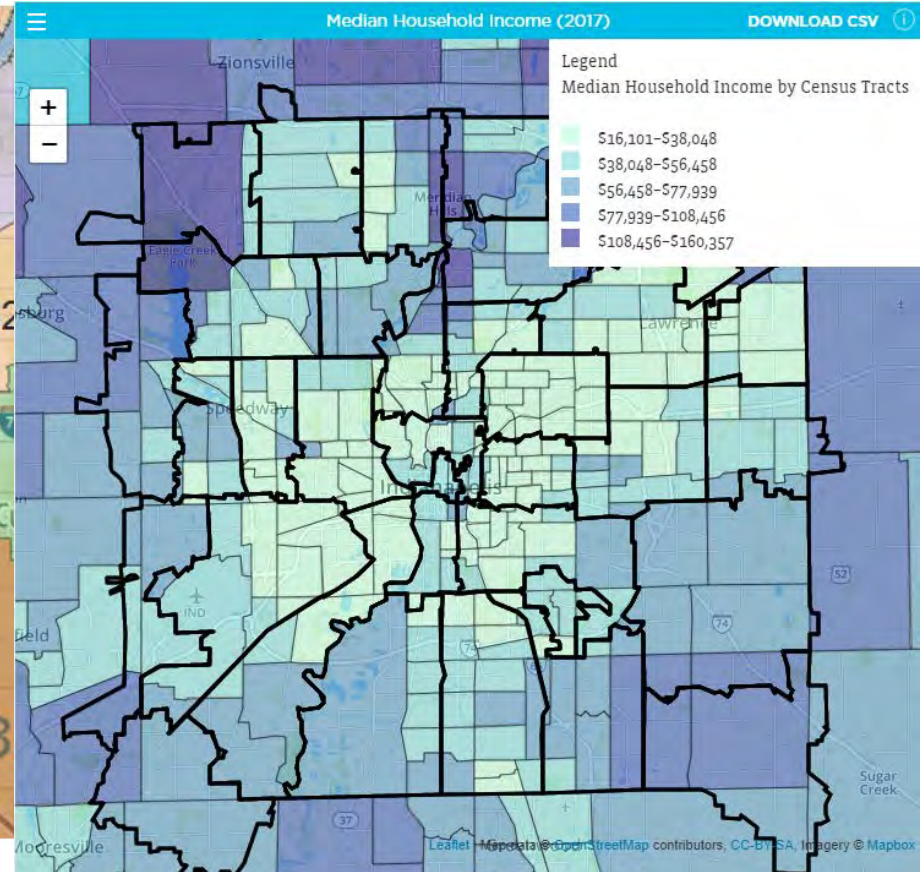
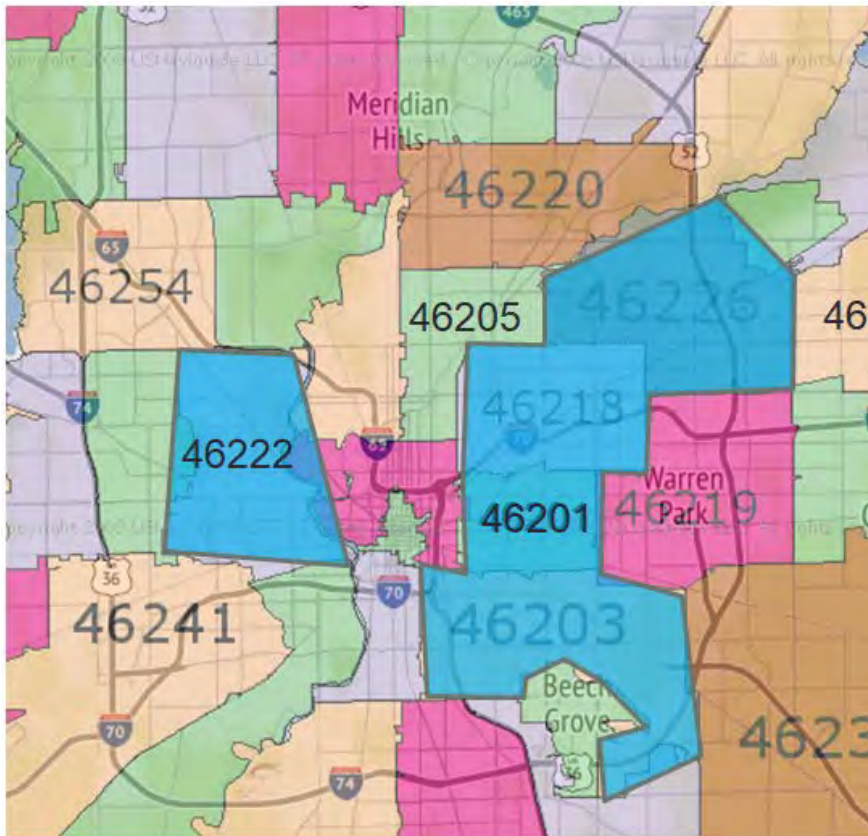
# Income by census tract



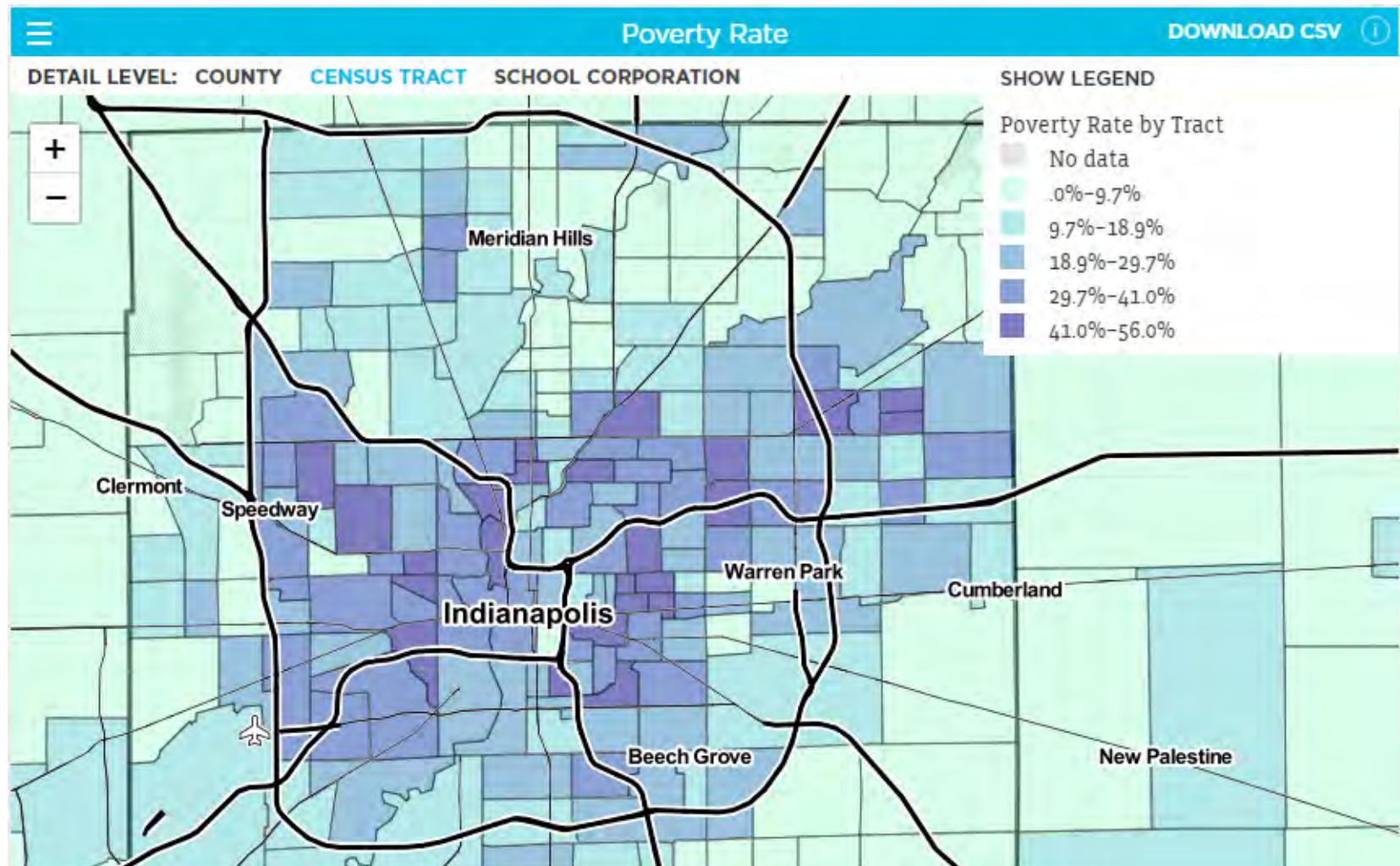


# Who is in debt?

IndyPL debt and income



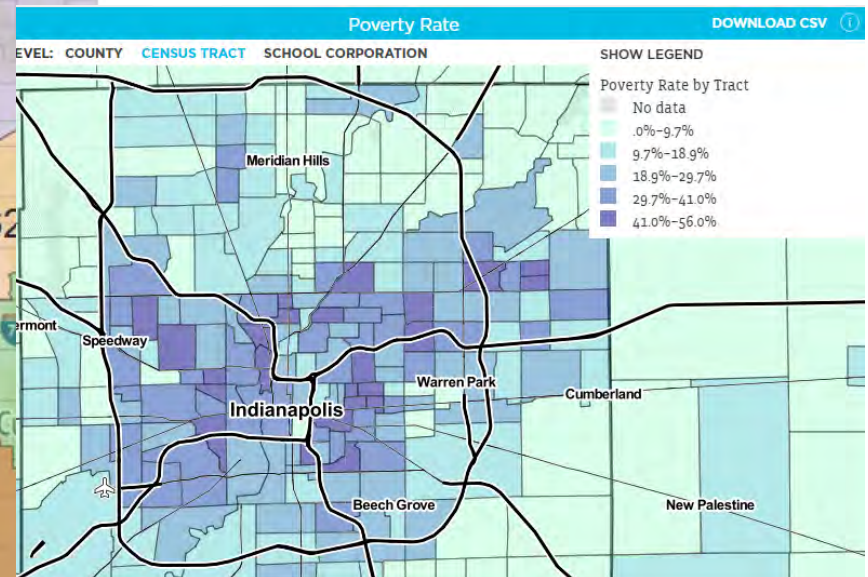
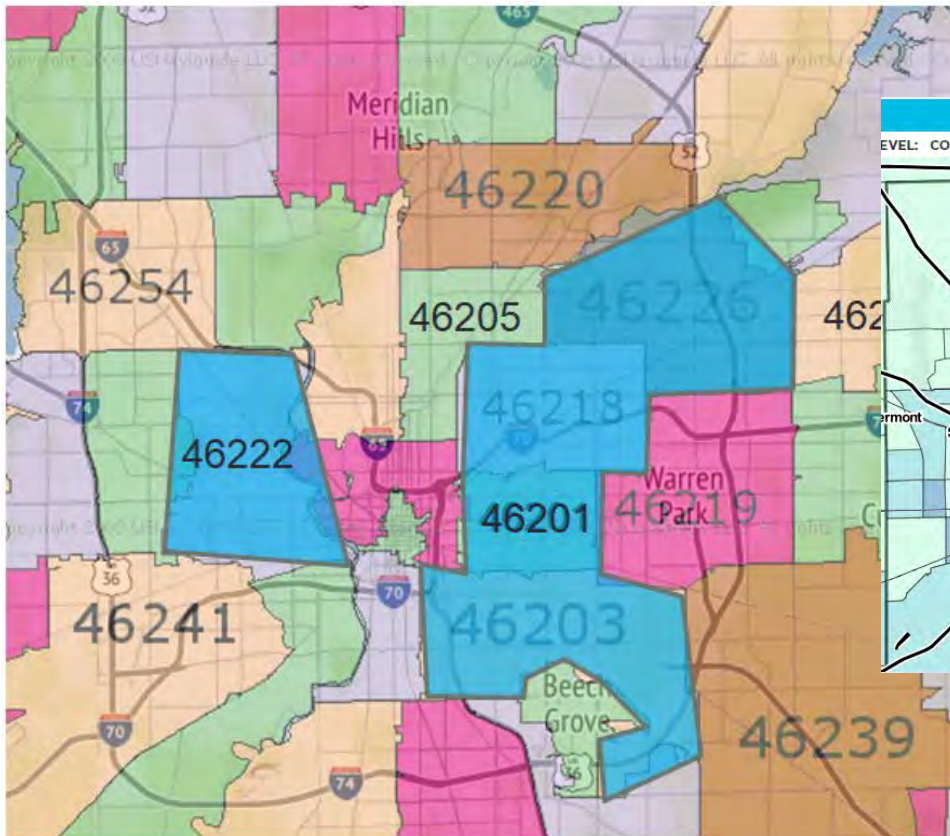
# Poverty rate by census tract



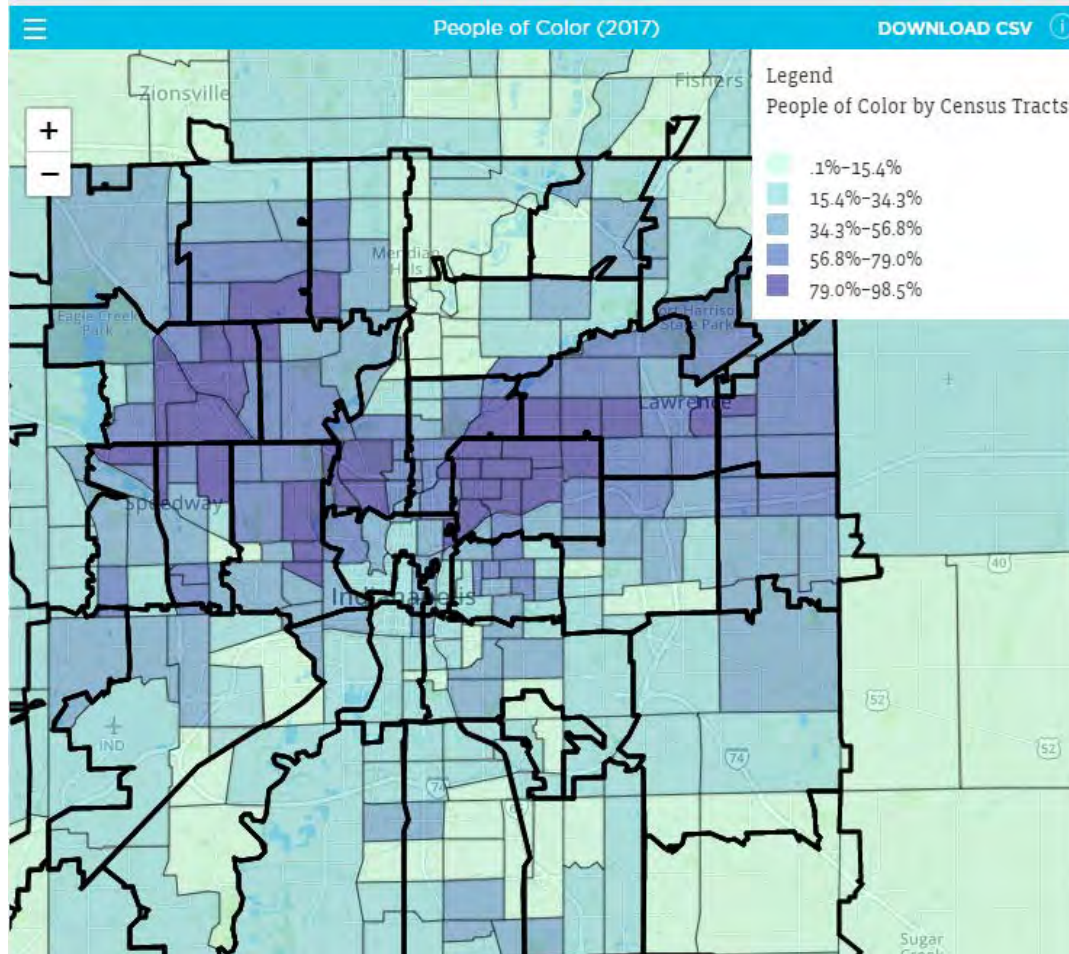


# Who is in debt?

IndyPL debt and poverty



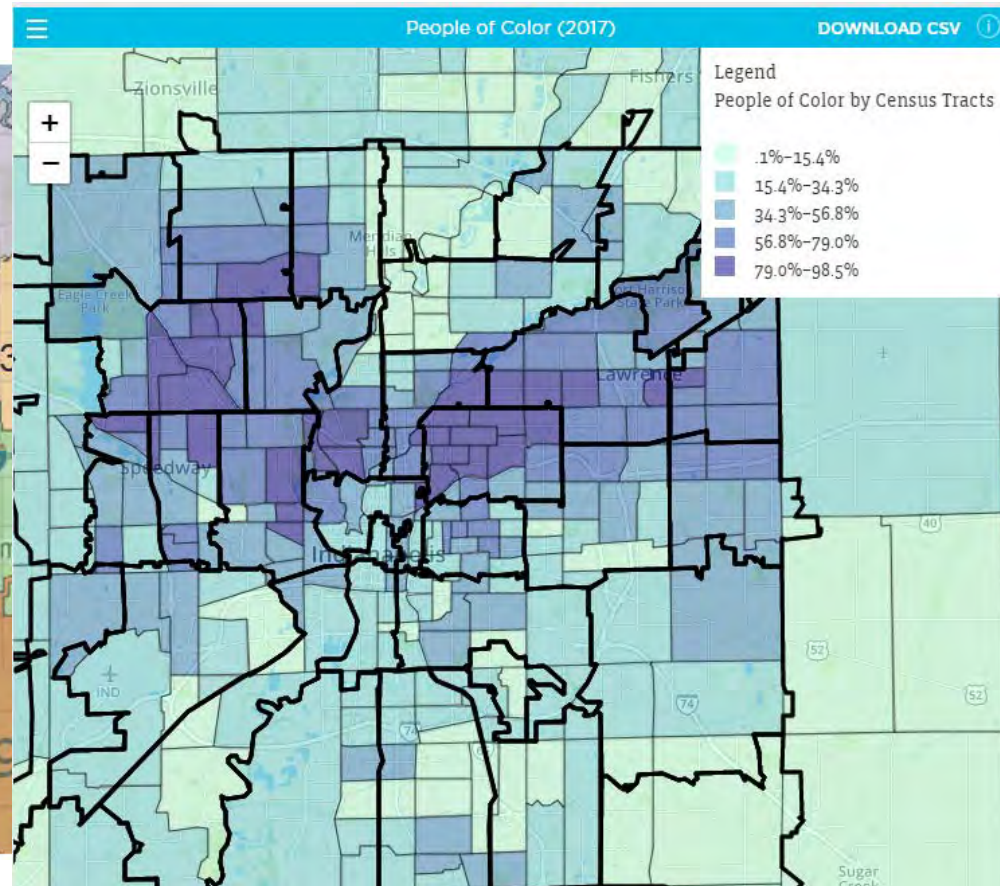
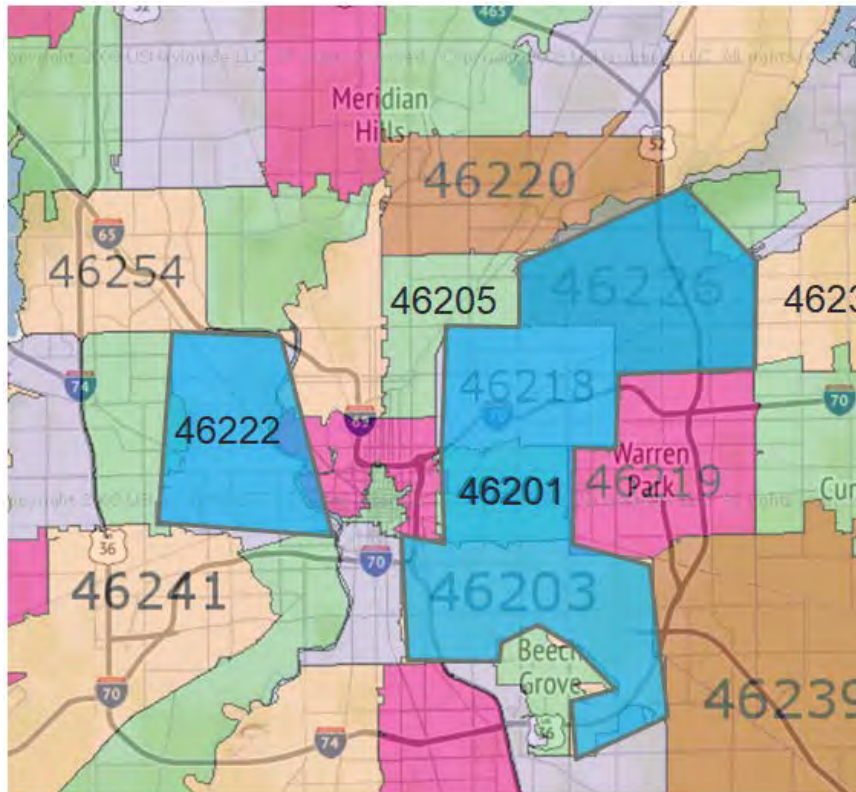
# Percentage of People of Color by census tract



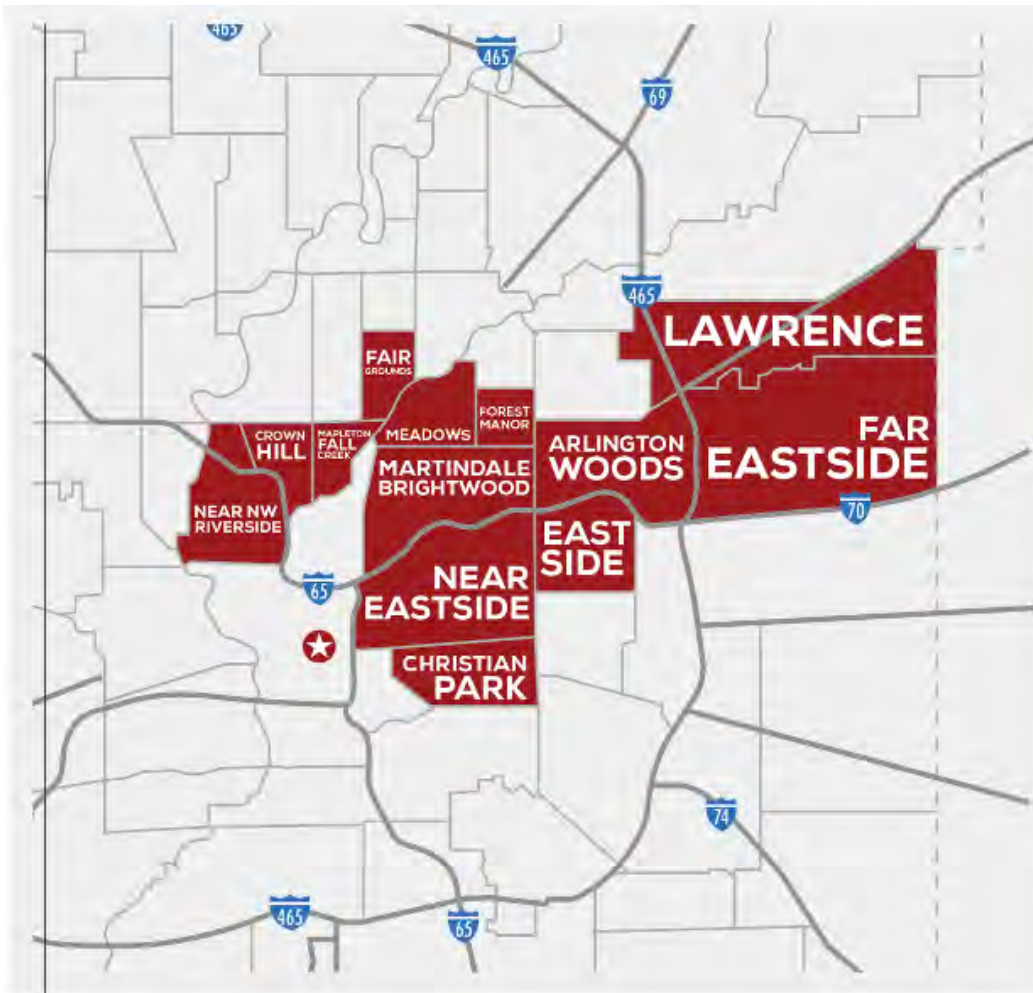


# Who is in debt?

IndyPL debt and People of Color



# Who is in debt?



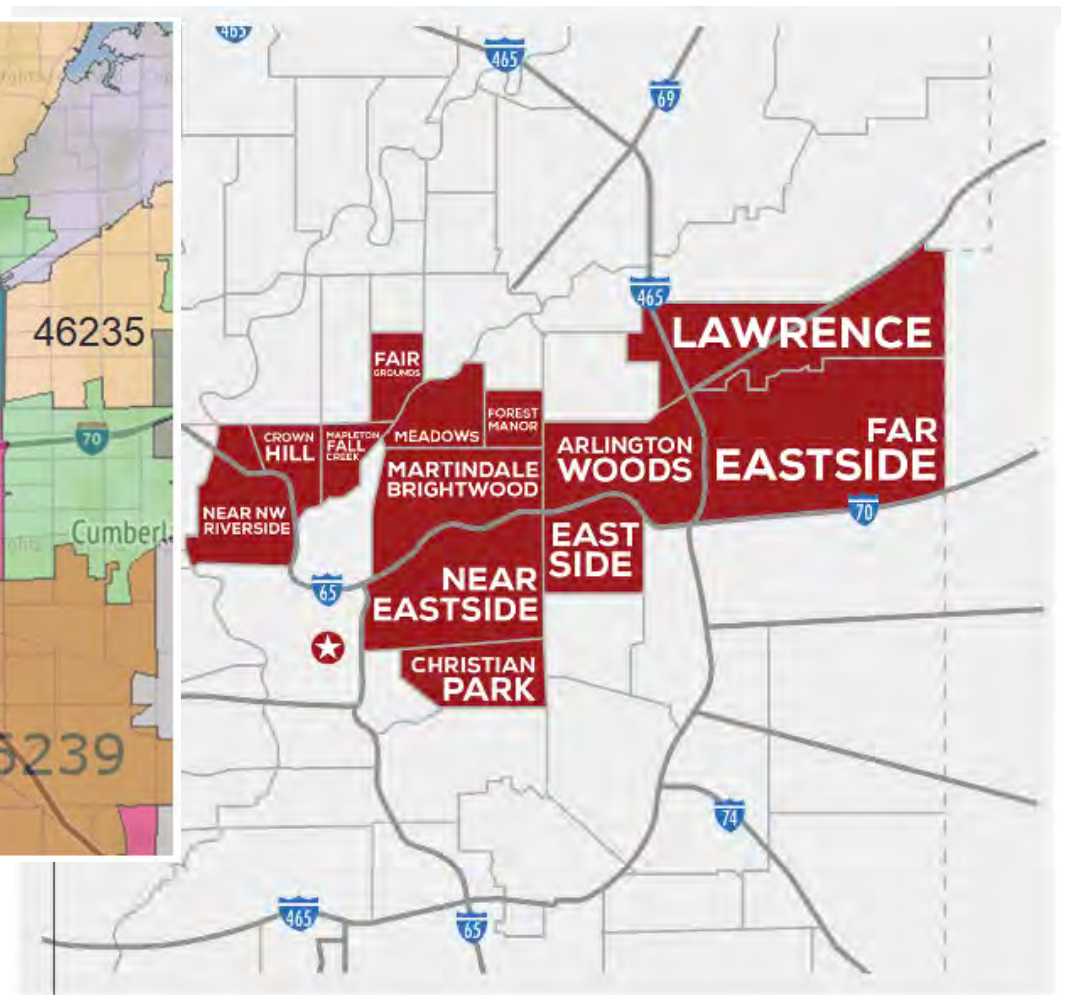
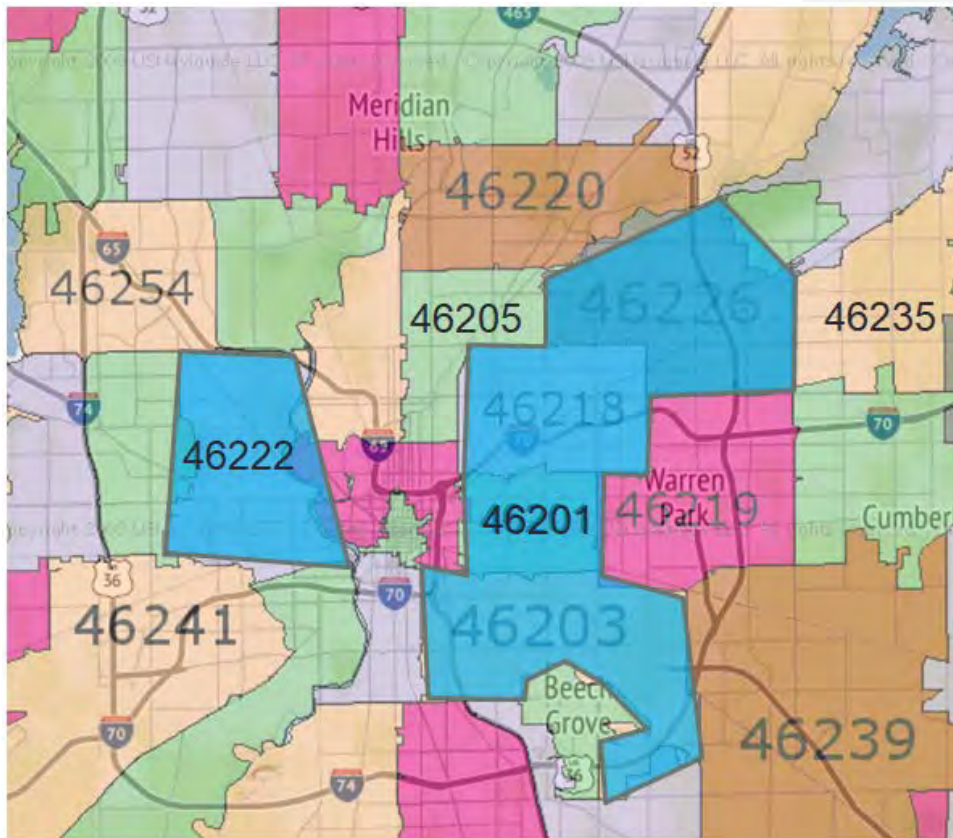
These areas have been targeted by Employ Indy as areas of most need of services due to:

- Employment rates (and labor force participation)
- Crime statistics
- Available community assets
- Basic demographics – age, income, race/ethnicity, education attainment
- Residents above or below poverty level



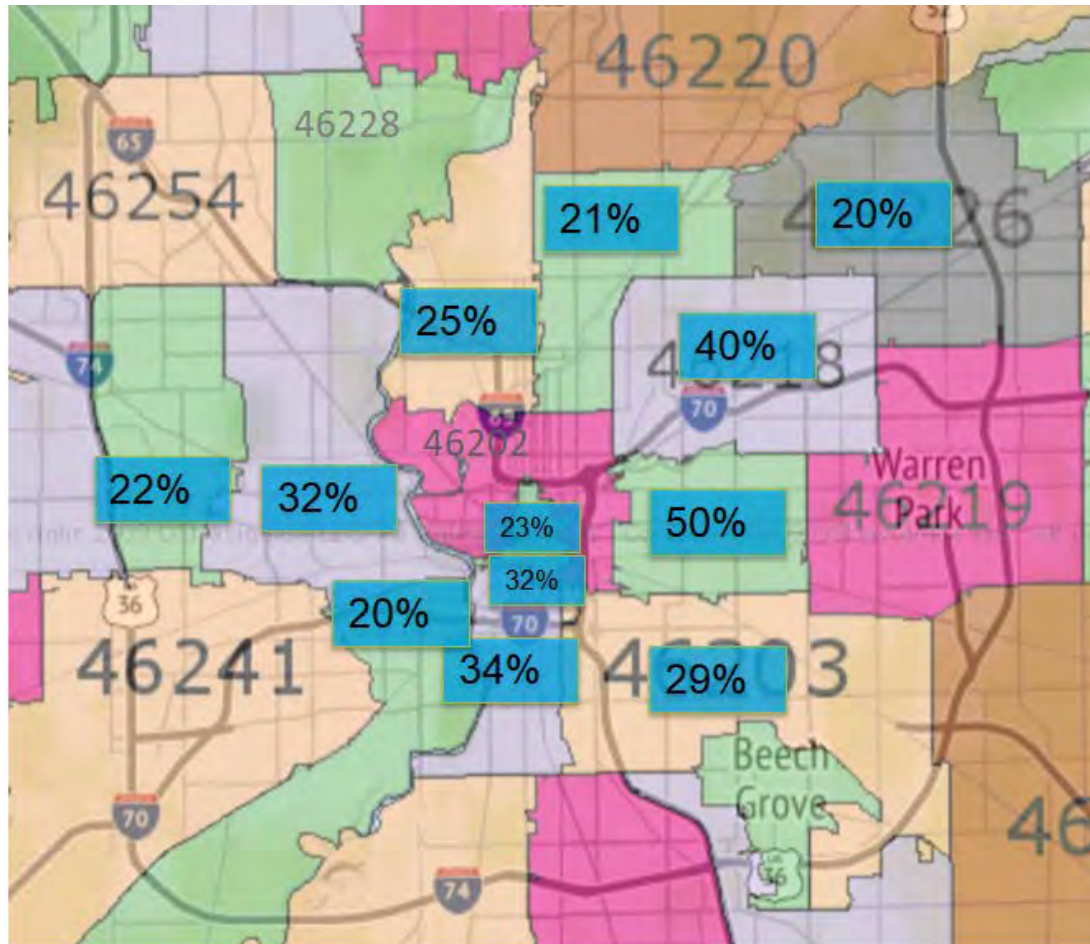
# Who is in debt?

IndyPL debt and Employ Indy targets



# Who is blocked?

Percentage of library cards blocked by ZIP code





# What is the “human” effect of fines?

- A manager met someone on the street and as they talked the person said they were afraid to come back to the library because they had fines. They thought they couldn't even come into the library because they had fines.
- At school events, staff are told that people say they can't use the library because they owe.
- A Circulation Supervisor was told when she signed up a patron for 2<sup>nd</sup> Chance that the person was scared that they wouldn't be welcome in the library. Owing money, especially when a debt collector is writing that letter, is so intimidating especially when someone is already struggling to take care of other needs.
- 50,355 library cards are currently blocked due to debt (compared to approximately 160,000 “active” library cards)

# Financial Analysis of going “fine free”

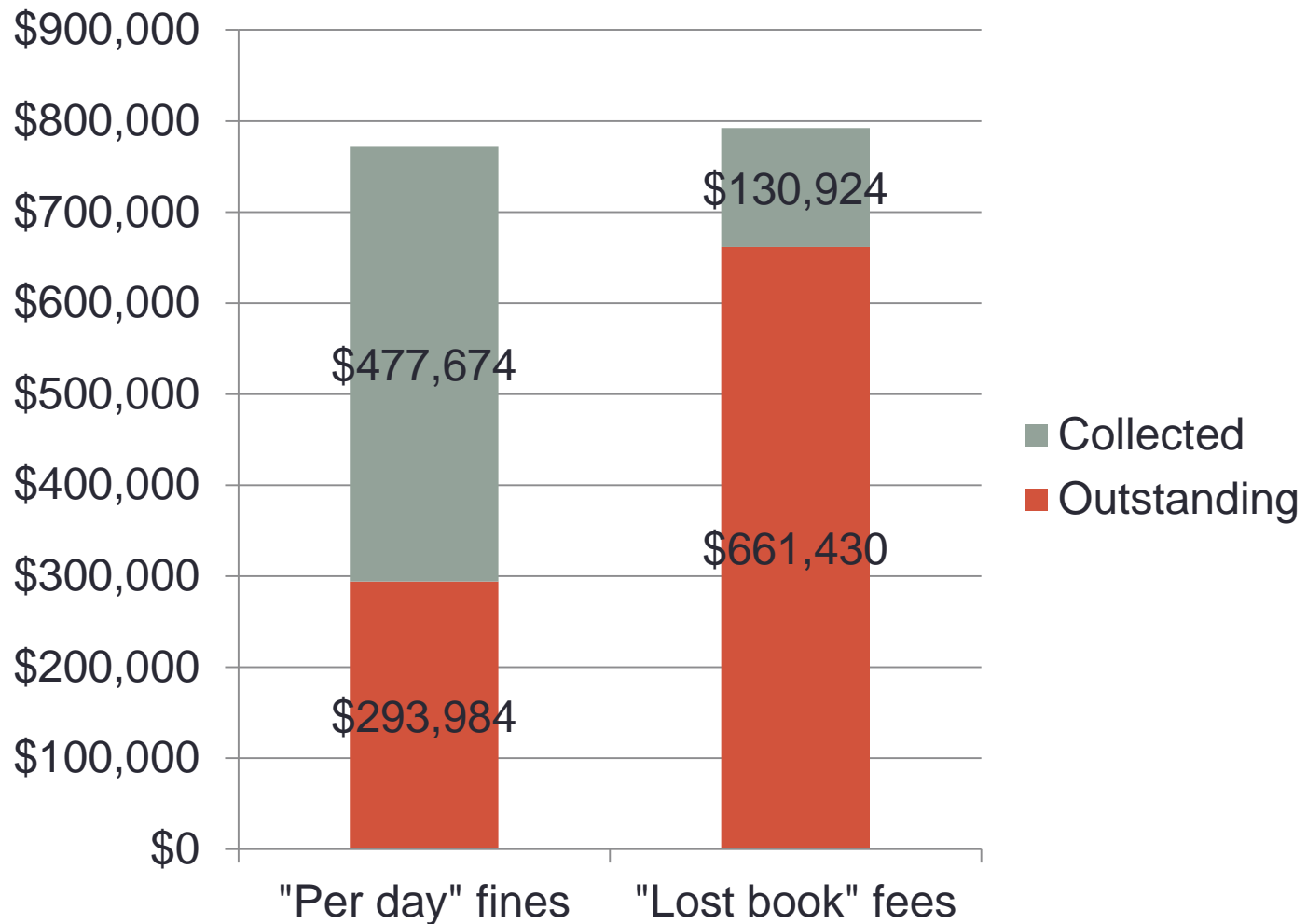
## Collection rate of older debt

- From 2017-2019, patrons incurred approximately \$2.6 million in fines and fees.
- We expect to collect approximately \$229,000 from this debt.

Percentage of 2016 collected in 2019	2%
Percentage of 2017 collected in 2019	3%
Percentage of 2018 collected in 2019	11%

# Financial Analysis of going “fine free”

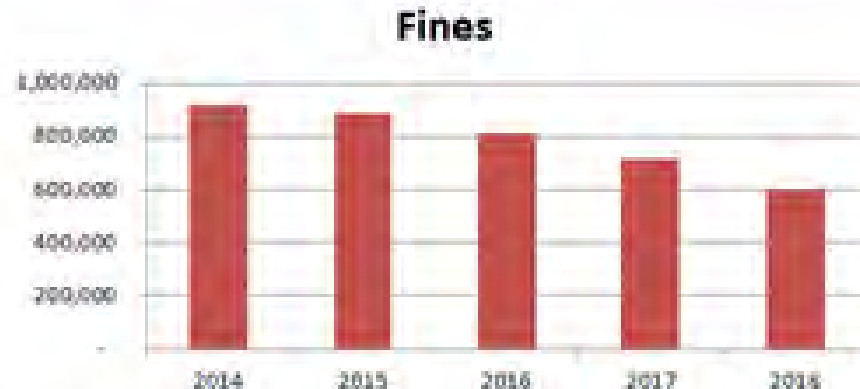
## Collection rate in year incurred



# Financial Analysis of going “fine free”



## Declining Fines Revenue



- Fines which were previously approximately \$1M of projected revenues are declining.
- It is contrary to our goals of increasing patron access to rely on fines as a source of revenue.
- Relying on fines creates an access issue for patrons.

# What is the staff time spent on fines?

- We estimate that our circulation staff spends approximately 15% of their time discussing or managing fines and fees with patrons, including:
  - Explaining the fine structure when issuing a library card
  - Explaining why fines or fees have been placed on a patron's account
  - Explaining various fine remediation options
  - Managing patron progress on fine repayment plans
- Eliminating fines would allow staff to:
  - Focus on positive, welcoming customer service
  - Focus on the more foundational aspects of our organizational mission
  - Create a more positive relationships with individuals and communities

# Financial Impact

- 15 % of Staff time saved for more positive interaction with patrons
- Break-even on financial impact with just 5% of staff time saved

Fines revenue generated in 2019	477,000
<u>Costs related to fines:</u>	
Collection fees	(79,163)
Staff Time (4.6% of staff time)	(396,245)
	<u>1,592</u>

# QUESTIONS?

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Thank you!



## Board Action Request

7a

**To:** IMCPL Board **Meeting Date:** July 27, 2020

**From:** Diversity, Policy and Human Resources Committee

**Approved by the  
Library Board:**

**Effective Date:** July 27, 2020

**Subject:** Approval of Resolution 27-2020 408 Youth Protection Policy

**Recommendation:** Approve Resolution 27-2020 adopting 408 Youth Protection Policy

**Background:** The Library seeks to provide a safe and secure environment for young people who visit the Library or are involved in Library programs and activities. The Library's goal in implementing this policy is to protect youth from incidents of misconduct or inappropriate behavior while also protecting staff from compromised situations.

Procedures manuals and guidelines used by staff for implementation will be updated, and any public policy statements needing revision as a result of the changes will be updated on the Library's website and in printed brochures.

**Strategic/Fiscal Impact:** The financial impact has already been accounted for in the budget for 2020.





## Board Resolution

7a

**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY  
RESOLUTION 27-2020  
YOUTH PROTECTION POLICY ADDITION**

**July 27, 2020**

**WHEREAS**, following an insurance audit conducted for the Indianapolis-Marion County Public Library (“Library”) and a recommendation for enhanced youth protection policies, the Library executive staff conducted a thorough review of Library policies and prepared recommended additions to Library policies specific to youth protection and youth engagement in Library programs and activities; and

**WHEREAS**, the Diversity, Policy and Human Resource Committee reviewed and considered the policy additions and recommends that the Library amend its policies to add a new Youth Protection Policy in the form attached to this resolution as Exhibit A; and

**WHEREAS**, the Board of Trustees of the Library has reviewed the proposed addition of the Youth Protection Policy as recommended and deems the policy addition appropriate and consistent with the mission and operations of the Library.

**THEREFORE, BE IT RESOLVED** that the Board of Trustees does hereby approve and adopt the Youth Protection Policy additions in the form attached to this Resolution.

## 408 YOUTH PROTECTION POLICY

The Library seeks to provide a safe and secure environment for young people who visit the Library or are involved in Library programs and activities. The Library's goal is to protect youth from incidents of misconduct or inappropriate behavior **or inequitable responses** while also protecting staff and volunteers from false accusations.

### 408.1 Definitions

For purposes of this policy, the following terms have the following meanings:

- "Youth" are individuals who are less than 18 years old.
- "Staff" are employees of the Library who have contact with Youth in connection with their work duties.
- "Volunteers" are volunteers of the Library who have contact with Youth in connection with their volunteer activities.
- "Equity" is ensuring that all Youth have **fair and equal** access to the library's resources and opportunities. ~~so unfair differences may be understood and addressed.~~

### 408.2 Selection of Staff and Volunteers

All Staff and Volunteers are screened prior to being hired following the Library's customary screening requirements, procedures and policies. In particular,

- A criminal background check will be conducted for each Staff or Volunteer applicant.
- Compliance with the requirements of the Fair Credit Reporting Act is required for purposes of the criminal background check.
- What constitutes an offense that will disqualify a Staff or Volunteer applicant from working for the Library because of youth protection issues will be determined on a case-by-case basis in light of all the surrounding circumstances.
- Generally, convictions for an offense involving children and/or involving violence, dishonesty, illegal substances and indecency will preclude the applicant from being permitted to work as Staff or a Volunteer for the Library.

### 408.3 Youth Protection Training

All Staff and Volunteers will be trained regarding youth protection issues, **to include contracted Security, will receive racial equity training and other youth protection approaches** ~~training as part of the initial orientation or training~~ as new Library employees or volunteers. The initial orientation or training for Staff and Volunteers shall at a minimum involve a review of the Library's Youth Protection Policy and Indiana's mandatory child abuse and neglect reporting requirements. The Library will provide additional training to Staff and volunteers on an annual basis.

#### 408.3 Youth Protection Training

All Staff and Volunteers (as well as vendors and contractors that have contact with Youth at the Library to the extent feasible) will be trained regarding youth protection issues, will receive racial equity training and other youth protection training. The initial orientation or training for Staff and Volunteers shall at a minimum involve a review of the Library's Youth Protection Policy and Indiana's mandatory child abuse and neglect

[reporting requirements. The Library will provide additional training to Staff and volunteers on an annual basis.](#)

#### **408.4 Programs and Facilities**

The following policies will be followed:

- **Two Adults** – to the extent possible and when feasible, at least two unrelated adult Staff or Volunteers will be in attendance during programs and activities involving Youth. If this is not possible or feasible, Staff or Volunteers will not be alone with Youth without the area being open so that the Staff or Volunteer is observable by others.
- **When Alone** – An individual Staff or Volunteer should not be alone with an individual Youth without the area being open so that the Staff or Volunteer is observable by others.
- **Open Door** – to the extent possible and when feasible, doors to rooms where programs and activities involving Youth are conducted should be open during the program or activity unless there is a window in the door or a window to the room.
- **No Locked Doors** – Doors to Rooms where programs and activities involving Youth are conducted should never be locked during the program or activity.

#### **408.5 Youth on Library Premises**

The Library encourages and welcomes Youth of all ages to use its facilities and services and to participate in its programs and activities. However, responsibility for the safety and behavior of Youth while at the Library rests solely with the parent, guardian or authorized caregiver and not with Library Staff or Volunteers. The following policies apply with respect to Youth on Library premises:

- Library Staff and Volunteers are not responsible for monitoring or supervising the safety and behavior of Youth on Library premises.
- The parent or guardian of Youth on Library premises is solely responsible for ensuring the Youth is appropriately supervised and for the safety and behavior of the Youth.
- If a Youth's behavior becomes disruptive to the operations of the Library, to other patrons or to Library staff, appropriate action in accordance with the Library's policies and practices will be taken.

#### **408.6 Interaction with Youth**

The following policies apply with respect to interaction with Youth by Staff and Volunteers:

- Staff and Volunteers shall not accept or assume the ~~responsible~~ [responsibility](#) for monitoring or supervising the safety and behavior of Youth on Library premises.
- Staff and Volunteers shall not contact or communicate with Youth outside of the operations, programs and activities of the Library unless they have a prior, independent relationship with the Youth.

- Staff and Volunteers shall not in the presence or hearing of a Youth use profanities, vulgarities or emotionally abusive language.
- Staff and Volunteers shall not engage in conduct that involves physical contact with a Youth (including without limitation touching, striking or hitting the Youth) except in the case of a necessity related to the health and welfare of the Youth, Library patrons, or Library staff or volunteers.
- Staff and Volunteers shall never assist any Youth with restroom usage. Any Youth too young or otherwise unable to provide for themselves regarding restroom usage should have a parent, guardian or authorized caregiver present to assist the Youth.

#### **408.7 Reporting Child Abuse and Neglect**

Indiana law (IC 31-33-5-1) requires that any individual who has reason to believe that a child is a victim of child abuse or neglect must immediately report such directly to the Indiana Department of Child Services (“DCS”) or to a local law enforcement agency. This mandatory reporting requirement includes reporting child abuse, including any sex offense against a child, committed by any Library Staff or Volunteers while on Library premises. The following reporting procedures apply if a Library Employee or Volunteer has reason to believe that an act of child abuse or neglect has occurred on Library premises by any person, including any Library employee or volunteer:

- The Library employee or volunteer shall themselves immediately report the occurrence directly to DCS or local law enforcement.
- The Library employee or volunteer shall immediately report the occurrence to the Library’s Director, Human Resources.
- The Library’s Director, Human Resources, shall immediately report the occurrence to DCS or local law enforcement.
- If the alleged child abuse or neglect involves allegations against a Library employee or volunteer, the Library employee or volunteer shall be immediately suspended from employment and/or volunteer activities pending the investigation of the allegations.
- The Library’s Director, Human Resources, shall immediately notify the Library’s liability insurance provider.
- All Library employees and volunteers shall cooperate with any investigation of the incident by state or local authorities.
- If the alleged child abuse or neglect involves allegations against a Library employee or volunteer, the Library’s Director, Human Resources, will investigate the circumstances of the alleged child abuse or neglect.
- Any Library employee or volunteer who is not determined to be innocent of the alleged child abuse or neglect shall be subject to permanent removal from any contact with Youth in connection with

their work duties or volunteer activities as well as additional ameliorative and disciplinary action up to and including termination as an employee or volunteer as appropriate.

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- The Library’s Director, Human Resources, shall immediately notify the Library’s liability insurance provider.
- All Library employees and volunteers shall cooperate with any investigation of the incident by state or local authorities.
- If the alleged child abuse or neglect involves allegations against a Library employee or volunteer, the Library’s Director, Human Resources, will investigate the circumstances of the alleged child abuse or neglect.
- Any Library employee or volunteer who is not determined to be innocent of the alleged child abuse or neglect shall be subject to permanent removal from any contact with Youth in connection with their work duties or volunteer activities as well as additional ameliorative and disciplinary action up to and including termination as an employee or volunteer as appropriate.





## Board Action Request

7b

**To:** IMCPL Board **Meeting Date:** July 27, 2020

**From:** Diversity, Policy, and Human Resources Committee **Approved by the Library Board:** July 27, 2020

**Effective Date:** July 27, 2020

**Subject:** Resolution 28 - 2020 – Adoption of Annual Minority/Women/Veteran/Disability Owned Business Enterprise (XBE) Utilization Goals

**Recommendation:** Passage of Resolution to adopt City of Indianapolis' Annual Minority/Women/Veteran/Disability Owned Business Enterprise (XBE) Utilization Goals

**Background:**

In 2019, the City of Indianapolis conducted a disparity study for the first time since 1995. For the first time in its history, the Library participated in the disparity study led by the Office of Minority and Women Business Development (OMWBD). Disparity studies set the foundation by which organizations are able to adopt goals related to XBE utilization.

Indianapolis/Marion County study results indicate that there are disparities in access to business opportunities for XBEs across city of Indianapolis departments and municipal corporations.

The Library has not adopted goals regarding XBE utilization in the procurement of goods, services, supplies, professional services, or construction/renovation projects. As a public service organization, it is the desire of the Library to provide more equitable opportunities for all companies seeking opportunities to do business with us in the community.

Adoption of the City of Indianapolis' Annual XBE utilization goals is one step in this process. Annual goals are noted as follows:

- Minority-Owned Business Enterprise (MBE): fifteen percent (15%)

- Women-Owned Business Enterprise (WBE): eight percent (8%)
- Veteran-Owned Business Enterprise (VBE): three percent (3%)
- Disability-Owned Business Enterprise (DOBE): one percent (1%)

The Library will continue reporting monthly numbers to OMWBD and review recommendations offered through the updated business utilization plan.

**Strategic/Fiscal Impact:**

The impact of not adopting these regulations could result in the further inequities in access to opportunities for XBEs that represent the communities we serve.



## Board Resolution

7b

### INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY RESOLUTION 28 - 2020

#### ADOPTION OF ANNUAL MINORITY/WOMEN/VETERAN/DISABILITY OWNED BUSINESS ENTERPRISE (XBE) UTILIZATION GOALS

July 27, 2020

**WHEREAS**, the Library is committed to supporting and encouraging economic growth and business opportunities in Marion County by strengthening the Library's relationships with minority-owned (MBE), women-owned (WBE), disability-owned (DOBE), and veteran-owned (VBE) business enterprises in the procurement of goods and services (collectively "XBE Firms");

**WHEREAS**, the Library is committed to providing equitable opportunity for participation of XBE Firms in all Library contractor and vendor business activities;

**WHEREAS**, the Library has pursued on-going efforts to increase XBE Firm participation in Library business and in furtherance of that purpose adopted the IndyPL Supplier Diversity Policy on June 22, 2020;

**WHEREAS**, all Library departments are expected to explore diverse sourcing opportunities and to identify and be inclusive of XBE Firms in the procurement of goods and supplies, professional services, and in the construction and renovation of facilities;

**WHEREAS**, the Library now desires to further its commitment to these efforts by adopting the XBE Utilization Goals as set forth in the MBE/WBE/VBE/DOBE Business Utilization Plan of the Consolidated City of Indianapolis and Marion County ("City's Utilization Plan"), which are based on the January 2019 disparity study conducted by BBC Research & Consulting;

**WHEREAS**, XBE Utilization Goals as set forth in the City's Utilization Plan are as follows:

- Minority-Owned Business Enterprise (MBE): fifteen percent (15%);
- Women-Owned Business Enterprise (WBE): eight percent (8%);
- Veteran-Owned Business Enterprise (VBE): three percent (3%); and
- Disability-Owned Business Enterprise (DOBE): one percent (1%).

**WHEREAS**, the Board of Trustees of the Indianapolis-Marion County Public Library has reviewed the XBE Utilization Goals as set forth in the City's Utilization Plan and deems these goals appropriate and consistent with the mission and operations of the Library;

**THEREFORE, BE IT RESOLVED** that the Board of Trustees does hereby approve and adopt the XBE Utilization Goals as set forth in the City's Utilization Plan in regard to the Library's procurement of goods and supplies, professional services, and in the construction and renovation of facilities.



**THE CONSOLIDATED CITY OF INDIANAPOLIS  
AND MARION COUNTY  
MBE/WBE/VBE/DOBE BUSINESS UTILIZATION PLAN  
IN INDIANAPOLIS GOVERNMENT**

**A plan to assure that minority-, women-, veteran- and disabled-owned business enterprises have an equal opportunity to participate in the purchasing for public works, goods/supplies, services, and public/private partnerships in the Consolidated City of Indianapolis & Marion County Government.**



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## FOREWARD

Pursuant to Sec. 202-401 of the Revised Code of the Consolidated City of Indianapolis/Marion County (Revised Code), the City of Indianapolis and Marion County strive to utilize minority-owned business enterprises for public works projects, procurement of goods and supplies, and services for the City of Indianapolis and Marion County in a dollar amount equal to at least fifteen (15) percent of monies spent by the City of Indianapolis, Marion County.

Pursuant to Sec. 202-401 of the Revised Code, the City of Indianapolis and Marion County strive to utilize women-owned business enterprises for public works projects, procurement of goods and supplies, and services for the City of Indianapolis and Marion County in a dollar amount equal to at least eight (8) percent of monies spent by the City of Indianapolis, Marion County.

Pursuant to Sec. 202-401 of the Revised Code, the City of Indianapolis and Marion County strive to utilize disabled-owned business enterprises for public works projects, procurement of goods and supplies, and services for the City of Indianapolis and Marion County in a dollar amount equal to at least one (1) percent of monies spent by the City of Indianapolis, Marion County.

Pursuant to a Mayoral Executive Order, the City of Indianapolis and Marion County strive to utilize veteran-owned business enterprises for public works projects, procurement of goods and supplies, and services for the City of Indianapolis and Marion County in a dollar amount equal to at least three (3) percent of monies spent by the City of Indianapolis, Marion County.

Sec. 202-402 of the Revised Code established the Office of Minority and Women Business Development (hereinafter “OMWBD”) to administer the equal opportunity policy of utilizing minority-, women-, veteran-, and disabled-owned business enterprises (hereinafter “MBE/WBE/VBE/DOBE firms”) in public purchases, services, and work. The City of Indianapolis & Marion County (hereinafter “City”) shall utilize 49 CFR Part 26, as amended to exclude size standard, as a guide for MBE/WBE/VBE/DOBE (also known as “XBE”) certification on all contracts/projects and other issues related to MBE/WBE/VBE/DOBE participation.

BBC Research & Consulting, in January 2019, was retained to conduct a Disparity Study for the Consolidated City of Indianapolis and Marion County in order to determine whether or not disparities in utilization of minority, women, veteran, and disabled-owned businesses occurred in City procurement activities. BBC Research, using established data parameters, conducted a review of purchasing policies, programs, and practices; conducted market area and utilization analyses; determined the availability of qualified firms; analyzed utilization and availability data for disparity and statistical significance; conducted an analysis of market conditions in the private market; collected and analyzed anecdotal information; identified remedies; and prepared the final report of the Disparity Study. The final report was provided in January 2020.

Based on the 2019 City of Indianapolis and Marion County Disparity Study, In January 2020, the OMWBD was directed to revise the Consolidated City of Indianapolis and Marion County MBE/WBE/VBE/DOBE Business Utilization Plan in Indianapolis Government (“the Plan”) to incorporate remedies to address the findings of passive discrimination found in the study

## **INTRODUCTION**

The Consolidated City of Indianapolis and Marion County MBE/WBE/VBE/DOBE Business Utilization Plan is a management plan of action authorized by the Honorable Mayor of the City of Indianapolis. The authority for achieving the objectives of this Plan have been strengthened through ordinance legislated by the City-County Council and by Mayoral Executive Orders, which describes a goal of increased utilization of MBE/WBE/VBE/DOBE firms in City purchasing efforts.

The scope of this Plan is comprehensive, covering all aspects of purchasing by all departments and agencies of the City of Indianapolis. It has been developed to articulate a statement to Consolidated City departments and the business community (minority-, women-, veteran-, disabled- and majority-owned firms) that eradicating past discrimination of MBE/WBE/VBE/DOBE business enterprises (hereinafter “MBE/WBE/VBE/DOBE”), in City purchasing is a goal the City strives toward.

The Plan applies to:

1. all expenditures of City public funds, irrespective of source, with the exception of noted exclusions.
2. to certain public/private economic development projects, where feasible, in which City public funds and/or tax incentives are utilized, in part or in total.
3. where feasible, this Plan will apply to contracts or agreements between the City and any other political subdivisions, governmental, or quasi-governmental agencies under which entities receive money from or through the City for the purposes of contracting with businesses to perform projects in the City.

The Plan will, in addition, state the programs, the rules and requirements, which strive to increase utilization of MBE/WBE/VBE/DOBEs, and which may include the Mentor-Protégé and the Joint Venture Programs for certain projects and contracts of \$150,000.00 and greater.

The Plan is enacted pursuant to the home rule powers of the City. This Plan shall not apply to any contract to the extent that it is inconsistent with procedures or standards required by any law or regulation of the United States or the State of Indiana, to the extent such inconsistency is not permitted under the home rule powers of the City. In connection with any contract funded in whole or part from state or federal sources, this Plan shall not apply to the extent inconsistent with such state or federal requirements. It is not the intent of this program to include federally grant funded contracts subject to a federally promulgated affirmative action program.

This Plan is a practical “how-to” guide for City-County use. Information contained in this Plan has been designed to provide knowledge necessary for departments to perform equal opportunity purchasing.

## **EQUAL OPPORTUNITY POLICY**

It is the policy of the City that every contract to which one (1) of the parties is the City or the County, or any board, department or office of either the City or County, including franchises granted to public utilities, shall contain a provision requiring the governmental contractor and subcontractor not to discriminate against any employee or applicant for employment in the performance of the contract, with respect to hire, tenure, terms, conditions or privileges of employment, or any matter directly or indirectly related to employment, because of race, sex, sexual orientation, gender identity, religion, color, national origin, ancestry, age, disabled, and United States military service veteran status. Breach of this provision may be regarded as a material breach of the contract.



The establishment of the minority-, women-, veteran- and disabled-owned business enterprise plan and program, the City of Indianapolis and Marion County MBE/WBE/VBE/DOBE Business Utilization Plan, augments commitment to the equal opportunity policy in purchasing. This Program has been established under the auspices of OMWBD.

The City will do all that is possible to eliminate purchasing practices which exclude MBE/WBE/VBE/DOBE firms, due to discriminatory or other elements used that are not relevant to the specifications of the product or service required.

## **COMMUNICATION OF POLICY**

Every effort to communicate the City's policy of utilizing MBE/WBE/VBE/DOBE firms will be used. Communication of this policy will be done by OMWBD, the Equal Opportunity Advisory Board, the Office of Disabled Affairs, and the Contract Compliance Committee. The policy of utilizing MBE/WBE/VBE/DOBE firms will also be communicated to the City's Purchasing Administrator, Buyers, City representatives working with contractors, vendors, and departmental Equal Opportunity Liaisons.

Internally, the policy will be communicated through the City in the purchasing process. Reaffirmation of the "The City of Indianapolis and Marion County MBE/WBE/VBE/DOBE Business Utilization Plan in Indianapolis Government" will be done each year to assure internal communication of this policy annually.

Externally, the policy will be communicated to Municipal Corporations, representatives of MBE/WBE/VBE/DOBE business development centers, economic development councils and majority-owned companies. It will also be included in all solicitations of \$50,000 or greater and when the competitive purchasing process is used.

## **DEFINITIONS**

Administrator – is the Purchasing Administrator, who is the director of the Purchasing Division of the Office of Finance and Management.

African-American - is a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from any of the black racial groups of Africa.

Agency – means any office, officer, board, commission, department, division, committee, or business unit of the Consolidated City of Indianapolis and/or Marion County. The term does not include the City/County council or any department of state government.

Asian Pacific Americans – is a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from, but is not limited to, Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China (including Hong Kong), Taiwan, Laos, Cambodia, Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands.

Bidder –refers to any person, or company, who responds to a request for quotes, request to bid, request for purchase, or any other solicitation for the procurement of public works, goods/supplies or services, issued by the City.

Business Enterprise - means an entity organized for profit with a place of business located in the United States, and which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials, or labor.

Category Code – is a number assigned to each good or service which identifies the type of purchase and ensures that funds are drawn from the correct account.

Certification - means a minority-, women-, veteran-, or disabled-owned business enterprise that meets the qualification criteria set forth in this MBE/WBE/VBE/DOBE Business Utilization Plan for participation in the MBE/WBE/VBE/DOBE programs in the appropriate public works, goods and supplies, or services category for which the contract is being awarded and is formally approved by the director or the director's designee as having met such criteria. Certification or recertification relate to qualifications regarding ownership and control of the business, and not the quality of the service or product offered.

City - means the Consolidated City of Indianapolis and Marion County

Commercially Useful Function - means execution by a MBE/WBE/VBE/DOBE of a distinct element of the work in carrying out its responsibilities by actually performing, managing, and supervising the work involved by its personnel, materials, and assets. To determine whether a Business Enterprise is performing a Commercially Useful Function, the City will evaluate the amount of the contractor's work which is appropriate to be subcontracted and actually subcontracted, industry practices, and other relevant factors tending to demonstrate actual performance.

Compliance - means a determination by the director of OMWBD that a participation or utilization plan for MBE/WBE/VBE/DOBE participation in a particular contract has correctly implemented the requirements of the Consolidated City of Indianapolis and Marion County Business Utilization Plan.

Contract - means any contract awarded by a City agency for construction projects or the procurement of goods/supplies or services, including professional services.

Contractor - means a person or business entity that contracts with a City agency to provide goods or services.

Control - As it relates to the control of a business by owners who are members of a minority group, women, veterans, and disabled individuals means that such individuals: a) Possess and actively and continuously exercise the legal authority and power to direct or cause the direction of the management and policies of the business and to make day-to-day and long-term decisions for the business on matters of management, policy and operations; b) Are not subject to any formal or informal restrictions that limit the discretion customarily within the purview of a business owner; and c) Are not restricted, whether by agreement, by-laws, resolutions or other arrangements from making business decisions without the cooperation or vote of any owner.

Director - means the Director of the Office of Minority and Women Business Development.

Disabled - shall mean individuals with disabilities. An individual with a disabled is a person who: a) Has a physical or mental impairment that substantially limits one or more of his or her major life activities; b) Has a record of such an impairment; c) Is regarded as having such an impairment.

Disabled-owned Business Enterprise - shall mean a business that meets each of the following criteria: a) Is an independent operating business; b) Is a sole proprietorship that is independently owned and controlled by an individual (or individuals) who has disabilities; a joint venture that is at least 51% independently owned and controlled by an individual who is disabled; or a partnership, limited liability company or corporation that is at least 51% independently owned and controlled by an individual (or individuals) who has disabilities; a joint venture that is at least 51% independently owned and controlled by an individual who is disabled; c) The owners with disabilities have interest in capital and earnings commensurate with the individual (or individuals) who has disabilities percentage of ownership;; a joint venture that is at least 51% independently owned and controlled by an individual who is disabled; d) Has been in operation for at least two years before applying for certification; e)

Has been at least 51% minority-owned for at least 2 years before applying for certification; f) Has an operating office and headquarter domiciled in the state of Indiana; and g) Performs a commercially useful function.

Front Organization - means any MBE/WBE/VBE/DOBE that is certified for a specific commercially useful function but the MBE/WBE/VBE/DOBE is not actually owned and operated by a MBE/WBE/VBE/DOBE individual.

Hispanic-American - shall means a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from Mexico, Puerto Rico, Cuba, the Dominican Republic, Central America, South America, Spain, Portugal, or other Spanish or Portuguese culture, regardless of race.

Joint venture - means an association of two (2) or more persons or businesses to carry out a single business enterprise for profit for which purpose they combine their property, capital, efforts, skills and knowledge.

MBE/WBE/VBE/DOBE Participation Plan - means a document submitted by a bidder with its bid or by respondent to an RFB, RFP, or RFQ with its response, on a form required by the director, in which the bidder or respondent commits to utilize specifically identified certified MBEs, WBEs, VBEs, and/or DOBEs in a percentage that equals or exceeds the applicable MBE, WBE, VBE, and/or DOBE goals for the contract.

Minority Business Enterprise - means a business that meets each of the following criteria: a) Is an independent operating business; b) Is a sole proprietorship that is independently owned and controlled by an individual who is a minority group member; a joint venture that is at least 51% independently owned and controlled by minority group members; or a partnership, limited liability company or corporation that is at least 51% independently owned and controlled by minority group members; c) The minority owners have interest in capital and earnings commensurate with the minority group members' percentage of ownership; d) Has been in operation for at least two years before applying for certification; e) Has been at least 51% minority-owned for at least 2 years before applying for certification; f) Has an operating office and headquarter domiciled in the state of Indiana; and g) Performs a commercially useful function.

Minority Person - means a United States citizen or lawful, permanent resident who is a member of a racial or ethnic group, such as African American, Hispanic American, Asian Pacific American, Subcontinent Asian American, or Native American.

Native American - means a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from the original people of North America and who maintains cultural identification through tribal affiliation.

Operating Office – means a business which is domiciled and headquartered in the State of Indiana and has a principal place of business located within the State of Indiana, as registered in official documents filed with the Secretary of State of Indiana or County Recorder Office as a domestic for-profit corporation.

Pass-through – means an MBE/WBE/VBE/DOBE does not perform a commercially useful function and its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of MBE/WBE/VBE/DOBE participation.

Prime Contractor - means the vendor or contractor to which a purchase order or contract is issued by the City for purposes of providing goods or services to the City.

Purchasing Division – refers to the Purchasing Division of the Office of Finance and Management as established by Rev. Code 202-204.

Subcontinent Asian Americans – means a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from Indian, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands or Nepal.

Subcontractor - means any vendor or contractor that is providing goods or services to a prime contractor in furtherance of the prime contractor's performance under a purchase order or contract with the City.

Veteran - means a veteran of the United States military, with a certificate of release or discharge from active duty with an honorable discharge DD214.

Veteran Business Enterprise - shall mean a business that meets each of the following criteria: a) Is an independent operating business; b) Is a sole proprietorship that is independently owned and controlled by an individual (or individuals) who is a veteran; a joint venture that is at least 51% independently owned and controlled by an individual who is a veteran; or a partnership, limited liability company or corporation that is at least 51% independently owned and controlled by an individual (or individuals) who is a veteran; a joint venture that is at least 51% independently owned and controlled by an individual who is a veteran; c) The owner, who is a veteran has interest in capital and earnings commensurate with the veteran's percentage of ownership; a joint venture that is at least 51% independently owned and controlled by an individual who is a veteran; d) Has been in operation for at least two years before applying for certification; e) Has been at least 51% minority-owned for at least 2 years before applying for certification; f) Has an operating office and headquarter domiciled in the state of Indiana; and g) Performs a commercially useful function.

Women Business Enterprise - shall mean a business that meets each of the following criteria: a) Is an independent operating business; b) Is a sole proprietorship that is independently owned and controlled by a woman; a joint venture which is at least 51% independently owned and controlled by women; or a partnership, limited liability company or corporation that is at least 51% independently owned and controlled by women; c) The women owners have interest in capital and earnings commensurate with the women's percentage of ownership; d) Has been in operation for at least 2 years before applying for certification; e) Has been at least 51% women-owned for at least 2 years before applying for certification; f) Has an operating office located in the state of Indiana; and g) Performs a commercially useful function.

## **PROGRAM OBJECTIVES**

Review of purchasing activities, as confirmed through the 2019 City of Indianapolis Disparity Study; concludes that minorities, women, veterans and individuals with disabilities, as a whole, have not participated in the public purchase of public works, goods/supplies, and services in proportion to majority-owned businesses, and that overall significant disparities exist. This is due in part to economic barriers, but other barriers have also been identified. MBE/WBE/VBE/DOBE firms frequently face barriers in the form of:

- A. Lack of information regarding purchasing opportunities with the City.
- B. Less frequent communication with prime contractors' networking groups regarding the need for subcontractors.
- C. Less capacity for meeting bonding requirements.
- D. Less experiences in business management techniques.
- E. Less ability to meet cash flow needs.
- F. Exclusive teaming

G. Prequalification

H. Contracts are too large to bid (need for unbundling)

In addition, the Disparity Study revealed that there are significant disparities with minorities, women, veterans, and individuals with disabilities in direct awards or prime contracting awards for construction, goods/supplies, and services. As a result, an objective of the City, in addition to utilizing means to improve subcontracting with MBE/WBE/VBE/DOBEs, will be to significantly increase prime contract awards through its efforts to grow MBE/WBE/VBE/DOBE capacity, mentor-protégé relationships, joint ventures, efforts to unbundle very large contracts and very large subcontracts, and increasing competitive opportunities, as some examples.

Consideration of these barriers has initiated program objectives for the “MBE/WBE/VBE/DOBE Business Utilization Plan in Indianapolis Government”. These objectives will generate program activities that will provide education to the City, MBE/WBE/VBE/DOBE, and majority businesses regarding equal opportunity purchasing. Each objective is an attempt to eliminate barriers for MBE/WBE/VBE/DOBE firms. The ultimate goal of obtaining significant utilization of MBE/WBE/VBE/DOBE firms in the City’s purchasing can be met, if specific objectives are formulated and filed each year.

## **IMPLEMENTATION OF RESPONSIBILITIES**

Implementation of this Plan, in order to meet its objectives, must be shared among several persons within the City’s structure. Individual responsibilities for this Plan’s implementation are outlined below:

- A. The Mayor: As chief executive officer of the City and County, the Mayor is responsible for and committed to the City’s adherence to equal opportunity laws in City and County government operations. Accordingly, the Mayor has made policy statements demonstrating the commitment of the Mayor’s Office. The Office of the Mayor, on an annual basis shall:
  - 1. Issue a statement of support for the “The City of Indianapolis and Marion County MBE/WBE/VBE/DOBE Business Utilization Plan in Indianapolis Government” and its objectives;
  - 2. Reaffirm commitment of the Office of the Mayor each fiscal year for the objectives of the Plan and its revisions; and,
  - 3. Assign responsibility for adherence to the objectives of this Plan to department directors and division administrators.
- B. Deputy Mayors: The Deputy Mayors shall:
  - 1. Assist the Mayor with responsibility for meeting the objectives of this Plan through review of reports and recommendations submitted by OMWBD; and,
  - 2. Review reports with appropriate recommendations to correct problems in meeting the objectives of this Plan and support any amendments which will enhance achieving the objectives.
- C. The Office of Minority and Women Business Development (OMWBD):
  - 1. In order to successfully carry out the City’s program objectives, appropriate support staff will be utilized in the implementation and monitoring of the MBE/WBE/VBE/DOBE program objectives.
  - 2. OMWBD shall be responsible for the daily management, monitoring, and implementation of the City’s MBE/WBE/VBE/DOBE Program.
  - 3. The Director shall report to the Office of the Mayor.



OMWBD's responsibilities shall be:

- a. Review the implementation responsibilities to coordinate the efforts for meeting the objectives of this Plan.
- b. Review reports outlining purchasing activities within the City; submit quantitative reports to the Mayor narrating the status of meeting the objectives of this Plan within the City.
- c. Make recommendations to the Mayor regarding methods for improving the effectiveness of purchasing practices in meeting the objectives of this Plan.
- d. Review the processing of City purchasing contracts for compliance with Federal, State, and Local laws regarding equal opportunity, and the objectives of this Plan.
- e. Monitor purchasing practices for the elimination of non-relevant criteria used in departmental purchasing selection.
- f. Conduct on-site compliance reviews and recommend appropriate action in correcting deficiencies and/or barriers to meeting the objectives of this Plan.
- g. Provide technical assistance to contractors in meeting the requirements for equal opportunities and objectives of this Plan.
- h. Serve as the City liaison to MBE/WBE/VBE/DOBE firms in:
  - i. Communicating the objectives of this Plan.
  - ii. Disseminating and enforcing certification requirements.
  - iii. Disseminating purchase opportunities.
  - iv. Monitoring and enforcing purchasing goals.
- i. Maintain and update MBE/WBE/VBE/DOBE directory; distribute directories to City offices and other designated agencies.
- j. Participate as a selection team member for contracts over \$10 million.

D. City and County Agencies and Municipal Corporations – Each Agency Director and Municipal Corporation shall:

1. Be responsible for achieving the goals of the MBE/WBE/VBE/DOBE Business Utilization Plan and each will be responsible for the review of all areas of their procedures to assure that the objectives of the MBE/WBE/VBE/DOBE Plan may be achieved.
2. Affirm personal support of this Plan and its objectives, within their respective operational units.
3. Develop an annual M/W/V/DOBE Inclusion Plan and submit to OMWBD for review.
4. Appoint Equal Opportunity liaisons to assist OMWBD in monitoring and reporting the implementation and accomplishment of this Plan.
5. Take appropriate action to correct problems that hinder efforts in meeting the objectives of this Plan, within their respective operational units.
6. Annually review department performance results and create corrective action plan where necessary.

E. Administrator of Central Purchasing – The Administrator shall:

1. Administer purchasing procedures in accordance with Federal, State, and Local laws and the objectives of this Plan.
2. Assure that Purchasing buyers perform duties in accordance with legal mandates and the objective(s) of this Plan.
3. Assist OMWBD in obtaining purchasing data that reflects purchasing activities of the City
4. Communicate the objectives of this Plan to contractors/vendors who bid or otherwise demonstrate an interest in doing business with the City.

F. Equal Opportunity Advisory Board - by and through its Contract Compliance Committee – The responsibilities of the Committee shall be as follows:

1. Hear appeals of MBE/WBE/VBE/DOBE certification, and
2. Hear challenges to MBE/WBE/VBE/DOBE certifications.

**G. Office of Disabled Affairs – The Office shall:**

1. Provide technical advice, assistance and support to the OMWBD staff regarding the disabled-owned business certification component of the DOBE certification process.
2. In collaboration with OMWBD, provide technical assistance and support to businesses seeking DOBE certification.
3. Communicate the objectives of this Plan to the disabled business community.
4. Provide advice and support to OMWBD as it provides technical assistance to contractors in meeting the requirements for equal opportunities and objectives of this Plan.

**MBE/WBE/VBE/DOBE ANNUAL GOALS**

It is the policy of the Consolidated City of Indianapolis that Minority Business Enterprises (MBE), Women Business Enterprises (WBE), Veteran Business Enterprises (VBE), and Disabled-Owned Business Enterprises (DOBE) shall have the maximum feasible opportunity to participate in the performance of contracts. Rev. Code 202-401 establishes the annual goals of fifteen percent (15%) of the annual amount spent by the City of Indianapolis Marion County for public works, goods and supplies, and services for MBE participation, eight percent (8%) WBE participation, three percent (3%) VBE participation and one percent (1%) DOBE participation. To meet these goals, employees soliciting bids shall ensure that MBE, WBE, VBE and DOBE vendors are given an opportunity to participate in solicitations for public works, goods and supplies, and services.

**MBE/WBE/VBE/DOBE CONTRACT GOALS**

The MBE/WBE/VBE/DOBE Business Utilization Plan applies to all competitively bid City-funded contracts of \$50,000 or more. At the City's sole discretion, these requirements may be waived in advance on projects deemed inappropriate for subcontracting participation at the specified level. When State and/or federal funding sources require affirmative action goals, those goals, as defined in the contract documents, replace the requirements of the Business Utilization Plan.

The City of Indianapolis is committed to maximizing prime contracting and subcontracting opportunities for all qualified and available MBE/WBE/VBE/DOBEs. Bidders should be fully informed of the MBE/WBE/VBE/DOBE Business Utilization Plan as set forth in the City document. The goals for all contracts shall be, for the amount of the contract, fifteen percent (15%) for MBE participation, eight percent (8%) for WBE participation, three percent (3%) for VBE participation, one percent (1%) for DOBE participation.

Overall Percentage Goals for Projects and Contracts by procurement area are:

<u>Procurement Area</u>	<u>MBE</u>	<u>WBE</u>	<u>VBE</u>	<u>DOBE</u>
Public Works	15%	8%	3%	1%
Professional Services	15%	8%	3%	1%
Goods/Supplies	15%	8%	3%	1%
Other Services	15%	8%	3%	1%

As such, public works contracts of \$150,000 or greater; goods and supplies, professional services, and services contracts \$50,000 or greater to be awarded competitively, shall be reviewed by The Office of

Minority and Women Business Development (OMWBD) for MBE/WBE/VBE/DOBE utilization responsiveness. After its review of the submittal, to include all Business Utilization Plan documents, waiver application requests, and/or good faith efforts documentation, OMWBD shall make a recommendation to the Agency of the bidder's responsiveness.

Every agency must ensure that RFBs, RFPs or RFQs originating with the agency comply with the following:

All RFBs, RFPs, or RFQs shall include a requirement that, if an MBE/WBE/VBE/DOBE contract participation goal is applicable, the bidder or proposer must:

- A. With its bid, submit the ***MBE/WBE/VBE/DOBE Participation Goals For Construction, Goods/Supplies, and Services*** form, showing its commitment to meet or exceed the goals for the project or contract.
- B. Make good faith efforts, before the opening of bids or submittal of proposals, to meet the applicable contract participation goal(s); and
- C. Keep records of its good faith efforts adequate to permit a determination of compliance with the Plan. If a contract goal will not be met, a bidder will be required to submit with its bid the ***Application for MBE/WBE/VBE/DOBE Waiver Program*** form for approval by OMWBD. If the bidder receives an award notification, within three (3) business days of such notification the bidder must submit its good faith efforts documentation for review by OMWBD.
- D. Within three (3) business days of award notification, submit copies of signed agreements with MBE/WBE/VBE/DOBE subcontractors, using the ***Letter Of Intent To Perform As A Subcontractor/Supplier*** form, before a notice to proceed may be issued or the contractor otherwise begins providing services under the contract. Failure to submit information that is complete and accurate, shall constitute grounds for rejection of the bid by the Agency as non-responsive. Falsely reporting the intended utilization or the actual utilization of a MBE/WBE/VBE/DOBE subcontractor shall result in penalties for false representation as stated in the Ind. Code 5-16-6.5-4.
- E. Within three (3) business days of award notification, the ***Subcontractors And Suppliers List Participation*** form must be submitted, and this document will be attached to the finalized contract.

## PROCEDURES FOR ESTABLISHING PERCENTAGE GOALS

The methodology for establishing the annual overall MBE/WBE/VBE/DOBE goals for the City's competitive dollar expenditure are inclusive of, but not limited to, the following review:

- A. The number and dollar value of contracting and purchasing opportunities projected to be awarded during the year.
- B. The number of MBE/WBE/VBE/DOBE firms available to compete for such contracts and service agreements based on the type of opportunity.
- C. Past results of the City's efforts to contract and/or award to MBE/WBE/VBE/DOBE firms during the previous three (3) year, and reasons for the results.
- D. The percentage of MBE/WBE/VBE/DOBE firms in the geographical area of Indianapolis.



## CONTRACT REQUIREMENTS

- A. Pursuant to Sec. 581-102 of the Revised Code, a non-discrimination clause shall be contained in every contract to which one (1) of the parties is the City or the County, or any board, department or office of either the City or County, including franchises granted to public utilities.
- B. Contracts let by the City will contain language regarding equal opportunity, affirmative action, the MBE/WBE/VBE/DOBE Business Utilization Plan, including MBE/WBE/VBE/DOBE utilization goals. Additionally, all bids or proposals specifications shall contain the same or similar standardized provisions.
- C. Contractors bidding on contracts in accordance with this Plan must submit the Equal Opportunity Form and an Affirmative Action Plan, (if contractor has 50 or more employees), MBE/WBE/VBE/DOBE Participation Goals for Construction, Goods/Suppliers, and Services form, the Application for MBE/WBE/VBE/DOBE Program Waiver form (if applicable), and good faith efforts documentation. Documents must be approved by OMWBD before the award is finalized. Failure to comply with the above requirements shall result in the bidder being deemed non-responsive.
- D. Bidders and contractors with excess to 15 or more employees must submit the Plan as their Affirmative Action Plan provided the plan includes total workforce analysis, goals and timetables; the MBE/WBE/VBE/DOBE Participation Goals for Construction, Goods/Suppliers, and Services form, the Application for MBE/WBE/VBE/DOBE Program Waiver form and good faith efforts documentation as required.
- E. Those bidders and contractors having fifteen (15) or fewer employees are not required to submit an Affirmative Action Plan to OMWBD, but must submit the MBE/WBE/VBE/DOBE Participation Goals for Construction, Goods/Suppliers, and Services form, the Application for MBE/WBE/VBE/DOBE Program Waiver form, and good faith efforts documentation as required. Any such contractor may be investigated by OMWBD to see what commitment, if any, said contractor has made to the goals and principles of Equal Employment Opportunities and Affirmative Action Plan workforce goals.

## NON-COMPLIANCE PROCEDURES AND PENALTIES

If OMWBD determines that a contractor has failed to comply with the terms of the MBE/WBE/VBE/DOBE Business Utilization Plan while operating under a City contract, or has been adjudged in violation of any applicable Federal, State, or Local laws, OMWBD shall serve written notice of such non-compliance on the contractor or the contractor's representative(s). The contractor shall be responsible for notifying any subcontractor or supplier that is not in compliance.

Upon request by OMWBD, the contractor determined to be in non-compliance, shall meet with OMWBD within five (5) working days of the written notice in order to determine a method of correcting the deficiencies within the required time period of thirty (30) calendar days. If the remedy is not agreed upon within five (5) working days following the meeting, OMWBD shall prescribe the remedy by which deficiencies shall be corrected and notify the contractor in writing of such determination. If the contractor does not correct the deficiencies in the manner prescribed by OMWBD within thirty (30) calendar days, OMWBD will make a recommendation for action to OCC, who will impose one or more of the following sanctions:

- A. Withholding of ten percent (10%) of all future payments for the eligible project until the Director of OMWBD, or his/her designee, determines that the contractor or subcontractor is in compliance with the Business Utilization Plan.

- B. Withholding of all future payments under the eligible project until it is determined that the contractor or subcontractor is in compliance with this ordinance.
- C. Placement on a list of contractors and vendors that have failed to comply, determined in accordance with the aforementioned procedures, with the equal opportunity provisions of City contracts and purchasing policies. Those contractors and vendors included on this list shall be denied City business opportunities for which bids are required or solicited until such time as the contractor or vendor demonstrates the ability to become compliant pursuant to the Business Utilization Plan. This list shall be distributed to the directors of all City, County, Agencies and divisions; to all Municipal Corporations; and to the Office of the Mayor as prescribed by Executive Order 1-87.
- D. Cancel, terminate, suspend, or cause to be cancelled, terminated, or suspended, any contract, or any portion(s) thereof, including but not limited to withholding any progress payment or any other monies payable or due under the contract, for failure of the contractor or subcontractor to comply with the provisions of the Business Utilization Plan.
- E. Refusal of all future contracts or subcontracts with the City for a minimum of one (1) year and a maximum of five (5) years from the date upon which this penalty is imposed.

## **PROCEDURES TO ENSURE MBE/WBE/VBE/DOBEs HAVE AN EQUAL OPPORTUNITY TO PARTICIPATE**

### **1. ASSISTANCE TO MBE/WBE/VBE/DOBE FIRM**

It will be the function of the OMWBD staff to give as much direct assistance as practically possible to MBE/WBE/VBE/DOBE firms when considering the many barriers that hinder participation. Such assistance may include providing:

- A. Information on City's organization and contractual needs.
- B. Projected procurement opportunities.
- C. Instruction for preparation of bid specifications, procurement policy and procedures and general bid requirement.
- D. Opportunity to review and evaluate successful bid documents of previous similar procurement.
- E. Instruction on job performance requirements.
- F. Information on specific reasons for unsuccessful bids through debriefing sessions.
- G. Conduct outreach events to bring awareness to MBE/WBE/VBE/DOBE firms

This data will be disseminated through written material, seminars, workshops and specialized assistance to individual firms.

OMWBD shall maintain and provide a list of outside organizations and businesses, which can be referred to for financial management, personnel management and technical assistance beyond those services, which can be provided directly by the City.

Whenever possible, the City will include representatives of financial institutions, the insurance industry and bonding companies in conferences and training sessions for purposes of familiarizing them with the MBE/WBE/VBE/DOBE Program objectives and goals, and to provide them information on particular projects. In order to achieve the contract's MBE/WBE/VBE/DOBE

participation goals, the City will encourage the prime contractor to provide bonding for subcontractors in an effort to alleviate financial barriers.

The City will encourage MBE/WBE/VBE/DOBE participation in both contract and subcontract bidding. MBE/WBE/VBE/DOBE participation goals will be made a part of the prime contractor's contract obligations. OMWBD, in conjunction with City departments, will implement the following procedures:

- A. Bid packages and requests for proposals will be developed to increase potential MBE/WBE/VBE/DOBE participation. Certain contracts, because of their size, will be reviewed on a case-by-case basis to determine if the contract may be broken down into subcontracting opportunities to allow MBE/WBE/VBE/DOBE firms the opportunity to competitively bid.
- B. The City shall encourage joint ventures between MBE/WBE/VBE/DOBE firms and majority-owned firms. These joint ventures will provide the MBE/WBE/VBE/DOBE firms with the opportunity to gain valuable experience and increase their capacities.
- C. Specifications will be distributed by the Purchasing Agent in a timely manner to allow minority- women-, veteran- and Disabled-owned firms adequate time for the preparation of the following documents:
  - a. Bids;
  - b. Proposals;
  - c. Quotations;
  - d. Professional Service Agreements
- D. Bid forms will be reduced to the simplest format feasible.
- E. Minimization of cash flow problems may be addressed on a case-by-case basis.
- F. Pre-bid conferences will:
  - a. Emphasize MBE/WBE/VBE/DOBE requirements;
  - b. Discuss the required forms;
  - c. Explain the documentation requirements, including efforts used to obtain MBE/WBE/VBE/DOBE subcontractors and joint venture partnerships;
  - d. Show how the MBE/WBE/VBE/DOBE directory can be used as an effective tool in finding eligible firms and their availability: [OMWBD@indy.gov](mailto:OMWBD@indy.gov).
  - e. Affirmative action plan requirements.

## **2. MBE/WBE/VBE/DOBE OUTREACH**

OMWBD will promote awareness, knowledge and understanding of its MBE/WBE/VBE/DOBE Program. Components will focus on an orderly process and outreach content.

- A. Workshops:  
Before contracts of \$10,000,000.00 or more are let, workshops are held for the purpose of orientating the contracting community on the City's MBE/WBE/VBE/DOBE program. At

least one (1) workshop will be scheduled on an annual basis, others may be held as required throughout the year. OMWBD shall be responsible for these workshops and will be assisted by other departments as required.

**B. Pre-Bid Conferences:**

Pre-bid Conferences will include on its agenda an explanation of the conditions and requirements regarding the MBE/WBE/VBE/DOBE Program. It is the responsibility of the Agency to notify OMWBD of all Pre-bid conferences and to request any assistance to achieve the goals of the MBE/WBE/VBE/DOBE Business Utilization Plan. Other MBE/WBE/VBE/DOBE Business Utilization Plan program items covered will include:

- a. MBE/WBE/VBE/DOBE goals of this specific contract;
- b. MBE/WBE/VBE/DOBE definition;
- c. MBE/WBE/VBE/DOBE joint venture opportunities;
- d. Required bid documents;
- e. Reporting and record keeping requirements;
- f. MBE/WBE/VBE/DOBE substitutions;
- g. MBE/WBE/VBE/DOBE assistance agencies; and
- h. Assistance to MBE/WBE/VBE/DOBE firms by prime contractors.

**C. Bid Notices:**

Publication of contracts to be awarded will be the function of the Purchasing Agent. Advertisements will appear in newspapers of general circulation in the Indianapolis area which will carry bid notices.

**3. EXCLUSIVE TEAMING**

It is the policy of the City that bidder requirements for subcontractors/suppliers, by agreements, through understandings, or any other means which prevent subcontractors/suppliers from bidding as subcontractors on multiple bids is not permitted. Exclusive teaming subcontracting requirements by bidders for MBE/WBE/VBE/DOBEs has the potential to reduce competition and to lessen the opportunities for MBE/WBE/VBE/DOBEs to participate in City contracts. Violation of this policy will result in the bid being deemed non-responsive by the Agency.

**4. MBE/WBE/VBE/DOBE DIRECTORY**

The MBE/WBE/VBE/DOBE Directory will be maintained and updated quarterly as a comprehensive resource of certified MBE/WBE/VBE/DOBE firms. These businesses are listed according to:

- A. The type of their specialty, with telephone numbers, addresses, email address and names of contact persons.
- B. The certification type will identify MBE/WBE/VBE/DOBE firms.
- C. Trades and scopes of services utilization will be accounted on.
- D. Legal name of the firm.

The MBE/WBE/VBE/DOBE Directory is designed for, and will be available to, persons responsible for purchasing within City government and to prospective bidders on City contractors.

## **MBE/WBE/VBE/DOBE PROGRAM CERTIFICATION PROCEDURES**

### **GENERAL**

Each business that desires to become certified by the City of Indianapolis through its Office of Minority and Women Business Development (OMWBD) as a minority business enterprise (MBE), women business enterprise (WBE), veteran business enterprise (VBE), disabled-owned business enterprise (DOBE) shall complete and submit a City application and attachments to:

**Office of Minority & Women Business Development  
Attn: Certification Coordinator  
200 East Washington Street, Suite 1260  
Indianapolis, IN 46204**

The Certification Procedure is:

- A. Primarily conducted pursuant to Chapter 49 of the Code of Federal Regulations part 26 and part 26.55 for supplier/distributors.
- B. Subjected to the policies of the City of Indianapolis, Office of Minority and Women Business Development.
- C. The City will certify an entity as an MBE, WBE, VBE, and/or DOBE firm, for all of the categories for which it qualifies.
- D. A firm will only be counted in one of the following categories: MBE, WBE, VBE, or DOBE firm for goal compliance.
- E. Only a business that is domiciled and headquartered in the State of Indiana and has a physical place of business (principal place of business) located within the State of Indiana, as registered in official documents filed with the Secretary of State of Indiana or County Recorder Office as a domestic for-profit corporation, may be certified as a minority-, women-, veteran-, disabled-owned business enterprise with the City. The MBE, WBE, VBE, or DOBE must have a necessary valid license, if required, for its business that indicates where the place of business is located, within the State of Indiana.
- F. Only a firm that has been in business for two (2) full fiscal years prior to the date of application may be certified as a minority-, woman-, veteran-, Disabled-owned business enterprise with the City. The applicant must provide the income tax returns for each of the two (2) previous tax years showing operating revenues in the selected type of work for which the applicant is seeking certification. The OMWBD may waive the two (2) years in business requirement if one of the following conditions is met:
  - a. The qualifying member(s) has demonstrated management and technical expertise to carry out the type of business for which certification is sought;
  - b. The qualifying member(s) has a record of successful performance on contracts from governmental or non-governmental sources in its primary area of certification without the relationship or affiliation of others; or

- c. The qualifying member can demonstrate its ability to timely obtain personnel, facility, equipment, finance, and any other requirement needed to perform work in the area for which it is seeking certification.
- d. The qualifying member business is a result of a traditional acquisition of a business which has been in existence for a minimum of two (2) full fiscal years prior to the acquisition and performs the same commercial useful function.

G. The City certifies MBE/WBE/VBE/DOBE applicants in seven trades:

- a. Construction;
- b. Retailer;
- c. Professional Service;
- d. Service;
- e. Supplier/Distributor-Regular Dealer;
- f. Manufacturer; and
- g. Broker (manufacture representative, leasing agent, procurement specialist).

MBE/WBE/VBE/DOBE credit may only be counted for the commercial useful function for the work actually completed by the MBE/WBE/VBE/DOBE firms' own workforce and for work that the firm has been certified to perform. For example:

- A. An MBE/WBE/VBE/DOBE firm certified as a construction company may not be credited with work as an MBE/WBE/VBE/DOBE supplier.
- B. A broker may receive MBE/WBE/VBE/DOBE credit in any of the above trades, but the allowable credit given to that broker may not exceed the actual fee earned by the MBE/WBE/VBE/DOBE broker.

## **CITY OF INDIANAPOLIS CERTIFICATION PROCESS**

### **Certification Review:**

The initial review of the application is made to determine if all questions are properly answered and the proper documentation is submitted. Incomplete applications and/or omitted documentation will result in the application being returned to the sender with no action taken. Completed packets are reviewed for the applicant's compliance with 49 CFR part 26 and the requirements of the City..

Complete DOBE packets are forwarded to the Office of Disabled Affairs for disabled certification. Once it is determined that the applicant satisfies the federal regulations and the City certification guidelines, including disabled certification, the MBE/WBE/VBE/DOBE certification packet is placed into one of two areas: 1) Indianapolis, Marion County; and 2) Outside of Marion County, but in the State of Indiana. At that time, an on-site review is scheduled and performed.

OMWBD will conduct, or cause to be conducted, an on-site review of all MBE/WBE/VBE/DOBE applicants located in the following Indiana counties: Marion, Hamilton, Boone, Madison, Hancock, Hendricks, Shelby, Morgan, and Johnson. That review may be done by appointment or without notice. Applicants are required to allow this review, and any subsequent, reasonable review of their business. Failure to cooperate with, or refusing to allow, the on-site review(s) will result in rejection and or incomplete application. Applicants located outside the above listed counties shall



apply for certification to the State of Indiana, Department of Administration (IDOA) and/or Department of Transportation (INDOT). The on-site review process requires approximately sixty (60) days. If for any reason INDOT and/or IDOA is unable to perform an onsite in 60 days, your application will be placed in the inactive status with OMWBD.

Once the on-site review has been completed, a narrative report of the applicant's file and on-site review is prepared. The narrative report will summarize the reviewer's on-site review and desk audit and add any other pertinent facts from the reviewer. The Business Enterprise Officer will make a recommendation as to the certification of the applicant on that report. The narrative report and any on-site review forms are then attached to the applicant's entire file and forwarded to the Senior Manager of the City of Indianapolis, Office of Minority and Women Business Development for final determination.

Based upon review of the applicant's entire file, and the attached review documentation, the Senior Manager of the City of Indianapolis, Office of Minority and Women Business Development will approve the application, disapprove the application, or refer it back to the Business Enterprise Officer for further investigation or discussion. Applicants whose qualifications are in accordance with the foregoing rules and regulations and who have been approved by OMWBD's Senior Manager will receive a certification letter indicating a certification of MBE/WBE/VBE and/or DOBE, by the Business Enterprise Officer. The Certification Coordinator will then make the essential data entry to the OMWBD directory and file records.

Applicants whose qualifications are not in accordance with the foregoing rules and regulations and the negative determination have been approved by OMWBD's Senior Manager will receive a letter stating the reason(s) for the negative decision by the Business Enterprise Officer.

### **Certification Standards**

#### **SECTION 1: 49 CFR 26.5**

To be certified as an MBE/WBE/VBE/DOBE by the City of Indianapolis, the minority, woman, or individual with a disabled must own and control, at least, fifty-one percent (51%) of a business. Those 51% owners must be a citizen, or a lawfully admitted permanent resident, of the United States who are:

- A. Black Americans – which includes persons having origins in any of the Black racial groups of Africa;
- B. Hispanic Americans – which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South America, or other Spanish or Portuguese culture or origin regardless of race;
- C. Native Americans – means a U.S. citizen or lawfully admitted permanent resident whose ancestry originates from the original people of North America and who maintains cultural identification through tribal affiliation;
- D. Asian Pacific Americans – which includes, but is not limited to, persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China (including Hong Kong), Taiwan, Laos, Cambodia, Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands;
- E. Subcontinent Asian Americans – which includes persons with origins from Indian, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands or Nepal;
- F. Women;
- G. Individuals with disabilities. An individual with a disabled is a person who:

- a. Has a physical or mental impairment that substantially limits one or more of his or her major life activities;
  - b. Has a record of such an impairment;
  - c. Is regarded as having such an impairment; or
- H. Veterans – which includes persons with a certificate of release or discharge from active duty with an honorable discharge DD214.

## SECTION 2: OWNERSHIP 49 CFR 26.69

- A. To be certified as a minority -, women-, veteran-, and/or disabled-owned business enterprise by the City of Indianapolis, the 51% minority owner(s), woman owner(s), veteran owner(s) or owner(s) with a disabled must be a member of one of the groups designated above.
- a. Firms seeking certification that have a current and valid certification from the SBA, under the 8a Program, or a State of Indiana IDOA or INDOT certification may request that the certifying agency submit to OMWBD copies of the certification file and the on- site review. OMWBD, in lieu of conducting its own certification review, may use the other certifying agency's review. OMWBD does reserve the right to conduct its own review to make determination. City of Indianapolis does not accept certifications/on-sites from national programs, non-profits or paid certification programs.
  - b. The parent company must also meet the City of Indianapolis certification standards to certify a branch office or subsidiary.
- B. To be eligible for MBE/WBE/VBE/DOBE certification, a firm must be at least 51% owned by a minority -, women-, veteran-, and/or disabled individual(s).
- a. In the case of a corporation, such individuals must own at least 51% of each class of voting stock and 51% of the aggregate of all stock outstanding.
  - b. In the case of a partnership, 51% of each class of partnership interest must be owned by minority -, women-, veteran-, and/or disabled individual(s). Such ownership must be reflected in the firm's partnership agreement.
  - c. In the case of a limited liability company, at least 51% of each class of member interest must be owned by the minority -, women-, veteran-, and/or disabled individual(s).
- C. The firm's ownership by a minority -, women-, veteran-, and/or disabled individual(s) must be real, substantial and continuing, going beyond the *pro forma* ownership of the firm as reflected in its ownership documents. The minority -, women-, veteran-, and/or disabled owner(s) must enjoy the customary incidents of ownership and share in the risks and profits commensurate with their ownership interests, as demonstrated by the substance, not merely the form, of arrangements.
- D. All securities that constitute ownership of a firm shall be held directly by minority -, women-, veteran-, and/or disabled persons. Except as provided in this paragraph, no securities or assets held in trust, or by any guardian for a minor, are considered as held by a minority -, women-, veteran-, and/or disabled persons in determining the ownership of a firm. However, securities or assets held in trust are regarded as held by a minority -, women-, veteran-, and/or disabled individual for the purposes of determining ownership of the firm if:



- a. The beneficial owner of securities or assets held in trust is a minority -, women-, veteran-, and/or disabled individual and the trustee is the same or another such individual, or
  - b. The beneficial owner of a trust is a minority -, women-, veteran-, and/or disabled individual who, rather than the trustee, exercises effective control over the management, policy making and daily operational activities of the firm. Assets held in a revocable living trust may be counted only in the situation where the same minority -, women-, veteran-, and/or disabled individual is the sole grantor, beneficiary, and trustee.
- E. The contributions of capital or expertise by the minority -, women-, veteran-, and/or disabled owner(s) to acquire their ownership interest must be real and substantial. Examples of insufficient contributions include a promise to contribute capital, an unsecured note payable to the firm or any owner who is not a minority -, women-, veteran-, and/or disabled individual or mere participation in a firm's activities as an employee. Debt instruments from financial institutions or other organizations that lend funds in the normal course of their business do not render a firm ineligible, even if the debtor's ownership interest is security for the loan.
- F. The following requirements apply to situation in which expertise is relied upon as part of a minority -, women-, veteran-, and/or disabled owner's contribution to acquire ownership:
- a. The owner's expertise must be:
    - i. In a specialized field;
    - ii. Of outstanding quality;
    - iii. In areas critical to the firm's operation;
    - iv. Indispensable to the firm's potential success;
    - v. Specific to the type of work the firm performs;
    - vi. Documented in the records of the firm. Those records must clearly show the contribution of expertise and its value to the firm.
  - b. The individual whose expertise is relied upon must have a significant financial investment in the firm.
- G. The City will deem as held by minority -, women-, veteran-, and/or disabled individuals, for the purposes of determining ownership, all interest in a business or other assets obtained by the individual:
- a. As the result of a final property settlement, court order, or legal separation, provided that no term or condition of the agreement or divorce decree is inconsistent with this section; or
  - b. Through inheritance, or otherwise because of death of the former owner.
- H. The City will presume as not being held by a minority -, women-, veteran-, and/or disabled individual, for purposes of determining ownership, all interests in a business or other assets obtained by the individual, as the result of a gift or transfer without adequate compensation, from any non-MBE/WBE/VBE/DOBE firm who is:
- a. Involved in the same firm for which the individual is seeking certification, or an

- affiliate of that firm;
- b. Involved in the same or similar line of business/profession; or
  - c. Engaged in an ongoing business relationship with the firm, or an affiliate of the firm, for which the individual is seeking certification.
- I. To overcome this presumption and permit the interests or assets to be counted, the minority -, women-, veteran-, and/or disabled individual must demonstrate, by clear and convincing evidence that:
- a. The gift or transfer to the minority -, women-, veteran-, and/or disabled individual was made for reasons other than obtaining MBE/WBEVBE/ or DOBE certification, and
  - b. The minority -, women-, veteran-, and/or disabled individual actually controls the management, policy and operations of the firm notwithstanding the continuing participation of a non- minority -, women-, veteran-, and/or disabled individual who provided the gift or transfer.
- J. The City will apply the following rules in situations in which marital assets form a basis for ownership of the firm:
- a. When marital assets, other than assets of the business in question, are held jointly by both spouses, the City will deem that the ownership interest in the firm was acquired by the spouse with his or her own individual resources, provided that the other spouse irrevocably renounces and transfers all rights in the ownership interest in the manner sanctioned by the laws of the state, in which either spouse or the firm is domiciled. The City will not count a greater portion of joint or community property assets toward ownership than state law would recognize as belonging to the minority -, women-, veteran-, and/or disabled owner of the applicant firm.
  - b. A copy of the document legally transferring and renouncing the other spouse's rights in the jointly owned or community assets used to acquire an ownership interest in the firm must be included as part of the firm's application for MBE/WBEVBE or DOBE certification.
- K. The City may consider the following factors in determining the ownership of a firm. However, the City will not regard a contribution of capital as failing to be real and substantial, or find ineligible, solely because:
- a. A minority -, women-, veteran-, and/or disabled individual acquired his or her interest as the result of a gift, or transfer without adequate consideration, other than the types set forth in this section;
  - b. There is a provision for the co-signature of a spouse who is not a minority -, women-, veteran-, and/or disabled individual on financing agreements, contracts for the purchase or sale of real or personal property, bank signature cards, or other domestic documents; or
  - c. Ownership of the firm in question or its assets is transferred for adequate consideration from a spouse who is not a minority -, women-, veteran-, and/or disabled individual to a spouse who is such an individual. In this case, the City will give particularly close and careful scrutiny to the ownership and control of a firm to ensure that it is owned and controlled, in substance as well as form, by a minority -, women-, veteran-, and/or disabled individual.

SECTION 3: CONTROL – 49 CFR 26.71 and 13 CFR 124.106

- A. The City in determining whether a firm is controlled by one or more minorities, women, veteran, or persons with disabilities, will consider all the facts in the record, viewed as a whole, and shall use the following standards.
- B. Only an independent business may be certified. An independent business is one in which the viability does not depend on its relationship with another firm or firms.
  - a. In determining whether a potential MBE/WBE/VBE/DOBE is an independent business, the City will scrutinize relationships with non-MBE/WBE/VBE/DOBE firms, in such areas as personnel, facilities, equipment, financial and/or bonding support and other resources.
  - b. The City will consider whether present or recent employer/employee relationships between minority -, women-, veteran-, and/or disabled owner(s) of the potential MBE/WBE/VBE/DOBE and non- MBE/WBE/VBE/DOBE firms or persons associated with non-MBE/WBE/VBE/DOBE compromise the independence of the potential MBE/WBE/VBE/DOBE firm.
  - c. The City will examine the firm's relationships with prime contractors to determine whether a pattern of exclusive or primary dealings with a prime contractor compromises the independence of the potential MBE/WBE/VBE/DOBE firm.
  - d. In considering factors related to the independence of a potential MBE/WBE/VBE/DOBE firm, the City will consider the consistency of relationships between the potential MBE/WBE/VBE/DOBE and non- MBE/WBE/VBE/DOBE firm(s) with normal industry practice.
  - e. The City will consider affiliations with some non-qualifying firm/Managing principals in determining who actually controls the firm (directly or indirectly).
- C. An MBE/WBE/VBE/DOBE firm must not be subject to any formal or informal restrictions which limit the customary discretion of the minority -, women-, veteran-, and/or disabled owner(s). There can be no restrictions through corporate charter provisions, by-laws provision, contract, or any other formal or informal devices (e.g. cumulative voting rights, voting powers attached to different classes of stock, employment contracts, requirements for concurrence by non minority -, women-, veteran-, and/or disabled partners, conditions precedent or subsequent, executor agreements, voting trusts, restriction on or assignments of voting rights) that prevent the minority -, women-, veteran-, and/or disabled owner(s), without the cooperation or vote of any non- minority -, women-, veteran-, and/or disabled individual, from making a business decision of the firm. This paragraph does not preclude a spousal co-signature as provided for above in Section 2 subsection 2(b).
- D. The minority -, women-, veteran-, and/or disabled owners must possess the power to direct or cause the direction of the management and policies of the firm and make day-to-day as well as long-term decisions on matters of management, policy and operations.
  - a. A minority -, women-, veteran-, and/or disabled owner must hold the highest office position in the company at its principal place of business (e.g. Chief Executive Officer or President).
  - b. In a corporation, minority -, women-, veteran-, and/or disabled owners must control the Board of Directors.

- c. In a partnership, one or more of the minority -, women-, veteran-, and/or disabled owner(s) must serve as general partner with control over all partnership decisions (including non-qualifying members).
- E. Individuals who are not minority -, women-, veteran-, and/or disabled may be involved in an MBE/WBE/VBE/DOBE firm as an owner, manager, employee, stockholder, officer, and/or director. Such individuals must not, however possess or exercise the power to control the firm or be disproportionately responsible for the operations of the firm in any area of operation.
- F. The minority -, women-, veteran-, and/or disabled owner(s) of the firm may delegate various areas of the management, policymaking, or daily operations of the firm to other participants in the firm, regardless of whether these participants are minority -, women-, veteran-, and/or disabled individuals. Such delegation of authority must be revocable, and the minority -, women-, veteran-, and/or disabled owner(s) must retain the power to hire and fire any person to whom such authority is delegated. The managerial role of the minority -, women-, veteran-, and/or disabled owner(s) in the firm's overall affairs must be such that the City can reasonably conclude that the minority -, women-, veteran-, and/or disabled owner(s) actually exercises control over the firm's operations, management and policy.
- G. The minority -, women-, veteran-, and/or disabled owner(s) must have an overall understanding of, and managerial and technical competence and experience directly related to, the type of business in which the firm is engaged and the firm's operations. The minority -, women-, veteran-, and/or disabled owner(s) is not required to have experience or expertise in every critical area of the firm's operations, or to have greater experience or expertise in a given field than manager(s) or other key employee(s). The minority -, women-, veteran-, and/or disabled owner(s) must have the ability to intelligently and critically evaluate information presented by other participants in the firm's activities and to use this information to make independent decisions concerning the firm's daily operations, management, and policymaking. Generally, expertise limited to office management, administration, or bookkeeping functions unrelated to the principal business activities of the firm is insufficient to demonstrate control.
- H. If State or Local law requires the person to have a particular license or credential, in order to own and/or control a certain type of firm, then the minority -, women-, veteran-, and/or disabled persons who own and control a potential MBE/WBE/VBE/DOBE firm of that type must possess the required license or credential. If State or Local law does not require such person to have such a license or credential to own and/or control a firm, the City will not deny certification solely on the ground that the person lacks the license or credential. However, the City may take into account the absence of the license or credential as one factor in determining whether the minority -, women-, veteran-, and/or disabled owner(s) actually controls the firm.
- I. The City must consider differences in remuneration between the minority -, women-, veteran-, and/or disabled owner(s) and other participants in the firm in determining whether to certify a firm as an MBE/WBE/VBE/DOBE.
  - a. Consideration shall be in the context of the duties of the person involved, normal industry practices, the firm's policy and practice, the firm's policy and practices concerning reinvestment of income, and any other explanations of the differences proffered by the firm. The City may determine that its minority -, women-, veteran-, and/or disabled owner controls a firm, although that owner's remuneration is lower than that of some other participants in the firm.
  - b. In a case where a non- minority -, women-, veteran-, and/or disabled individual formerly or informally controlled the firm, and a minority -, women-, veteran-, and/or disabled individual now controls the firm, then the City may consider a difference between the remuneration of the former and current controller of the firm as a factor used in determining who controls the firm. Particularly when the non- minority -,

women-, veteran-, and/or disabled individual remains involved with the firm and continues to receive greater compensation than the minority -, women-, veteran-, and/or disabled individual.

- J. In order to be viewed as controlling a firm, a minority -, women-, veteran-, and/or disabled owner cannot engage in outside employment or other business interest that conflict with the management of the firm or prevent the individual from devoting sufficient time and attention to the affairs of the firm to control its activities. For example, absentee ownership of a business and part-time work in a full-time firm are not viewed as constituting control. However, an individual could be viewed as controlling a part-time business that operates only on weekends and/or evenings, if the individual controls it all the time it is operating.
- K.
- a. A minority -, women-, veteran-, and/or disabled individual may control a firm even though one or more of the individual's immediate family members (who themselves are not minority -, women-, veteran-, and/or disabled individuals) participate in the firm as manager, employee, owner or in another capacity. Except as otherwise provided in this paragraph, you must make a judgment about the control the minority -, women-, veteran-, and/or disabled owner exercises vis-à-vis other persons involved in the business as you do in other situations, without regard to whether or not the other persons are immediate family members.
  - b. If the City cannot determine that the minority -, women-, veteran-, and/or disabled owners- as distinct from the family as a whole-control the firm, then the minority -, women-, veteran-, and/or disabled owners have failed to carry their burden of proof concerning control, even though they may participate significantly in the firm's activities.
- L. When a firm was formerly owned and/or controlled by a non- minority -, women-, veteran-, and/or disabled individual (whether or not an immediate family member), ownership and/or control were transferred to a minority -, women-, veteran-, and/or disabled, individual, and the non- minority -, women-, veteran-, and/or disabled individual remains involved with the firm in any capacity, the minority -, women-, veteran-, and/or disabled individual now owning the firm must demonstrate to the City, by clear and convincing evidence, that:
- a. The transfer of ownership and/or control to the minority -, women-, veteran-, and/or disabled individual was made for reasons other than obtaining certification as MBE/WBE/VBE/DOBE; and
  - b. The minority -, women-, veteran-, and/or disabled individual actually controls the management, policy, and operations of the firm, notwithstanding the continuing participation of a non- minority -, women-, veteran-, and/or disabled individual who formerly owned and/or controlled the firm.
  - c. The minority -, women-, veteran-, and/or disabled individual can provide fiscal records of past financial transaction, IRS profit and loss statements, contract signature authority, other related official records.
- M. In determining whether a firm is controlled by its minority -, women-, veteran-, and/or disabled owners, the City may consider whether the firm owns equipment necessary to perform its work. However, the City will not determine that a firm is not controlled by qualified individual(s) solely because the firm leases, rather than owns, such equipment, where leasing equipment is a normal industry practice and the lease does not involve a relationship with a prime contractor or other party that compromises the independence of the firm in untraditional lending practices.



- N. The City will grant certification to a firm only for specific types of work in which the minority-, women-, veteran-, and/or disabled owners have the ability to control the firm. To become certified in an additional type of work, the firm needs to demonstrate to City only that its minority -, women-, veteran-, and/or disabled owners are able to control the firm with respect to that type of work. The City will not, in this situation, require that the firm be recertified or submit a new application for certification, but the City will verify the minority -, women-, veteran-, and/or disabled owner's control of the firm in the additional type of work.
- a. OMWBD will not conduct a review of a firm's request to add an additional type of work to its MBE/WBE/VBE/DOBE certification until after one year has passed after the MBE/WBE/VBE/DOBE firm's initial certification or last onsite interview.
  - b. MBE/WBE/VBE/DOBE firms must inform OMWBD, in the form of a sworn affidavit, of any changes affecting the ability of the firm or its owners to meet the guidelines of the Plan with regards to ownership, control, or other certification requirements.
- O. A business operating under a franchise or license agreement may be certified if it meets the standards of this, subpart and the franchiser or licensor is not affiliated with the franchisee or licensee. The City, in determining whether affiliation exists, will generally not consider the restraints relating to standardized quality, advertising, accounting format, and other provisions imposed on the franchisee or licensees by the franchise agreement or license, provided that the franchisee or licensee has the right to profit from its efforts and bears risk or loss commensurate with ownership. Alternatively, even though a franchisee or licensee may not be controlled by virtue of such provisions in the franchise agreement or license, affiliation could arise through other means, such as common management or excessive restrictions on the sale or transfer of the franchise interest or license.
- P. In order for a partnership to be controlled by minority -, women-, veteran-, and/or disabled individuals, any non- MBE/WBE/VBE/DOBE partners must not have the power, without the specific written concurrence of the minority -, women-, veteran-, and/or disabled partner(s), to contractually bind the partnership or subject the partnership to contract or tort liability.
- Q. The minority -, women-, veteran-, and/or disabled individuals controlling a firm may use an employee leasing company. The use of such a company does not preclude the minority -, women-, veteran-, and/or disabled individuals from controlling their firm if they continue to maintain an employer-employee relationship with the leased employees. This includes being responsible for hiring, firing, training, assigning, and otherwise controlling the on-the-job activities of the employees, as well as ultimate responsibility for wage and tax obligations related to the employees.

### **CERTIFICATION DENIAL**

When it is determined that an applicant does not meet the criteria for certification as an MBE/WBE/VBE/DOBE, a letter of denial will be issued from the Senior Manager and Director of OMWBD. That denial letter will be sent by certified mail, return receipt requested. The letter shall include the reason(s) for the denial with specific reference to the determination.

### **APPEALS OF MBE/WBE/DOBE CERTIFICATION DENIALS BY OMWBD**

An applicant, who has been denied MBE/WBE/VBE/DOBE certification by OMWBD under the above procedure, may use the following appeal procedure:

- A. Within seven (7) calendar days after receipt of notice of adverse determination an applicant or firm may request in writing an administrative hearing before the Equal Opportunity Advisory Board's Contract Compliance Committee. The Contract Compliance Committee is composed

of members of the City of Indianapolis, Equal Opportunity Advisory Board, whose members are appointed by the Mayor of the City of Indianapolis and City-County Council.

- B. The written appeal request shall be addressed to: Office of Minority & Women Business Development, Attn: Director, 200 East Washington Street, Suite 1260, Indianapolis, Indiana 46204.
- C. The written appeal request shall include a summary of all objections to the initial decision of OMWBD (“Objection”) and any evidence or documentation to substantiate the applicant’s position.
- D. Upon receipt of a valid Objection, the Senior Manager will transmit the applicant’s Objection to the Business Enterprise Officer for review. If the Business Enterprise Office finds merit in the applicant’s Objection and substantiating documentation, the Senior Manager will review the Objection and substantiating documentation for reconsideration of the certification request.
- E. Otherwise, the Business Enterprise Officer will add any notes or memo pertinent to the appeal and file the appeal with the Contract Compliance Committee’s Secretary to schedule an appeal.
- F. The Senior Manager or Director will cause the Contract Compliance Committee to convene to hear appeals of MBE/WBE/VBE/ DOBE certification denials. The Contract Compliance Committee shall hold a public hearing to hear the appeal no later than 180 days after the date of the denial of certification.
- G. The applicant shall be notified of the date, time and place of the hearing by the Contract Compliance Committee. Public hearings are held in the City County Building, 200 East Washington Street, Indianapolis, Indiana 46204.
- H. The applicant will bear the burden of proof to establish the factual basis for the Objection during the hearing. The applicant may be represented by counsel, subpoena witnesses, and examine (both direct and cross) witnesses. All witnesses testifying during the hearing will be sworn in by the Chair of the Contract Compliance Committee prior to giving any testimony.
- I. The appeal hearing will be conducted as follows:
  - a. Each party shall be given 15 minutes to present its case. The parties need not use all their time.
  - b. The applicant will present its case first, and has the right to split their time in order to allow time to rebut any information presented by OMWBD.
  - c. After the applicant has completed its case to the Contract Compliance Committee, OMWBD shall have 15 minutes to present its case.
  - d. If the applicant reserved time to rebut OMWBD’s case, the applicant will present its rebuttal.
  - e. The Contract Compliance Committee may or may not ask the parties questions.
  - f. At the conclusion of the cases, the Contract Compliance Committee will either vote to:
    - i. Affirm the decision of OMWBD and adopt the reasons listed in the denial letter;

- ii. It may reverse the decision of OMWBD and make findings of fact and conclusions to support its decision; or
- iii. It may take the matter under advisement.

### **WAITING PERIOD**

Should a firm apply for MBE/WBE/VBE/DOBE status and be denied, or decertified from the Program, a reapplication waiting period of one (1) year shall commence from the date of receipt of the final determination from the highest appeal request by the applicant. This means the applicant cannot apply for certification until after a one (1) year period has elapsed after the final denial was received.

### **CERTIFICATION RENEWAL**

It is the responsibility of the certified MBE/WBE/VBE/DOBE to submit its application for renewal. The renewal of an MBE/WBE/VBE/DOBE certification is not automatic and must not be assumed guaranteed based on prior certification. Any changes in the ownership or control of an MBE/WBE/VBE/DOBE will trigger a new application being required. City of Indianapolis's MBE/WBE/VBE/DOBE certifications are valid for three (3) years from the date of the certification. A request for renewal must be submitted within thirty (90) days before the expiration of the previous certification. Failure to meet this deadline will result in a new application being required, the MBE/WBE/VBE/DOBE firm's OMWBD file being purged, and the MBE/WBE/VBE/DOBE firm being deleted from the City's MBE/WBE/VBE/DOBE Vendor Listing.

### **RECERTIFICATION**

MBE/WBE/VBE/DOBE firms must provide OMWBD annually, on the anniversary date of the firm's certification, an affidavit by the owner affirming that there have been no changes in the circumstances affecting its ability to meet MBE/WBE/VBE/DOBE status, ownership, or control requirement of this part or any material changes in the information provided in its application; except changes that the firm previously provided to OMWBD. A recommendation by the Business Enterprise Officer that there is reason to believe that the applicant is not eligible for recertification shall follow the procedures outlined in sections Certification Standards, Certification Denial, and Appeals of MBE/WBE/VBE/DOBE Certification Denials By OMWBD above.

If the firm is an MBE/WBE/VBE/DOBE, the affidavit shall specifically affirm that the firm continues to meet the MBE/WBE/VBE/DOBE standards of this Part.

### **DECERTIFICATION**

Should the OMWBD, after the certification of an MBE/WBE/VBE/DOBE, determine that sufficient evidence exists that creates a reasonable doubt concerning the validity of the certification, OMWBD shall notify the firm regarding a challenge made to its certification. The Business Enterprise Officer will investigate or cause to be investigated the new evidence. After the investigation, the Business Enterprise Officer shall make a recommendation to the Senior Manager based on the results of its investigation. The Senior Manager shall review the Business Enterprise Officer's recommendation. After the review of the recommendation, the Senior Manager and Director shall issue the determination in writing, via certified mail, return receipt requested. If decertification is warranted and recommended, the decertification process shall follow the steps outlined in sections Certification Standards, Certification Denial, and Appeals of MBE/WBE/VBE/DOBE Certification Denials By OMWBD above.

### **JOINT VENTURE CERTIFICATIONS**

The certification process for a joint venture generally follows the guidelines outlined above. The verification process seeks to determine whether or not the MBE/WBE/VBE/DOBE partner in the joint



venture has at least 51% of the responsibility for, and control of, the joint venture. If the MBE/WBE/VBE/DOBE partner does not have responsibility for, and control of, at least 51% of the joint venture, certification will not be granted.

### **MBE/WBE/VBE/DOBE CHALLENGE PROCEDURE**

Any third party may challenge the status of any individual presumed to be a minority -, women-, veteran-, and/or disabled, if that minority -, women-, veteran-, and/or disabled is the owner of a firm certified or seeking to be certified by the City of Indianapolis, Office of Minority and Women Business Development (OMWBD).

- A. The challenge shall be made in writing to the Senior Manager and Director of OMWBD. The challenging party (“Challenger”) shall include as information available and relevant to a determination whether the challenged party (“Challenged”) is, in fact, an SDI or if the challenged firm (“Challenged Firm”) is, in fact, an MBE/WBE/VBE/DOBE.
- B. The Business Enterprise Officer shall investigate and determine, on the basis of the information provided by the Challenger, whether there is reason to believe the Challenged is, in fact, not a SDI or if the Challenged Firm is, in fact, a qualified MBE/WBE/VBE/DOBE.
- C. The Business Enterprise Officer shall advise the Senior Manager, in writing, of the findings and recommendation. The Senior Manager shall concur with or overrule the Business Enterprise Officer’s decision. Additionally, the Senior Manager can instruct the Business Enterprise Officer to do further investigating prior to making its decision.
- D. If the Senior Manager & Director determines that there is reason to believe that the challenged is not an SDI or does not meet the definition of an MBE/WBE/VBE/DOBE, the Senior Manager & Director shall notify the Challenged in writing that its status as an MBE, WBE, VBE, or DOBE has been challenged.
  - a. The notice shall identify the Challenger and summarize the grounds of the challenge;
  - b. The notice shall also require the Challenged to provide OMWBD sufficient information and documentation to evaluate its SDI, MBE, WBE, VBE, or DOBE status and rebuttal of the Challenger’s objection;
  - c. The rebuttal and documentation must be provided to the OMWBD within thirty (30) days of receipt of the notice by certified mail; and
  - d. OMWBD may request further information and/or documentation from the Challenged or the Challenger beyond what was provided.
- E. Failure by the Challenged to respond to the OMWBD’s Notice within 30 days may be grounds for a finding by OMWBD that the Challenged is not, in fact, MBE, WBE, VBE, or DOBE.
- F. The Senior Manager and the Business Enterprise Officer shall evaluate the information provided and shall make a proposed determination as to the status of Challenged as a MBE, WBE, VBE, or DOBE. The Senior Manager and Director shall then notify both the Challenger and Challenged of the proposed determination in writing, via certified mail, return receipt requested.
  - a. OMWBD shall set forth reasons for its proposal in that letter; and
  - b. Said letter shall permit both Challenger and Challenged the opportunity to request an informal hearing within seven (7) days of its receipt.

- G. The request for an informal hearing must set forth reasons for said request.
  - a. The Certification Manager will review said request and either confirm or deny the scheduling of an informal hearing;
  - b. If an informal hearing is granted, it shall be scheduled not less than fourteen (14) working days or more than thirty (30) working days after the determination; and
  - c. Both parties may attend the informal hearing or respond in writing.
- H. If OMWBD determines after an investigation that there is not sufficient reason to believe the Challenged is not an MBE, WBE, VBE, or DOBE, then the Senior Manager and Director of OMWBD shall inform the Challenger in writing of such a determination and terminate the challenge procedure.

## **PROCEDURES TO REQUIRE PARTICIPATING MBE/WBE/VBE/DOBEs BE IDENTIFIED BY BIDDERS**

In order for the City to monitor the level of MBE/WBE/VBE/DOBE participation, all bidders for public works, goods/supplies, and services (including professional services) which are competitively bid shall submit documentation of meeting the MBE/WBE/VBE/DOBE goals, as stated in the contract to be let, as required by this Plan. OMWBD must review this documentation for all such public works contracts valued at \$150,000.00 or greater, and for all such goods/supplies and services, professional services contracts valued at \$50,000.00 or greater. With the submittal of their bid, all bidders shall submit the *MBE/WBE/VBE/DOBE Participation Goals For Construction, Goods/Supplies, And Services* Form. The bid specification shall note when this form is to be submitted to the City.

In addition, if the MBE/WBE/VBE/DOBE goals will not be achieved, the bidder must submit with the bid, the *Application for MBE/WBE/VBE/DOBE Program Waiver* Form. Failure to complete these forms and submittal with the bid shall result in the bidder being determined as non-responsive.

### Substitution Procedures

In addition, the City shall require prime contractors to make a good faith effort to replace an MBE/WBE/VBE/DOBE subcontractor that is unable to perform successfully with another MBE/WBE/VBE/DOBE. All substitution of subcontracts requests shall be submitted, using the *MBE/WBE/VBE/DOBE Subcontractor Substitution Request* form, to the Agency and be approved by OMWBD. This will ensure that the substitute firm(s) is certified by the City of Indianapolis.

Substitution of an MBE/WBE/VBE/DOBE subcontractor may be in order should it be determined that the subcontractor is not a bona fide MBE/WBE/VBE/DOBE before the awarding of a contract. If, after the awarding of a contract, it is determined that an MBE/WBE/VBE/DOBE commitment cannot be fulfilled, the proposed substitution will be subject to approval according to the following procedures:

- A. OMWBD and the contracting department must be notified using the *MBE/WBE/VBE/DOBE Subcontractor Substitution Request* form immediately of an apparent necessity to reduce or cancel the participation of an MBE/WBE/VBE/DOBE subcontractor and to propose a substitute MBE/WBE/VBE/DOBE.
- B. The contractor's notification should include specific reasons for the proposed substitution.
  - a. Acceptable reasons, include but are not limited to:
    - i. An MBE/WBE/VBE/DOBE was found not to be able to perform;

- ii. An MBE/WBE/VBE/DOBE was found to perform unacceptable work;
  - iii. An MBE/WBE/VBE/DOBE was later discovered to not be a bona fide MBE/WBE/VBE/DOBE; or
  - iv. An MBE/WBE/VBE/DOBE previously committed as a given price later demands an unreasonable escalation of prices.
- b. Unacceptable reasons, include but are not limited to:
  - i. Dispute about performance, except in cases where unacceptable performance is documented and every effort to settle the dispute has been made and documented; or
  - ii. An MBE/WBE/VBE/DOBE has requested reasonable price escalation, which may be justified due to unforeseen circumstances.
- C. Contractors shall resubmit a revision to the *MBE/WBE/VBE/DOBE Participation Plan For Construction, Goods/Supplies, and Services* form, for each proposed substitute.
- D. OMWBD, in cooperation with the contracting Department, will evaluate the submitted documentation and respond to the request for a substitution within five (5) working days. OMWBD will make every effort to respond sooner in the case of an expressed emergency for the sake of job progress.
- E. Actual substitutions of replacement of MBE/WBE/VBE/DOBE firms will not be made before written approval from OMWBD is given to the contracting department. Once notified of OMWBD's approval, the substitute MBE/WBE/VBE/DOBE subcontract may be executed immediately, and a copy of the document with original signatures of all parties to the agreement will be submitted to OMWBD and the contracting Department.

#### Change Orders and Amendments

This rule applies to contracts valued at \$150,000.00 and greater. Whenever a contract is amended, any change order is issued, or subsidiary agreement is authorized that increases the total original contract cost by more than ten percent (10%), the MBE/WBE/VBE, DOBE contract goal regarding the work, services, or supplies to be paid for through such amendment, modification, change order, or subsidiary agreement will remain the same; and, good faith efforts will be made to ensure that it maintains the same percentage of MBE/WBE/VBE/DOBE participation in performing the additional work, services, or supplies. A notice to the contractor authorizing the amendment, change order, and/or agreement must be communicated to OMWBD along with the contractor's amended MBE/WBE/VBE/DOBE Participation Goal form.

#### **GOOD FAITH EFFORTS REQUIREMENTS**

All bidders to a bid must document the good faith efforts it took to obtain MBE/WBE/VBE/DOBE participation. The City will determine if the bidder is a responsible and responsive bidder. As part of the selection process, a review of the bidder's *MBE/WBE/VBE/DOBE Participation Goals For Construction, Goods/Supplies, And Services* form is performed to determine the bidder's commitment to meeting the MBE/WBE/VBE/DOBE goals for the contract. If the bidder will not meet the MBE/WBE/VBE/DOBE participation goal, the *Application For MBE/WBE/VBE/DOBE Program Waiver* form must be submitted with the bid submittal.

Such good faith efforts may include, but is not limited to the following:

- A. Bidder's attendance at pre-bid conference;
- B. Advertisement in general circulation media, trade publications, and minority focused media for at least ten (10) working days before bids or proposals are due;
- C. Mailings to MBE/WBE/VBE/DOBE firms notifying them of contracting opportunities;
- D. Efforts made to select portions of the work proposed to be performed by MBE/WBE/VBE/DOBE firms in order to increase the likelihood of achieving the stated goal(s);
- E. Efforts to negotiate with MBE/WBE/VBE/DOBE firms for specific sub-bids, including at a minimum:
  - a. The names, addresses and telephone numbers of MBE/WBE/VBE/DOBE firms that were contacted;
  - b. A description of the information provided to MBE/WBE/VBE/DOBE firms regarding the plans and specifications for portions of the work to be performed; and/or
  - c. A statement of why additional agreements with MBE/WBE/VBE/DOBE firms were not reached.
- F. If the bidder rejected any MBE/WBE/VBE/DOBE firm(s) as unqualified, they must submit the reason(s) for this conclusion.
- G. The bidder must also document technical assistance provided to the MBE/WBE/VBE/DOBE firms in obtaining bonding or insurance required by the City of Indianapolis.
- H. Providing interested MBE/WBE/VBE/DOBE with prompt access to the plans, specifications, scope of work, and requirements of the contract.
- I. Follow up to initial solicitations and copy of call logs.
- J. Has a joint venture agreement for the contract with an MBE/WBE/VBE/DOBE firm. Participation by the MBE/WBE/VBE/DOBE must be 25% or greater.
- K. Has a mentor-protégé agreement with an MBE/WBE/VBE/DOBE firm for the contract.

Failure to provide the application for waiver at the time of bid submission will result in the bid being determined to be non-responsive.

## **MAINTENANCE OF RECORDS AND REPORTING PROCEDURES**

OMWBD and the contracting Agency shall implement a comprehensive record-keeping procedure, whereby the City can identify and assess MBE/WBE/VBE/DOBE contract awards, prime contractor's progress in achieving MBE/WBE/VBE/DOBE subcontract goals, and other MBE/WBE/VBE/DOBE affirmative action efforts.

In implementing this record-keeping procedure, OMWBD and the contracting Agencies shall maintain files that document:

- A. Payments made to MBE/WBE/VBE/DOBE firms. This information will be supplied via reports from prime contractors on their progress in meeting its stated MBE/WBE/VBE/DOBE

participation goals. OMWBD shall develop and institute applicable reporting forms and procedures to comply with this regulation.

- B. OMWBD shall also maintain data on recruitment, identification and award efforts to MBE/WBE/VBE/DOBE firms. Such data may include letters, public notices and advertisements, telephone notes and other communication efforts to this end.
- C. Any other records pertaining to federal or federally assisted projects shall be made available for review to authorized representatives.
- D. All reports required of the City by DOT/UMTA, EPA, HUD or any federal funding services shall be submitted in accordance with its grant agreement of such reports and shall include:
  - a. The number of contracts of payments made to MBE/WBE/VBE/DOBE firms;
  - b. A description of the categories of with payments made to MBE/WBE/VBE/DOBE firms;
  - c. The dollar value of contract with payments made to MBE/WBE/VBE/DOBE firms;
  - d. The percentage of the dollar value of all contracts awarded during this period that were awarded to MBE/WBE/VBE/DOBE firms; and
  - e. An indication of whether and the extent of which the percentage met or exceeded the goal specified by the City in its application.
- E. All records and reports described in this section shall provide separate information on:
  - a. Firms owned and controlled by minorities;
  - b. Firms owned and controlled by women;
  - c. Firms owned and controlled by veterans; and,
  - d. Firms owned and controlled by people with disabilities; and each contract file may include at least the following data:
    - i. Bid Worksheet – Bid openings of contracts with MBE/WBE/VBE/DOBE goals, may be attended by a Business Enterprise Officer or his designated representative. The Business Enterprise Officer or his designated representative may be present at all pre-bid conferences. Documentation may note attendance, minority, non-minority, women, veterans or persons with disabilities, bid respondents, contract award and comments.
    - ii. Minutes of Pre-Construction Conferences, copies of all relevant correspondence, memoranda, or telephone notes pertinent to a particular contract or the project as a whole.
    - iii. Copy of notification of contract award. This notification will be forwarded to the contractor as well as OMWBD. Direct mailings to known MBE/WBE/VBE/DOBE firms with capabilities of executing that particular contract will also occur.
    - iv. The City's advertising period for all contracts will be at least ten (10) days before bids or proposals are due. Assistance will be made available to

MBE/WBE/VBE/DOBE firms in order to meet the bid advertisement period, if need be.

- v. Bid Specification/Written specification will also clearly contain the MBE/WBE/VBE/DOBE program and its requirements. These documents will be made available to MBE/WBE/VBE/DOBE contractors and assistance agencies.
- vi. List of Potential Bidders – The Purchasing Agent and OMWBD will make available to MBE/WBE/VBE/DOBE firms, upon request, a list of potential prime bidders who have taken out specifications and plans for that specific contract.

## **PROJECT CLOSE-OUT AND FINAL DISPOSITION OF EQUAL OPPORTUNITY PROGRAM REQUIREMENTS**

At the time of a project/contract close-out, each Department shall inform OMWBD of the event via a memorandum, the Department shall include in the contract file a final disposition form relative to the project/contract close-out. The Department shall include the final disposition report in the close-out file on all projects. The Department file shall:

- A. Provide MBE/WBE/VBE/DOBE data relative to the project contract; and
- B. Contain information as to whether the contractor was in compliance with MBE/WBE/VBE/DOBE utilization and affirmative action during the run of the project/contract.

## **AGENCY REPORTING PROCEDURES**

An internal reporting procedure has been designed to assist in the evaluation of the City's efforts to increase utilization of MBE/WBE/VBE/DOBE firms. It is required that all City reporting units and Municipal Corporations report monthly information, as requested, to OMWBD.

Completed monthly reports will be used by the Office of Minority and Women Business Development to evaluate the progress of utilization efforts made by reporting units. Report preparation and submittal involves all City reporting units and Municipal Corporations, and information required by OMWBD for its monthly reports shall be submitted by to OMWBD no later than the 15<sup>th</sup> of each month. Prior to issuing the monthly reports, OMWBD will make a request to each Agency and Municipal Corporation to confirm that all information for the reporting period is complete; afterwhich, the OMWBD will finalize its report for the month.

The status of progress made will be submitted to the Office of the Mayor, the Equal Opportunity Advisory Board, and reporting units.

In addition, the following guidelines are to be followed by the reporting units:

- A. The previous year's Monthly Status Report (MSR) data will not be accepted or reviewed by OMWBD after the last day of February of the current year.
- B. MSRs from all Agencies are due to OMWBD by the 15<sup>th</sup> of the month following the end of the reporting period. Any Agency unable to submit their MSR by the 15<sup>th</sup> of the month, must notify OMWBD.
- C. To allow for proper review and updates of each Agency, each MSR will have until the last day of each month following the end of the reporting period to amend its report.



- D. OMWBD provides MSR training, and it is up to each Agency to make a request if this is needed.
- E. If there is a change to the MSR reporting person, an Agency must notify OMWBD within 30 days of the change. In addition, an Agency MSR backup reporting person must be identified.
- F. All Agencies and Municipal Corporations are responsible for submitting subcontractor data with supporting documents to OMWBD to receive MBE/WBE/VBE/DOBE participation credit.

## **COUNTING MBE/WBE/VBE/DOBE PARTICIPATION TOWARD MEETING GOALS**

MBE/WBE/VBE/DOBE participation shall be counted toward meeting MBE/WBE/VBE/DOBE goals set in accordance with this subpart as follows:

- A. When an MBE/WBE/VBE/DOBE participates in a contract, you count only the value of the work actually performed by the MBE/WBE/VBE/DOBE toward MBE/WBE/VBE/DOBE goals. A commercial useful function must be provided to count utilization.
  - a. Count the entire amount of that portion of a construction contract (or other contract not covered by paragraph (A)(a.) of this section) that is performed by the MBE/WBE/VBE/DOBE own forces. Include the cost of supplies and materials obtained by the MBE/WBE/VBE/DOBE for the work of the contract, including supplies purchased or equipment leased by the MBE/WBE/VBE/DOBE (except supplies and equipment the MBE/WBE/VBE/DOBE subcontractor purchases or leases from the prime contractor or its affiliate).
  - b. Count the entire amount of fees or commissions charged by a MBE/WBE/VBE/DOBE firm for providing a bona fide service, such as professional, technical, general contracting, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of the contract, toward MBE/WBE/VBE/DOBE goals, provided you determine the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services.
  - c. When a MBE/WBE/VBE/DOBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward MBE/WBE/VBE/DOBE goals only if the MBE/WBE/VBE/DOBE subcontractor is itself a MBE/WBE/VBE/DOBE. Work that an MBE/WBE/VBE/DOBE subcontracts to a non- MBE/WBE/VBE/DOBE firm does not count toward MBE/WBE/VBE/DOBE goals.
- B. When an MBE/WBE/VBE/DOBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the MBE/WBE/VBE/DOBE performs with its own fulltime forces toward MBE/WBE/VBE/DOBE goals.
- C. Count expenditures to an MBE/WBE/VBE/DOBE contractor toward MBE/WBE/VBE/DOBE goals only if the MBE/WBE/VBE/DOBE is performing a commercially useful function on that contract with its own fulltime forces.
  - a. A MBE/WBE/VBE/DOBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involve (at least 30 percent of the total cost of project). To perform a commercially useful

function, the MBE/WBE/VBE/DOBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a MBE/WBE/VBE/DOBE is performing a commercially useful function, you must evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing and the MBE/WBE/VBE/DOBE credit claimed for its performance of the work, and other relevant factors.

- b. An MBE/WBE/VBE/DOBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of MBE/WBE/VBE/DOBE participation. In determining whether an MBE/WBE/VBE/DOBE is such an extra participant, you must examine similar transactions, particularly those in which MBE/WBE/VBE/DOBE do not participate.
  - c. If a MBE/WBE/VBE/DOBE does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the MBE/WBE/VBE/DOBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, you must presume that it is not performing a commercially useful function.
  - d. When an MBE/WBE/VBE/DOBE is presumed not to be performing a commercially useful function as provided in paragraph (C)(c.) of this section, the MBE/WBE/VBE/DOBE may present evidence to rebut this presumption. You may determine that the firm is performing a commercially useful function given the type of work involved and normal industry practices.
- D. Use the following factors in determining whether an MBE/WBE/VBE/DOBE trucking company is performing a commercially useful function:
- a. The MBE/WBE/VBE/DOBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of meeting MBE/WBE/VBE/DOBE goals.
  - b. The MBE/WBE/VBE/DOBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract.
  - c. The MBE/WBE/VBE/DOBE receives credit for the total value of the transportation services it provides on the contract using trucks it owns, insures, and operates, using drivers it employs.
  - d. The MBE/WBE/VBE/DOBE may lease trucks from another MBE/WBE/VBE/DOBE firm, including an owner-operator who is certified as an MBE/WBE/DOBE. The MBE/WBE/VBE/DOBE who leases trucks from another MBE/WBE/VBE/DOBE receives credit for the total value of the transportation services the lessee MBE/WBE/VBE/DOBE provides on the contract. Procurement of other third-tier subcontracting must be modified to OMWBD prior to bid award per project.
  - e. The MBE/WBE/VBE/DOBE may also lease trucks from a non-MBE/WBE/VBE/DOBE firm, including an owner-operator. The MBE/WBE/VBE/DOBE who leases trucks from a non-MBE/WBE/VBE/DOBE is entitled to credit for the total value of transportation services provided only by non-



MBE/WBE/VBE/DOBE lessees not to exceed the value of transportation services provided by MBE/WBE/VBE/DOBE -owned trucks on the contract. Additional participation by non- MBE/WBE/VBE/DOBE lessees receives credit only for the fee or commission it receives as a result of the lease arrangement. Procurement of other third-tier sub-contracting must be modified to OMWBD prior to bid award per project.

- f. For purposes of this paragraph (D), a lease must indicate that the MBE/WBE/VBE/DOBE has exclusive use of and control over the truck(s) per project. This does not preclude the leased truck from working for others during the term of the lease with the consent of the MBE/WBE/VBE/DOBE, so long as the lease gives the MBE/WBE/VBE/DOBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the MBE/WBE/VBE/DOBE at all time on each project.
- E. Count expenditures with MBE/WBE/VBE/DOBE for materials or supplies toward MBE/WBE/VBE/DOBE goals as provided in the following:
- a.
    - i. If the materials or supplies are obtained from an MBE/WBE/VBE/DOBE manufacturer, count 100 percent of the cost of the materials or supplies toward the MBE/WBE/VBE/DOBE goals.
    - ii. For purposes of this paragraph (E)(a.), a manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the raw materials, supplies, articles, delivery method, or equipment required under the contract and of the general character described by the specifications.
  - b.
    - i. If the materials or supplies are purchased from an MBE/WBE/VBE/DOBE regular dealer(supplier/distribute), count 60 percent of the cost of the materials or supplies toward MBE/WBE/VBE/DOBE goals.
    - ii. For the purposes of this section, a regular dealer is a firm that owns, operates, or maintains a store, warehouse, inventory of the material it suppliers, or other establishment in which the materials, supplies, articles, or equipment of the general character described by the specifications and required under the contract are bought, kept in stock at all time, and regularly sold or leased to the public in the usual course of business. A regular dealer takes responsibility of the equipment it sells through its own logistics and drop shipment to site. Refer to OMWBD for the complete guidelines.
    - iii. To be regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale, or lease of the products in question.
    - iv. A person may be a regular dealer in such bulk items as petroleum products, without owning, operating, or maintaining a place of business as provided it this paragraph (E)(b.)(ii) if the person both owns and operates distribution equipment for the products. Any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not on an ad-hoc or contract-by-contract basis.
    - v. Packagers, brokers, manufacturers' representatives, procurement specialist, leasing, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this paragraph (E)(b.).
    - vi. Broker credit is appropriate when the DBE arranges or expedites the transaction of materials or supplies that it does not manufacture or deliver and is not in

possession of the products. In this type of transaction, a DBE would serve as a third-party intermediary between the manufacturer and the contractor providing project driven sales. The DBE assumes little to no risk in this transaction and is awarded DBE credit for the “mark-up” of the product only. Drop ship transactions would only be eligible for broker credit. There is no maintained facility where inventory is kept on a regular basis for sale to the general public.

- vii. For direction on how a specialty item can be eligible for supplier credit, see the discussion provided below. A specialty item that does not fully meet these requirements can only be credited at brokerage rates.
  - c. With respect to materials or supplies purchased from a MBE/WBE/VBE/DOBE that is neither a manufacturer nor a regular dealer, count the entire amount of the fees or commissions charged for the assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, toward MBE/WBE/VBE/DOBE goals, provided you determine the fees to be reasonable and not excessive as compared with fees customarily allowed for similar services. Do not count any portion of the cost of the materials and supplies themselves toward MBE/WBE/VBE/DOBE goals, however.
- F. If a firm is not currently certified as an MBE/WBE/VBE/DOBE in accordance with the certification standards of OMWBD at the time of the execution of the contract, do not count the firm’s participation toward any MBE/WBE/VBE/DOBE goals, except for the following:
- a. If the MBE/WBE/VBE/DOBE ineligibility is caused solely by its having exceeded the size standards during the performance of the contract, you may continue to count its participation on that contract toward the overall and contract goals.
  - b. If a contractor has executed a contract with a certified firm prior to the MBE/WBE/VBE/DOBE firm being notified of its ineligibility, you may count the use of this firm on the contract and may continue to receive credit toward your MBE/WBE/VBE/DOBE goal for the firm’s work.
- G. Do not count the dollar value of work performed under a contract with a firm after it has ceased to be certified toward your overall goal.
- H. Do not count the participation of an MBE/WBE/VBE/DOBE subcontractor toward the contractor’s final compliance with its MBE/WBE/VBE/DOBE obligations on a contract until the amount being counted has actually been paid to the MBE/WBE/VBE/DOBE.
- I. Only work with listed certified MBE/WBE/VBE/DOBE prior to the date of letting will count towards the goals. Credit towards contract goals will be given only for work performed by the certified MBE/WBE/VBE/DOBE’s in the work area (scopes of services) for which they have been certified. The same requirements with respect to obtaining the goal apply for a contractor that is certified as a MBE/WBE/VBE/DOBE. An MBE/WBE/VBE/DOBE contractor must either achieve the goal utilizing other MBE/WBE/VBE/DOBE firms or demonstrate that the goals could not be met despite good faith efforts.

## **MBE/WBE/VBE/DOBE PROGRAM ELEMENTS**

### **Purchases Greater than \$500.00 but less than \$50,000.00 -Small Contract Enhancement Program**

For a procurement in excess of \$500.00 but less than \$50,000.00, at least three quotes must be provided that include at least two MBE/WBE/VBE/DOBEs who can perform the scope of work.

If there is no MBE/WBE/VBE/DOBE listed in the category code, no MBE/WBE/VBE/DOBE in the scope of work provides a quote, the Administrator determines that it is impractical or not in the best interest of the City to award the contract to the MBE/WBE/VBE/DOBE based on price, or the contracting department rejects all quotes from MBE/WBE/VBE/DOBEs, then three quotes should be obtained from non- MBE/WBE/VBE/DOBEs, and competitive bidding shall be conducted pursuant to policies promulgated by the Administrator.

If there is only one MBE/WBE/VBE/DOBE who can perform the scope of work or only one MBE/WBE/VBE/DOBE who can perform the scope of work responds to the City's request for quote, then at least three quotes in total, including the MBE/WBE/VBE/DOBE, must be obtained from non-MBE/WBE/VBE/DOBEs in the scope of work. The contract will be awarded to the lowest responsible and responsive quoter.

### **Mentor-Protégé Program: Purchases \$150,000.00 or more**

The Administrator and Director of OMWBD shall find eligible projects or contracts of \$150,000.00 or more where good faith efforts for MBE/WBE/VBE/DOBEs to enter into a mentor-protégé relationship shall be required. This determination will be made on a project-by-project (contract-by-contract) basis on and will be based upon the scope of work and market availability.

On such contracts in which good faith efforts to enter into a mentor-protégé relationship are required, no bid shall be accepted unless submitted by a mentor-protégé team, unless OMWBD has determined that good faith efforts to enter into a mentor-protégé relationship have been demonstrated. The OMWBD shall determine whether good faith efforts to enter into a mentor-protégé relationship have been adequately demonstrated based on a review of relevant facts, documents and circumstances.

On such eligible contracts for MBE/WBE/VBE/DOBEs in which good faith efforts to enter into a mentor-protégé relationship are required, the mentor and protégé team members must have different race ownership, different gender ownership, or both. MBE/WBE/VBE/DOBE members of the mentor-protégé team must be certified as such by OMWBD, and the mentor-protégé team shall include in its bid submittal the OMWBD certification number of each MBE/WBE/VBE/DOBE team member. A bid submitted by a mentor-protégé team comprised of bidders with both the same race and gender ownership shall be deemed nonresponsive and rejected.

As to each mentor-protégé relationship under this section, a written mentor-protégé agreement must be completed by both parties to the mentor-protégé relationship and executed before a notary public, which clearly delineates the rights and responsibilities of the mentor and protégé, complies with any requirements of OMWBD as set forth in bid documents or otherwise, and provides that the mentor-protégé relationship shall continue for, at a minimum, the duration of the project.

The OMWBD shall review and approve all contractual agreements regarding the terms and provisions of the mentor-protégé relationship prior to the award of a contract on an eligible project for MBE/WBE/VBE/DOBEs to the mentor protégé team. Agreements must be submitted on or before the date set for receipt of bids on an eligible project. A bid submitted by a mentor-protégé

team that does not include a satisfactory written mentor-protégé agreement in accordance with the requirements of this section shall be deemed non-responsive and rejected.

During the term of the contract the mentor and protégé businesses must each provide to OMWBD a quarterly summary of the mentor skills provided to the protégé, which shall include:

- (1) The time spent between mentor and protégé businesses in furtherance of the mentor-protégé relationship;
- (2) The nature and extent of managerial, technical, financial and/or bonding assistance provided;
- (3) A summary and explanation of any projects bid on or undertaken by the mentor-protégé team in the private sector or for a governmental entity other than the city; and
- (4) Any additional or further information required by OMWBD as set forth in bid documents or otherwise.

No officer, director, employee or member of the mentor-protégé team shall be allowed to bid or otherwise participate independently on a contract where the mentor protégé team is bidding or otherwise participating.

Each member of the mentor-protégé team shall provide OMWBD access to review all records pertaining to mentor-protégé agreements before and after the award of a contract in order to reasonably assess compliance with this subdivision.

Penalties for noncompliance. Any responsible bidder who fails to comply with this section shall be subject to any or all of the penalties contained in IMC. \_\_\_\_\_

#### **Joint Venture Program: Projects over \$10,000,000.00**

Based upon the scope of work and market availability, the Administrator and the Director of OMWBD shall determine on a project-by-project basis on eligible contracts where a contractor shall make good faith efforts with MBE/WBE/VBE/DOBEs.

Only projects valued over \$10,000,000.00 are eligible for consideration under this section. On such projects in which good faith efforts to enter into a joint venture relationship is required, no bid shall be accepted unless submitted by a joint venture, unless OMWBD has determined that good faith efforts to enter into a joint venture have been demonstrated. OMWBD shall determine whether good faith efforts to enter into a joint venture have been adequately demonstrated based on a review of relevant facts, documents and circumstances.

- A. On such eligible projects, in which good faith efforts to enter into a joint venture relationship is required, the joint venture member businesses must have different race ownership, different gender ownership, or both. MBE/WBE/VBE/DOBE members of the joint venture must be certified as such by the OMWBD, and the joint venture team shall include in its bid submittal the MBE/WBE/VBE/DOBE certification number of each MBE/WBE/VBE/DOBE joint venture member. A bid submitted by a joint venture comprised of bidders with both the same race and gender ownership shall be deemed non-responsive and rejected.
- B. As to each joint venture under this section, a written joint venture agreement must be completed by all parties to the joint venture and executed before a notary public, which clearly delineates the rights and responsibilities of each member or partner, complies with

any requirements of the office of contract compliance as set forth in bid documents or otherwise, and provides that the joint venture shall continue for, at a minimum, the duration of the project.

- C. The Director of OMWBD shall review and approve all contractual agreements regarding the terms and provisions of each joint venture relationship prior to the award of a contract on an eligible project for MBE/WBE/VBE/DOBEs to the joint venture, including agreements pertaining to:
- a. The initial capital investment of each venture partner;
  - b. The proportional allocation of profits and losses to each venture partner; no XBE
    - i. venture partner's liability should ever exceed said partners percentage of revenue
    - ii. earned while a participant in the joint venture.
  - c. The sharing of the right to control the ownership and management of the joint venture;
  - d. Actual participation of the venture partners on the project;
  - e. The method of and responsibility for accounting;
  - f. The method by which disputes are resolved; and
  - g. Any additional or further information required by OMWBD as set forth in bid
    - i. documents or otherwise.
- D. Agreements must be submitted on or before the date set for receipt of bids on an eligible project. A bid submitted by a joint venture that does not include a satisfactory written joint venture agreement in accordance with the requirements of this section shall be deemed non-responsive and rejected.
- E. The joint venture, and each member of the joint venture, shall provide OMWBD access to review all records pertaining to joint venture agreements before and after the award of a contract in order to reasonably assess compliance with this subdivision.
- F. Penalties for noncompliance. Any responsible bidder who fails to comply with this section shall be subject to any or all of the penalties contained in IMC\_\_\_\_\_.

## **PROMPT PAYMENTS TO SUBCONTRACTORS**

Vendors awarded City contracts shall ensure the prompt and full payment of any subcontractors working on the contract. Every contract by the City for the performance of work shall contain a provision requiring the prime contractor to certify in writing that all subcontractors and suppliers have been paid promptly for work and materials from previous progress payments received (less any retainage) by the prime contractor prior to receipt of any further progress payments. A contractor is required to pay subcontractors or suppliers funds due from progress payments within fifteen (15) business days of receipt of payment from the City. The City encourages that contractors make payments to subcontractors through a P-Card system, though this shall not be a criteria or a requirement for a subcontractor to provide services to a contractor.

During the contract and upon completion of the contract, the City may request documentation to certify payment to subcontractors or suppliers. This subsection in no way creates any contractual relationship between any subcontractor and the City or any liability on the City for contractor's failure to make timely payment to the subcontractor.

## **FALSE REPRESENTATION BY CONTRACTOR & BREACH OF CONTRACT**

### **A. Ind. Code 5-16-6.5-4: False representations by contractor to public agency; breach of contract**

A contractor who, knowingly or intentionally, falsely represents to a City Department or public agency that the contractor: (1) is a disadvantaged business enterprise or a women-owned business enterprise; or (2) will use the services or commodities of a disadvantaged business enterprise or a women-owned business enterprise, is in breach of contract.

### **B. Ind. Code 5-16-6.5-5: Penalties for breach of contract**

IC 5-16-6.5-5(a) If a breach of contract occurs under section 4 of this chapter, the public agency shall suspend all payments to the contractor under that contract unless it determines that the contractor made a good faith effort to avoid the breach but unable to do so.

IC 5-16-6.5-5(b) If the public agency determines that the contractor did not act to avoid the breach, it may:

- a. Rescind the contract and recover all amounts paid under it if the breach occurs under section 4(1) of this chapter;
- b. Recover all amounts paid to the contractor under the contract that were intended for expenditure with a disadvantaged business enterprise of a woman owned business enterprise if the breach occurred under section 4(2) of this chapter; or
- c. Employ any legal or administrative remedies that the agency prescribes by rule or in the contract.

### **C. Ind. Code 5-16-6.5-6: Bidding restrictions on contractors breaching contracts**

If a contractor commits a breach of contract under section 4 of this chapter, the contractor is prohibited from bidding on contracts awarded by any public agency for up to thirty-six (36) months. The public agency shall determine the period of time during which the contractor is prohibited from bidding on contracts under this section.

### **D. IC 5-16-6.5-2 "Public agency" defined**

As used in this chapter, "public agency" includes the following: (1) A political subdivision as defined in IC 36-1-2-13

## **MBE/WBE/VBE/DOBE COMPLAINT PROCEDURE**

Businesses certified as a Minority Business Enterprise (MBE), a Women Business Enterprise (WBE), a Veteran Business Enterprise (VBE) or a Disabled Owned Business Enterprise (DOBE) by the City of Indianapolis may file work related complaints with the Office of Minority and Women Business Development (OMWBD). The complaint may involve any factor related to a City contract, such as late payments or failure to receive payments for work performed by the affected MBE, WBE, VBE or DOBE.



While the OMWBD has no control over the other City/County/Municipal Departments, it will intercede on behalf of an affected MBE, WBE, VBE, or DOBE if it has been determined that the MBE, WBE, VBE, or DOBE has a justifiable complaint.

## **PENALTIES AND REMEDIES**

### **Discrimination or Retaliation**

When the City determines that discrimination or retaliation has occurred in violation of this Plan, the City shall order any one or more of the following actions (listed in ascending order of severity):

- A. Issuance of a finding that the respondent Bidder is not a responsive Bidder within the meaning of the bid statutes with respect to specific contracts that the City has put out for bids or intends to put out for bids at the time of such finding;
- B. Assessment of a fine at an amount determined by the City, but at not less than Ten Thousand Dollars (\$10,000);
- C. Exercise of any other rights or remedies available to the City under any current contract between the Bidder and the City, other than rescission, suspension or termination of the contract, including but not limited to the assessment of liquidated damages;
- D. Rescission, suspension or termination of any current contract between the respondent business and the City under the terms thereof; or
- E. Disqualification of the respondent Bidder from bidding and receiving contract awards on City projects and from participating in City contracts as a subcontractor, vendor or supplier for a period of not more than two (2) years, provided that the respondent Business shall have the right to petition the City for reinstatement of its active bidder status by demonstrating to the City's reasonable satisfaction that the problems for which it was disqualified have been cured; and
- F. Referral of the matter for criminal prosecution of fraud and other violations under Indiana law if appropriate under the circumstances.

### **Criminal Sanction for Fraud**

- A. OMWBD shall determine whether substantial evidence is available indicating that fraud or other unlawful activity has been committed by:
  - 1. An MBE/WBE/VBE/DOBE certification or recertification applicant;
  - 2. A certified MBE/WBE/VBE/DOBE or majority prime contractor falsely reporting the utilization of MBE/WBE/VBE/DOBE subcontractors;
  - 3. An individual or firm attempting to benefit from or participate in the MBE/WBE/VBE/DOBE program through fronting activity or false representation of a commercially useful function; or
  - 4. Whether other fraudulent or unlawful activity has occurred.

- B. If OMWBD determines that substantial evidence exists indicating fraud or other unlawful activity has occurred, the matter shall be referred to the Office of Corporate Counsel, who will refer the matter to the appropriate legal authorities for criminal prosecution; and, in the event a conviction or guilty plea is obtained stemming from such criminal prosecution, the business entity and its principals shall be barred from participation in City contracts for a minimum of one (1) year and may be barred permanently from participation in City contracts.

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# APPENDIX -FORMS

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## MBE/WBE/VBE/DOBE BUSINESS UTILIZATION PROGRAM SUMMARY

The Consolidated City of Indianapolis and Marion County ("City") is committed to maximizing subcontracting opportunities for all qualified and available MBE/WBE/VBE/DOBEs. The MBE/WBE/VBE/DOBE Business Utilization Program applies to City funded contracts of \$50,000.00 or more.

There are two components of the MBE/WBE/VBE/DOBE Business Utilization Program:

- **MBE/WBE/VBE/DOBE Participation Goals:** This component requires bidders to make subcontracting opportunities available to minority, women, veteran, and disabled-owned businesses certified in the City's MBE/WBE/VBE/DOBE program at the minimum percentage stated in the bid invitation. To count towards the MBE/WBE/VBE/DOBE participation goal, the MBE/WBE/VBE/DOBE must be certified in the category code(s) that will be used on the project. A list of City-certified MBE/WBE/VBE/DOBEs is available on the City's website at <https://www.indy.gov/activity/find-omwbd-contractor> or from the Office of Minority & Women Business Development.
- **Outreach/Good Faith Efforts:** The MBE/WBE/VBE/DOBE Participation Goals component. This component requires bidders to provide evidence of outreach efforts and good faith efforts made to subcontract with MBE/WBE/VBE/DOBEs.

To be eligible for an award of this project, the City will first determine whether a bidder meets the stated minimum percentage of MBE/WBE/VBE/DOBE participation. The percentage is clearly stated in the bid invitation. In the event that a bidder does not meet the stated minimum percentage, a request for program waiver must be submitted with the bid, using the [Application For MBE/WBE/VBE/DOBE Program Waiver Form](#) and the City will score the bidder's outreach/good faith effort.

**Pursuant to the MBE/WBE/VBE/DOBE Business Utilization Program requirements, the following items are included in the bid invitation and must be completed, signed and submitted in each bid;** failure to complete these forms with all the pertinent- requested information may cause a bid to be determined as non- responsive for MBE/WBE/VBE/DOBE review purposes:

1. [MBE/WBE/VBE/DOBE Participation Goals For Construction, Goods/Supplies, And Services Form.](#)
2. [Application For MBE/WBE/VBE/DOBE Program Waiver Form](#), if a bidder does not meet the stated minimum percentage

**The following forms are included in the bid invitation for information purposes only and do not have to be completed or returned with the bid.**

1. [Letter Of Intent To Perform As A Subcontractor/Supplier Form](#): (must be completed and submitted to the Agency with a copy to the Office of Minority & Business Development after bid opening and within three (3) business days of bidder's notification of award).
2. [Subcontractor and Suppliers List](#): (must be completed and submitted within three (3) business days of bidder's notification of award).
3. [MBE/WBE/VBE/DOBE Subcontractor Substitution Request Form](#): (must be submitted for advance approval for any proposed change in MBE/WBE/VBE/DOBE subcontractors).
4. [Subcontractor/Subconsultant Payment Report](#): (must be submitted at least monthly with each Contractor invoice for payment).

If you have any questions or need assistance in meeting these requirements, please feel free to contact the Office of Minority & Women Business Development at (317) 327-5262.



## MBE/WBE/VBE/DOBE PARTICIPATION GOALS FOR CONSTRUCTION, GOODS/SUPPLIES, AND SERVICES

Submittal Due Date: \_\_\_\_\_ Project/Contract Number: \_\_\_\_\_  
Project/Contract Name: \_\_\_\_\_ Bidder: \_\_\_\_\_  
Contact Name: \_\_\_\_\_ Bidder Address: \_\_\_\_\_  
Bidder Phone: \_\_\_\_\_ Bidder E-mail Address: \_\_\_\_\_

Bidder ☐ is ☐ is not a City certified MBE/WBE/VBE/DOBE and will self-perform \_\_\_\_\_% of the total contract amount.

If Bidder is awarded this contract, the MBE/WBE/VBE/DOBE City certified firms listed below will be utilized in the performance of the contract as a subcontractor/supplier.

Full Legal Name of Firm	MBE, WBE, VBE, or DOBE	Contact Person	Phone #	Description of Work	Dollar Amount	% of Total Contract Amount

Bidder must submit an *Application for MBE/WBE/VBE/DOBE Program Waiver* if it fails to meet the required utilization goals for the contract. Failure to provide the application for waiver at the time of submission **will** result in the disqualification and rejection of the bid/proposal.

It is the policy of the City that bidder requirements which prevent subcontractors/suppliers from bidding as subcontractors on multiple bids is not permitted. Violation of this policy **will** result in the disqualification and rejection of the bid/proposal.

Bidder's Signature: \_\_\_\_\_

Bidder's Name: \_\_\_\_\_

Date: \_\_\_\_\_



## APPLICATION FOR MBE/WBE/VBE/DOBE PROGRAM WAIVER

Pursuant to the Consolidated City of Indianapolis and Marion County Instructions To Bidders, this application for a (check each of the following which apply) ☐ MBE ☐ WBE ☐ VBE ☐ DOBE program waiver is hereby submitted for the Project/Contract listed below by Bidder/Applicant (hereinafter Bidder). (Use additional sheets if necessary.)

Date of Application: \_\_\_\_\_ Project/Contract Number: \_\_\_\_\_  
Project/Contract Name: \_\_\_\_\_ Bidder: \_\_\_\_\_  
Contact name: \_\_\_\_\_ Phone: \_\_\_\_\_  
Address: \_\_\_\_\_ E-mail: \_\_\_\_\_

In attempting to meet the project goal Bidder made the following good faith efforts for the purpose of fulfilling that goal (**Check all that apply**). Minimum score required to establish “good faith” effort is 70 points.

<u>Item:</u>	<u>Weighting</u>	<u>Score</u>
<input type="checkbox"/> 1. Bidder (check one of the following) <input type="checkbox"/> did <input type="checkbox"/> did not attend all pre-bid or pre-solicitation meetings held by the City to inform MBEs, WBEs, VBEs, and DOBEs of contracting opportunities.	10	_____
<input type="checkbox"/> 2. Bidder placed advertisements in search of prospective MBEs/WBEs/VBE and DOBEs for the contract. Provide all such advertisements, including e-mail “send-to” section, if used.	10	_____
<input type="checkbox"/> 3. Bidder provided written notifications to MBEs/WBEs/VBEs/DOBEs notifying them of contracting opportunities in sufficient time to allow them to participate and to minority business assistance agencies for the purpose of locating prospective MBEs, WBEs, VBEs, and DOBEs for the contract. Bidder's written notification to the Office of the Mayor's Business Development Program for assistance in locating MBEs, WBEs, VBEs, and DOBEs must also be documented. Provide all such documents.	20	_____
<input type="checkbox"/> 4. Bidder made the following efforts to select portions of the work to be performed by MBE/WBE/VBEs/DOBEs in order to increase the likelihood of achieving the stated goals, including the division of contracts into economically feasible units/parcels to facilitate participation _____ _____ _____	10	_____
<input type="checkbox"/> 5. Bidder contacted and/or negotiated with MBEs/WBEs/VBEs/DOBEs for specific sub-bids and/or partnerships. Please include a description of the information provided to MBE/WBE/VBEs/DOBEs regarding the plans and specifications for portions of the work to be performed and a statement of why prospective agreements with MBE/WBE/VBEs/DOBEs were not reached. Provide detailed documentation of such contacts/negotiations.	15	_____
<input type="checkbox"/> 6. Bidder provided the following technical assistance to MBEs/WBEs/VBEs/DOBEs in an effort to obtain MBE/WBE/VBE/DOBE participation, such as obtaining bonding, insurance, or a needed line of credit for the project, in an effort to obtain MBE/WBE/VBE/DOBE participation. Provide detailed documentation of such assistance.	15	_____
<input type="checkbox"/> 7. Provided interested MBE/WBE/VBE/DOBE certified to perform the solicited work with prompt access to the plans, specifications, scope of work and requirements of the contract	10	_____
<input type="checkbox"/> 8. Follow-up to initial solicitations. Provide copy of all e-mails and call logs.	10	_____

- ☐ 9. Has project joint venture agreement for this contract with a MBE/WBE/VBE/DOBE business or is a joint venture certified with the City as an MBE/WBE/VBE/DOBE business. MBE/WBE.VBE/DOBE minimum participation shall be 25% or greater (or as may be designated by OMWBD for this contract). 15 \_\_\_\_
- ☐ 10. Has a Mentor-Protégé Agreement with a MBE/WBE/VBE/DOBE business for this contract. MBE/WBE.VBE/DOBE minimum participation shall be 10 \_\_\_\_

TOTAL POINTS: \_\_\_\_

**YOU MUST SUBMIT YOUR SUPPORTING DOCUMENTATION WITHIN 3 BUSINESS DAYS OF NOTIFICATION OF AWARD.**

Bidder certifies that all information contained herein and attached hereto is true and accurate and that all good faith efforts were made by Bidder for the purpose of fulfilling the contract goals. Failure to sign this form will result in the bid being determined non-responsive.

Bidder's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

For Office of Minority & Women Business Development use only.

- ☐ Contract offers no opportunity to utilize subcontractors/suppliers.
- ☐ No MBE/WBE/VBE/DOBEs are certified in the category codes for which there are subcontractor/supplier opportunities.

This Application for Program Waiver is:

- ☐ Not Approved ☐ Approved
- ☐ Approved subject to the following conditions/restrictions: \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 Camille Blunt, Director  
 Office of Minority & Women Business Development



## LETTER OF INTENT TO PERFORM AS A SUBCONTRACTOR/ SUPPLIER

**Instructions:** Within three (3) business days of notification by Owner, the apparent lowest responsive Bidder will be required to submit a “Letter of Intent to Perform as a Subcontractor” for each M/W/V/DOBE subcontractor listed on Bidder’s Subcontractor/Supplier Participation,

PROJECT/CONTRACT: \_\_\_\_\_

BIDDER: \_\_\_\_\_

M/W/V/DOBE FIRM FULL LEGAL NAME: \_\_\_\_\_

The M/W/V/DOBE Firm is **currently certified by the City of Indianapolis YES\_\_ NO\_\_** (must be certified to count). The Bidder hereby states its intent to utilize the M/W/V/DOBE Firm on this Project/Contract. Bidder intends to enter a contractual agreement with the listed M/W/V/DOBE Firm who will provide the following goods/services as a tier one:

SCOPE OF WORK (What Commercial Useful Function will be provided):

ESTIMATED VALUE OF SUBCONTRACT: \$

This document shall not serve in any manner as an actual subcontract between the two parties. A separate subcontract agreement will describe in detail the contractual obligations of the Bidder and the M/W/V/DOBE Firm.

The M/W/V/DOBE Firm affirms that it will self-perform, and the Bidder affirms it intends to utilize the M/W/V/DOBE to perform, the scope of work at the subcontract value amount stated above.

\_\_\_\_\_  
Bidder Representative’s Signature

\_\_\_\_\_  
M/W/V/DOBE Representative’s Signature

\_\_\_\_\_  
Print: Name & Title

\_\_\_\_\_  
Print: Name & Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

### **Falsification of Agreement**

**Bidder’s or MBE/WBE/VBE/DOBE’s falsification or misrepresentation of this agreement as to company name, subcontract amount, and/or the scope of work performed by subcontractor will result in sanctions including assessment of penalty fines, termination of contract, and/or debarment.**

## **SUBCONTRACTORS AND SUPPLIERS LIST**

*Instructions to Bidders: The Bidder shall submit a completed Subcontractor/Supplier list (see below)*

*The Bidder shall enter the names, the type of work to be done, and the amount, in the Subcontractors/Suppliers List for each subcontractor/supplier that the Bidder proposes to use for services that will be provided for the Project/Contract as part of the total amount bid.*

*Bidder shall also list **ALL** MBE/WBE/VBE/DOBEs to be utilized for the Project/Contract, including their amount, regardless of the amount. Any MBE/WBE/VBE/DOBE subcontractors/suppliers shall be identified as such in the righthand column. Bidder shall indicate below if the subcontractor/supplier has multiple certifications. Failure to list all required Subcontractors/Suppliers, required MBE/WBE/VBE/DOBE information, and required pricing may result in Bid being deemed non-responsive.*

*Only one subcontractor/supplier shall be listed for each line. Upon award of a contract, the named subcontractors/suppliers shall be contracted to perform the work, unless changes are specifically authorized by the Owner. Failure to furnish all information requested may render the bid non-responsive if it is determined that such omission materially affords the Bidder a substantial advantage over other Bidders.*

*Except as otherwise specifically stated by the Bidder in this Part, omission of any names of subcontractors/suppliers herein shall constitute an affirmative representation and statement that the Bidder proposes to use its own work force for that portion of the Contract.*

*Bidder's attention is directed to paragraphs 6.8, 6.9, and 6.11 of the City of Indianapolis Standard General Conditions for Construction Contracts as they relate to use of subcontractors/suppliers.*

(Check if applicable)

Full Subcontractor Name	Description of Work	Amount	MBE	WBE	VBE	DOBE
		\$				
		\$				
		\$				
		\$				
		\$				
		\$				
		\$				
		\$				
Full Supplier Name	Description of Work	Amount	MBE	WBE	VBE	DOBE
		\$				
		\$				
		\$				
		\$				
		\$				

(please duplicate and use this form, if additional sheets are necessary)



## MBE/WBE/VBE/DOBE SUBCONTRACTOR SUBSTITUTION REQUEST

Contract Name: \_\_\_\_\_

This form must be completed and submitted to the Office of Minority & Women Business Development prior to terminating the contract of a MBE/WBE/VBE/DOBE after the bids have been submitted or contract has been awarded. Information recorded herein will be incorporated in the awardee's contract. The contractor shall make a good faith effort to replace an MBE/WBE/VBE/DOBE subcontractor that is unable to perform successfully with another MBE/WBE/VBE/DOBE. If the proposed subcontractor for substitution is not an MBE/WBE/VBE/DOBE, the completed Application for MBE/WBE/VBE/DOBE Program Waiver request must be submitted with this MBE/WBE/VBE/DOBE Subcontractor Substitution Request.

Company Name: \_\_\_\_\_ Project Name: \_\_\_\_\_  
Address: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

\_\_\_\_\_ will be substituted by \_\_\_\_\_  
(MBE/WBE/VBE/DOBE Subcontractor/Supplier) (Subcontractor/Supplier)

to perform work on the above project as (check one): ☐ a partnership; ☐ a corporation; ☐ sole proprietorship; or,  
☐ a joint venture.

Reason for substitution: \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ will enter into a formal agreement for the work upon approval by the OMWBD.  
(Subcontractor/Supplier)

CONTRACT NUMBER	DESCRIPTION OF WORK	SUBCONTRACTOR/SUPPLIER AMOUNT	% OF TOTAL CONTRACT AMOUNT	START DATE	COMPLETION DATE
	<b>Total Value of Work</b>				

Contractor Name: \_\_\_\_\_

Signature of Company Representative \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Subcontractor/Supplier Name: \_\_\_\_\_

Signature of Company Representative: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



**CITY OF INDIANAPOLIS SUBCONTRACTOR / SUBCONSULTANT PAYMENT REPORT**  
**(Submit With All Payment Requests)**

PRIME VENDOR NAME					PAYMENT PERIOD DATE RANGE						
PRIME VENDOR INVOICE NO.					LABOR						
PROJECT NO./CONTRACT NO.					EXPENSES						
PURCHASE ORDER NO.					AMOUNT BILLED		\$0.00				
PRIME VENDOR	MBE (Y/N)	WBE (Y/N)	VBE (Y/N)	DOBE (Y/N)	DESCRIPTION OF WORK	INVOICED THRU DATE	PRIME CONTRACT AMOUNT	AMOUNT BILLED THIS PERIOD	AMOUNT PAID TO DATE	% PAID TO DATE	
SUBCONTRACTORS / SUPPLIERS (ADDRESS/ZIP CODE/TELEPHONE)	MBE (Y/N)	WBE (Y/N)	VBE (Y/N)	DOBE (Y/N)	DESCRIPTION OF WORK	INVOICED THRU DATE	TOTAL SUBCONTRACT AMOUNT	AMOUNT BILLED THIS PERIOD	AMOUNT PAID TO DATE	% PAID TO DATE	
PRIME VENDOR SIGNATURE	(Signature)					TOTALS	\$0.00	\$0.00	\$0.00		
PRIME VENDOR PRINTED NAME						MBE / WBE / VBE / DOBE SUBCONTRACTOR PARTICIPATION					
NOTES: 1. City of Indianapolis reserves the right to verify directly with the vendor / supplier the accuracy of this information. 2. % Paid To Date represents the percentage of the vendors contract amount that has been paid to date. 3. When a subcontractor or subconsultant has multiple disadvantaged business enterprise certifications, only check the one you are being counted as for the current contract by indicating a "Y" in the proper column for MBE / WBE / VBE / DOBE. 4. The Prime contract amount cannot be counted towards the MBE / WBE / VBE / DOBE goals for this particular report.							SUBCONTRACT AMOUNT	% of Contract	AMOUNT PAID THIS PERIOD	AMOUNT PAID TO DATE	% of Invoiced
						MBE	\$ -		\$ -	\$ -	
						WBE	\$ -		\$ -	\$ -	
						VBE	\$ -		\$ -	\$ -	
						DOBE	\$ -		\$ -	\$ -	

**\* ALL WHITE FIELDS ARE TO BE COMPLETED BY VENDOR.**

**\*\* ALL YELLOW FIELDS ARE COMPUTED BY A FORMULA.**

# Indy PL

## CEO Performance Evaluation

### 2020

In accordance with the Indiana Public Trust 2014, the Indianapolis Marion County Public Library Board of Trustees is responsible for conducting a formal, written review of the Library Director's performance on an annual basis. The CEO's current employment agreement states such evaluation is to be conducted ideally during the same period of other Library employees, and fully completed by December 31 of the evaluation year. The Board shall meet in executive session to discuss how well the CEO met system goals and maintained a positive Board-CEO relationship. If the Board determines any area of the CEO's performance is unsatisfactory or needs improvement, the Board is to provide written documentation citing detailed and specific instances to this effect and offer guidance and recommendations on how to address it.

Historically, the Board's Personnel Committee oversees and coordinates the CEO's performance review and will do so again this year; however, with some proposed changes in the process and the performance appraisal tool. In an effort to move toward a 360° style review of the CEO, all Executive Committee members, along with a representative from the Indianapolis Public Library Union and the Library Staff Association, will be given an opportunity to offer input about the CEO's performance. Below are the proposed steps in the process and deadline dates.

<b><u>TASKS</u></b>	<b><u>DEADLINE</u></b>
-Personnel Committee meets to discuss CEO review process	<b>June 22</b>
-CEO completes and submits performance self-assessment to Board	<b>September 15</b>
-Board members complete and submit individual evaluations	<b>September 30</b>
-Executive Committee completes individual evaluations	<b>September 30</b>
-Personnel Committee reviews input from Staff Assoc./Union representatives	<b>September 30</b>
-Personnel Committee Chair summarizes all input in writing	<b>October 15</b>
-Board holds Executive Session to discuss and finalize CEO evaluation	<b>November 11</b>
-Board (Chair) meets with CEO to share evaluation feedback and ratings	<b>November 15</b>
-Board Chair notifies HR Director of performance rate for 2021 payroll	<b>December 1</b>

<p align="center"><b>M. Jacqueline Nytes – CEO</b>  <b>Indianapolis-Marion County Public Library</b></p>		
<b>Performance Evaluation</b> <b>Time Period:</b>	<b>Start Date:</b>	<b>End Date:</b>

## PERFORMANCE RATINGS

### (Performance Level Descriptors for CEO Position)

Outstanding (5 Points)	<ul style="list-style-type: none"> <li>Consistently demonstrates exceptional performance that sustains excellence and optimizes results for the Library. Consistently achieves expectations at the highest level of quality possible and normally exceeds organizational goals and targets; goes high above what is either expected or required. CEO is proactive, visionary, and exhibits superior leadership.</li> </ul>
Very Good (4 Points)	<ul style="list-style-type: none"> <li>Demonstrates a high level of performance that usually is beyond that required for successful performance of position responsibilities and scope. CEO is a proven, highly effective leader who achieves desired results and consistently exhibits competence, good judgment, and a high level of professionalism.</li> </ul>
Satisfactory (3 Points)	<ul style="list-style-type: none"> <li>Demonstrates an acceptable level of performance expected for the position. CEO's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. CEO is a solid, dependable leader who delivers results based on minimum measure of quality, quantity, efficiency, and overall effectiveness.</li> </ul>
Needs Improvement (2 Points)	<ul style="list-style-type: none"> <li>Generally, CEO meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. CEO demonstrates limited ability to inspire direct reports to give their best efforts or effectively address problems characteristic of the organization and its work.</li> </ul>
Unacceptable (1 Point)	<ul style="list-style-type: none"> <li>In repeated instances, CEO demonstrates performance deficiencies that detract from mission goals and objectives. CEO is generally viewed as ineffective by management, peers, or employees. Does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.</li> </ul>

## PERFORMANCE ELEMENT 1: EFFECTING CHANGE

This core element involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this is the ability to establish an organizational vision and to implement it in a continuously changing environment.

### Performance Standards:

- Creativity and Innovation: Develops new insights to problem solving; encourages new ideas and innovations; designs and implements new or cutting-edge programs and processes.
- Resilience: Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks or failures, and able to put forth contingencies.
- Strategic Thinking: Formulates objectives and priorities and implements plans consistent with the long-term interests and opportunities of the Library; and manages risks.
- Vision: Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into goals and action.

Performance Rating	5	4	3	2	1

### COMMENTS:

## PERFORMANCE ELEMENT 2: LEADING PEOPLE

This core element involves the ability to lead people toward meeting the organization's vision, mission, and goals. Shows the ability to create a healthy workplace that fosters the development of others, facilitates teamwork, and constructive resolution of internal conflicts.

### Performance Standards:

- Developing Others: Develops the talents of others to perform and contribute to the Library by providing ongoing support and offer opportunities to learn through formal and informal methods.
- Team Building: Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.
- Flexibility: Is open to change and new information; rapidly adapts to a new direction, changing conditions, or unexpected obstacles. Subscribes to adaptive leadership techniques, as necessary.
- Conflict Management: Encourages differences of opinions; anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts constructively.

Performance Rating	5	4	3	2	1

### COMMENTS:

### PERFORMANCE ELEMENT 3: MANAGING OPERATIONS

This core element involves the ability to manage human, financial, and information resources strategically and effectively. This requires ensuring policies, processes and protocols are uniformly carried out and coordinated across the Library system.

Performance Standards:

- Financial Management: Stewards the Library's financial resources. Prepares, justifies, and administers the Library's budget. Oversees expenditures and ensures financial accountability.
- Human Capital Management: Builds and manages a diverse and inclusive workforce. Ensures that employees are appropriately recruited, selected, appraised, and rewarded.
- Technology Management: Keeps current on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.
- Entrepreneurship: Positions the Library for optimal success by identifying new opportunities; builds the organization's capacity to improve products or services; and willing to take calculated risks.

Performance Rating	5	4	3	2	1
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COMMENTS:

## PERFORMANCE ELEMENT 4: BUILDING COALITIONS

This core element involves the ability to build coalitions internally and with state and local governments, municipal corporations, non-profit and private sector organizations, and professional affiliations to achieve common goals; earns public trust in the Library.

### Performance Standards:

- Partnering: Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.
- Political Savvy: Identifies the internal and external politics that impact the work of the Library. Perceives organizational and political reality and acts accordingly.
- Influencing/Negotiating: Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.
- External Awareness: Understands and keeps up to-date on local and national policies and trends that affect the Library and shape stakeholders' views; aware of the Library's impact on community.

Performance Rating	5	4	3	2	1

### COMMENTS:



## PERFORMANCE ELEMENT 5: PROMOTING EQUITY

This core element involves modeling a commitment toward meeting the organization's DEI goals. Demonstrated ability to provide an inclusive work environment that empowers individuals to actively participate in decision making and have their contributions valued.

### Performance Standards:

- Celebrates Diversity: Helps to inspire an organizational commitment toward honoring diversity in all of its dimensions and places a high priority on embracing and celebrating differences.
- Inclusive Environment: Fosters an inclusive workplace where individual differences are welcomed, valued, and deemed essential to achieving the vision and mission of the Library.
- Racial Equity: Understands and acknowledges how institutional and systemic racism has manifested in the Library; works to eradicate its effects by pursuing more equitable outcomes.
- Community Outreach: Ensures that marginalized populations and communities of color have access and opportunity to participate in and take full advantage of Library programs and services.

Performance Rating	5	4	3	2	1

### COMMENTS:

## PERFORMANCE ELEMENT 6: PRODUCING RESULTS

This core element involves the ability to meet organizational goals and customer expectations. Inherent to this is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and weighing risks properly.

### Performance Standards:

- Accountability: Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Delegates work responsibly. Accepts responsibility for mistakes.
- Customer Service: Anticipates and meets the needs of internal and external customers. Delivers high-quality products and services, is committed to continuous improvement.
- Decisiveness: Makes well-informed and timely decisions, even when solutions produce unpleasant consequences; perceives the impact and implications of decisions.
- Problem-Solving: Identifies and analyzes problems; generates and evaluates alternative solutions; makes recommendations and/or decisions.

Performance Rating	5	4	3	2	1

### COMMENTS:

**SUMMARY RATING:**

	5	4	3	2	1	OVERALL RATING
EFFECTING CHANGE						
LEADING PEOPLE						
MANAGING OPERATIONS						
BUILDING COALITIONS						
PROMOTING EQUITY						
PRODUCING RESULTS						
OVERALL SCORE						

**ADDITIONAL COMMENTS:**

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**Library Board of Trustees President Signature/Date**

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**Board Member Signature/Date**

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**Board Member Signature/Date**

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**Board Member Signature/Date**

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**Board Member Signature/Date**

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**Board Member Signature/Date**

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**Board Member Signature/Date**

**IndyPL Values – Final Draft Definitions (v7.7.2020)**

**(A) = Aspirational Value**

**(C) = Core**

**Adaptability (A)**

Being proactive, nimble, and innovative, with the flexibility to anticipate and respond to change quickly and positively

**Communication (A)**

Actively listening and ensuring an equitable and timely flow of information to and from patrons and colleagues that is clear, consistent, honest, open, and respectful

**Diversity (C) (A)**

Recognizing and valuing all the ways in which people differ, both seen and unseen, while embracing all the characteristics that make one individual or group different or the same from another

**Equity (A)**

Providing fair and just treatment, allocation of resources, opportunity and advancement while recognizing the historical exclusion of marginalized people and striving to identify and eliminate barriers that prevent full participation and success

**Inclusiveness (C) (A)**

Intentionally fostering an environment, collection, and services where everyone is treated with unbiased consideration and where all are valued

**Racial Equity (A)**

Understanding and creating the condition, where one's race/ethnicity can no longer be used as a predictor of how one fares by intentionally evaluating and eliminating policies, practices, attitudes, and cultural messages, internally and externally, that reinforce differential outcomes by race/ethnicity

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**Accessibility (C)**

Making information resources and public services equitably available and usable to our community, accounting for differences in ability, technology, and/or location in our service area

## **Service (C)**

Providing diverse and engaging resources, programs, and hospitality delivered with respect and thoughtfulness designed to meet real needs and interests identified in and by our communities

## **People-oriented (C)**

Recognizing the value of people and building organizational practices and processes focused on enhancing the interactions amongst patrons, staff, and community partners

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## **Mission Statement**

The Indianapolis Public Library enriches lives **for all** and builds communities through lifelong learning.

*Other considerations for the Mission Statement:*

**The Indianapolis PL builds communities using knowledge, facilities, and access.**

- "Marion County residents" instead of for all
- Add inspire OR advancing knowledge
- "strengthens" vs builds – build says these things do not already exist
- inspiring curiosity, connections and a quest for lifelong learning.
- "Discovery" instead of knowledge
- Including equity or access?

Here's the mission statement for NYPL: The mission of The New York Public Library is to inspire lifelong learning, advance knowledge, and strengthen our communities. To deliver on this promise, we rely on three great resources—our staff, our collections, and our physical and digital spaces—to provide opportunities for learning and growth to all New Yorkers.

Speedway's public library mission statement: The Speedway Public Library's ongoing mission is: To provide all Town of Speedway residents open access to diverse media resources, and to respond to the informational, cultural, educational, civic, and recreational needs of the Speedway community.

Yes!

## **Vision Statement**

To be a center of knowledge, community life, and innovation **for all** in Indianapolis.

*Other considerations for the Vision Statement:*

- "Marion County residents" instead of for all
- Do we want to be specific or general with the targeted patron group?
- Too broad
- Impacts of Covid-19
- Are we innovative? What does that mean?

The Public Library of Cincinnati and Hamilton County Vision Statement:

Excel in customer service

Be the first choice for information

Anticipate and meet changing needs

Assure equitable access to the Library's resources and services

Be a dynamic force in the community

DRAFT



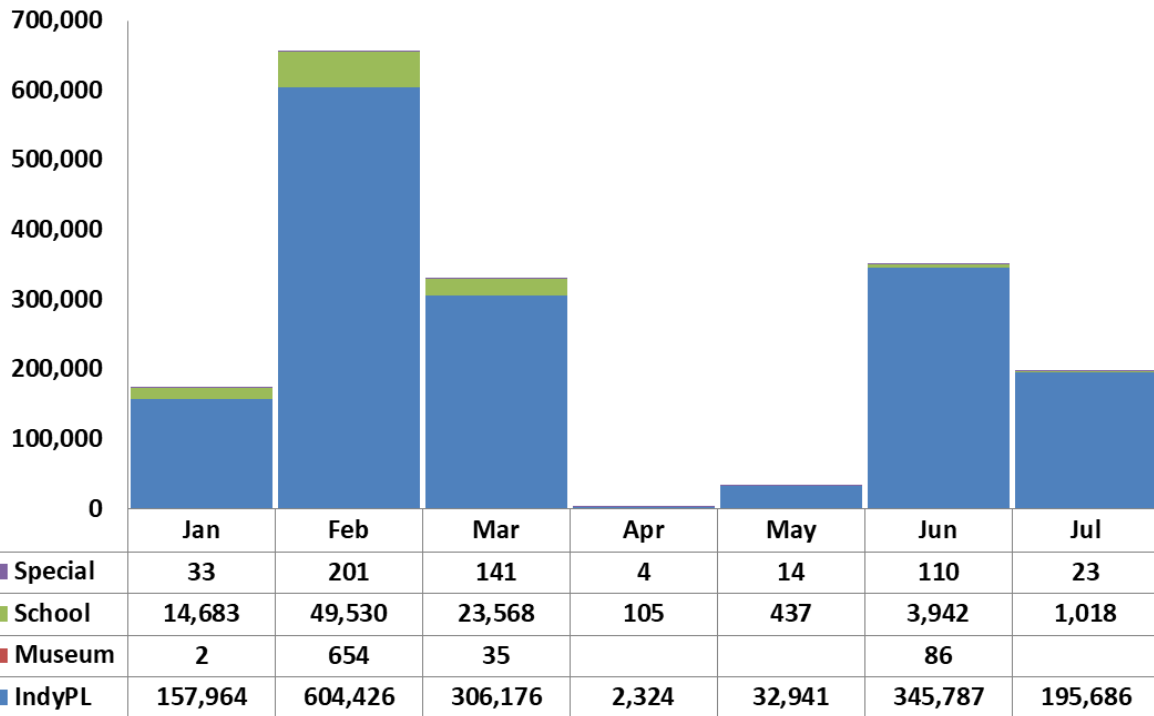
**\*Next Steps for the 2021-2023 Strategic Plan Process (7.13.2020)**

- 1) Full release of Patron/Prospective Patron Survey via patron email and IndyPL social media
- 2) Reminder email to community partner distribution list with special reminder to teachers and other youth serving groups to engage youth in the survey to tell us what their students need and want from the library
- 3) Final version of IndyPL-specific values and Mission and Vision Statements provided by the Board
- 4) Identify most frequent needs and wants from survey responses
- 5) Using surveys, needs research, values, Mission and Vision Statements, etc. identify Strategic Themes (Priorities), and Strategic Results
- 6) Finalize overall presentation approach of the plan (i.e. Strategy Map)
  - a. If the strategy map is used, Strategic Objectives and Perspectives will need to be identified
  - b. Review and approval of the Board
- 7) Create draft plan content to be shared with IndyPL staff and a sample of community partners and obtain feedback
- 8) Incorporate feedback in finalized Strategic Plan content draft
  - a. Review and approval of the Board
- 9) Work with Communications to create final Strategic Plan document

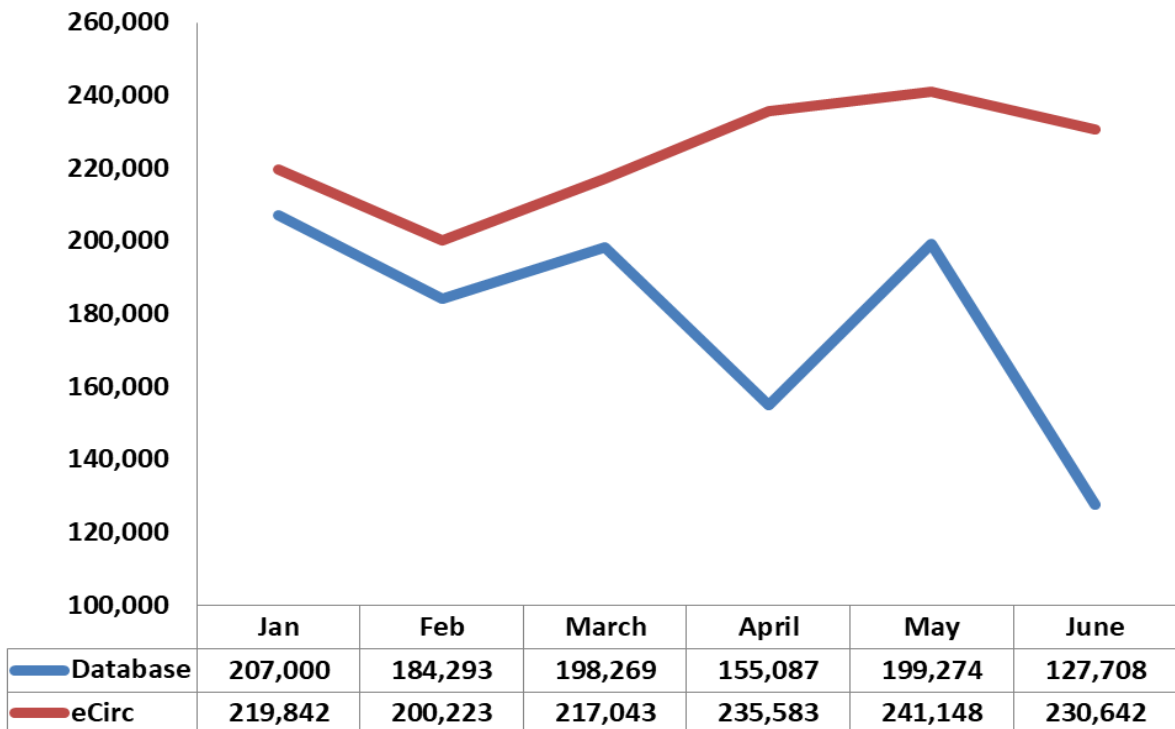
*\*Board feedback, approval, and collaboration will be important and an ongoing part of the process*

# IndyPL Statistics – Mid-July 2020

**Physical Circulation by Location Type and Month (1.20-7.17.2020)**

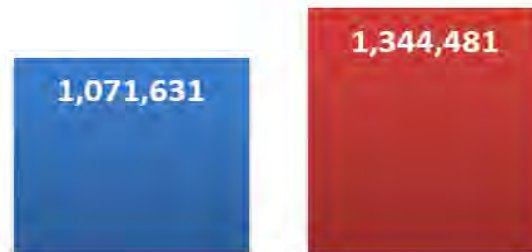


**eCirc and Database Use by Month**



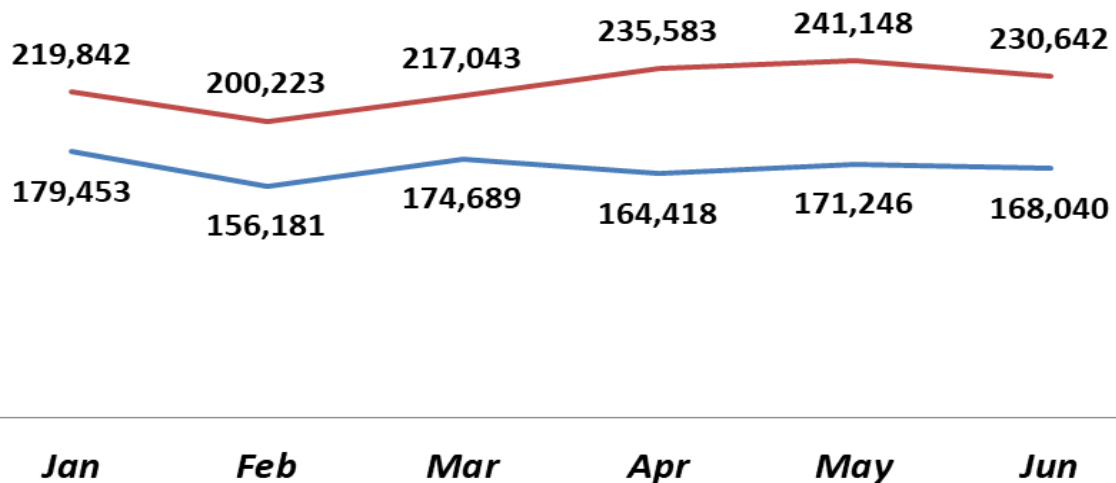
### Total YTD eCirc and Database Usage (through June)

■ Database ■ eCirc



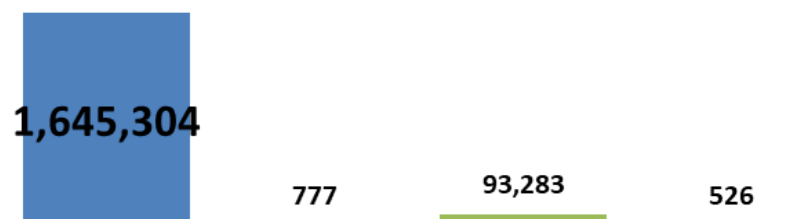
### eCirc Monthly Comparison by Year

— 2019 — 2020

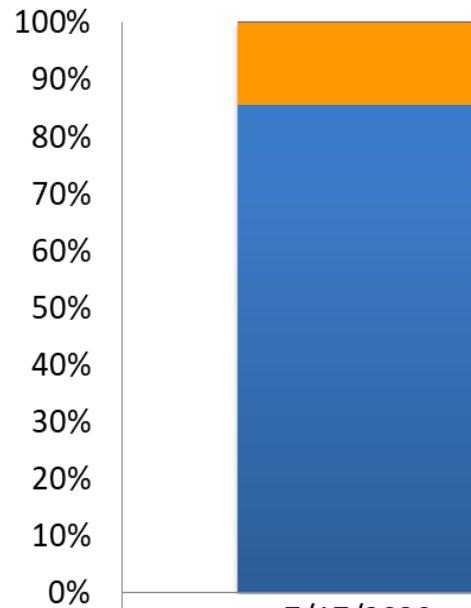


### Total YTD Physical Circulation by Location - 1.20-7.17.2020

■ IndyPL ■ Museum ■ School ■ Special



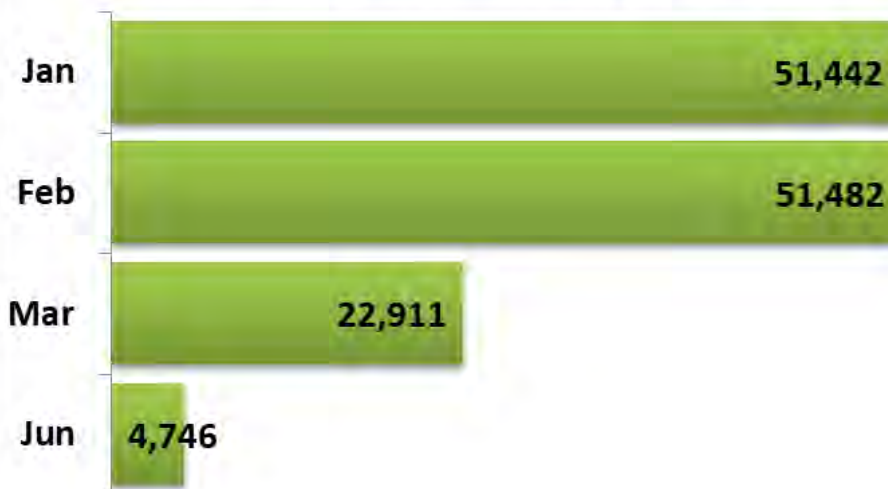
### Count of Active Cardholders by Type

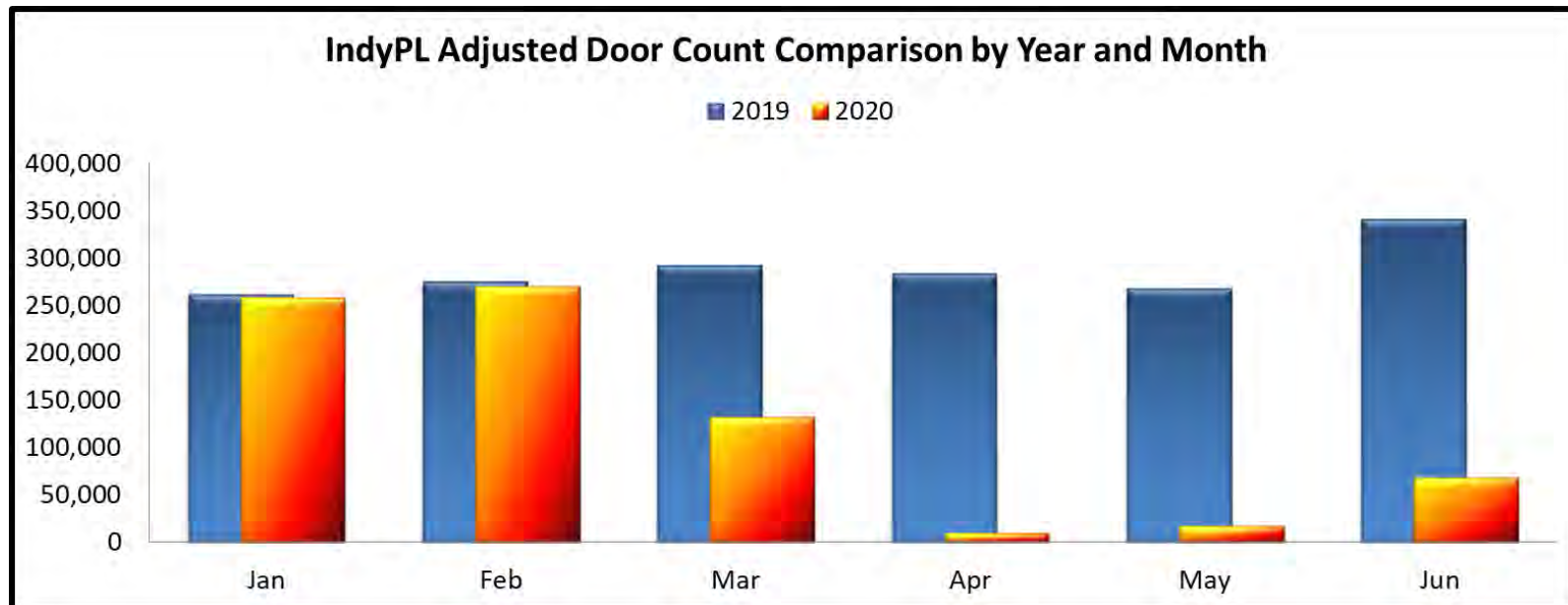
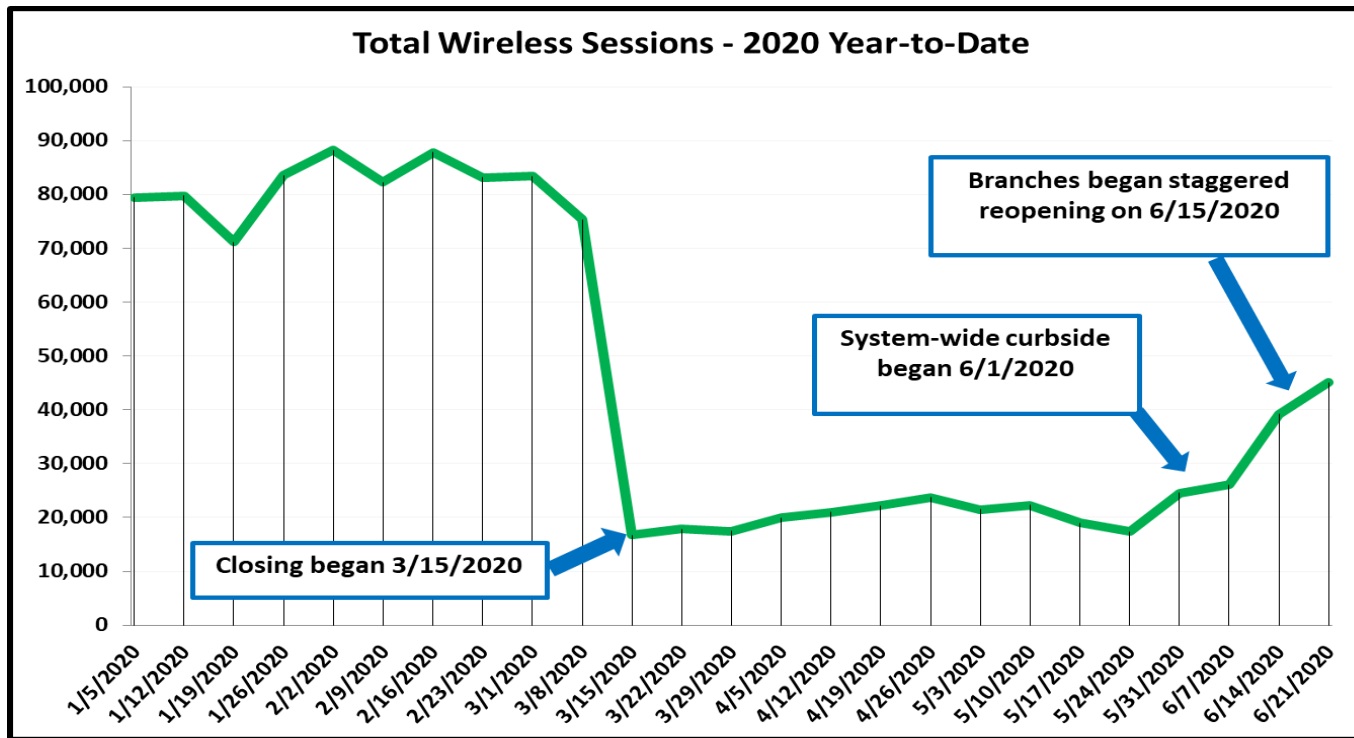


7/17/2020

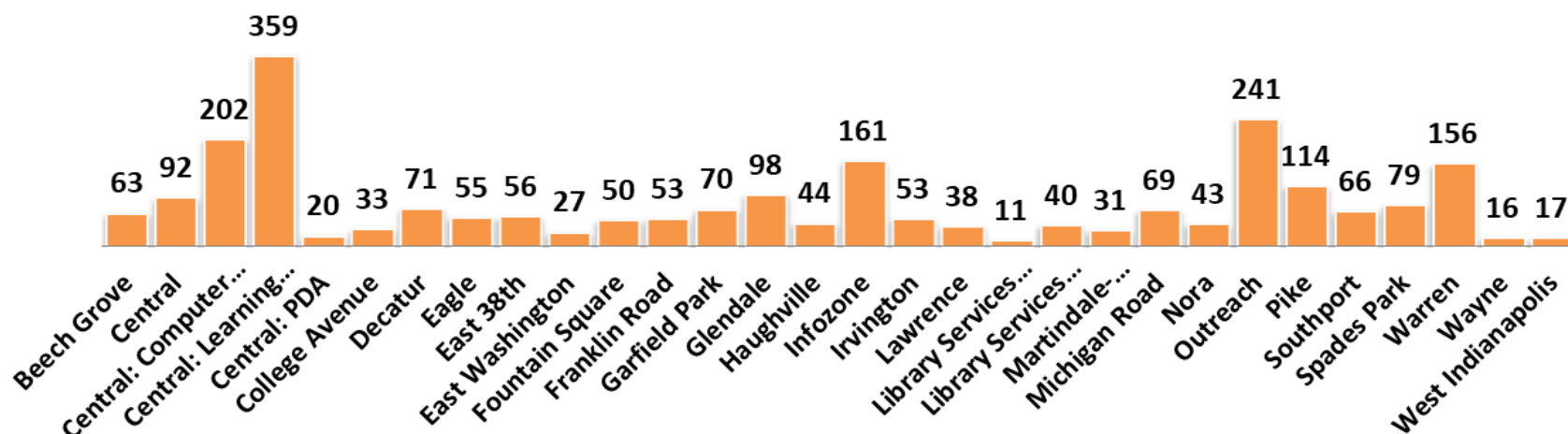
Special	19
Museum	47
School	22,088
IndyPL	130,182

### Total PC Use Hours by Month





### Total Programs Delivered 1.1-7.18.2020 (pulled from the Activities Database on 7.18.2020)



### Total Program Attendance 1.1-7.18.2020 (pulled from Activities Database on 7.18.2020)





## Board Briefing Report

10

**To:** IndyPL Board

**Meeting Date:** 07/27/2020

**From:** The Indianapolis Public Library Foundation

**Subject:** July 2020 Update

**Background:** Every month, the Library Foundation provides an update to the Library Board.

### News

This month, the Library Foundation received a grant from Lilly Endowment Inc. to expand the Library's collection of racial equity materials. It will allow the Library to purchase 4,000 copies of 180 titles in various formats, including material for 100 schools that participate in the Shared System and/or Axis 360. The grant also includes funding to help publicize the expanded collection. We appreciate the Collection Management Team's quick legwork, which enabled us to submit the request in a timely manner. To develop the booklist, Collection Management received valuable feedback and/or resources from Jessica Moore, Nichelle Hayes, Dr. Pat Payne and Dr. Terri Jett. We shared the Library's booklist with Indiana Humanities, which received a separate Lilly Endowment grant to help libraries throughout the state augment or create collections that advance racial equity.

### Donors

The Foundation thanks 185 donors who made gifts last month. The following are our top corporate and foundation contributors. If you should have an opportunity to thank these donors, we would be grateful.

Barnes & Thornburg LLP  
First Merchants Bank  
Indiana Education Savings Authority  
Indiana Humanities  
Indiana University Health  
Miller Summer Mission for Children Fund  
Ritz Charles, Inc.  
The Glick Fund

### **Program Support**

This month, we are proud to provide funding for the following Library programs. All programs are system-wide unless otherwise noted.

### **Children's Programs**

- Pocket Park Storywalk (INFO)
- Preschool Packaged Programs
- Read to Me, Please (INFO)
- Teen Advisory Groups (PIK, MIC, WRN)

### **Cultural**

- Adult Book Discussions (GLD)
- Art for Families
- Branded Giveaways
- Center for Black Literature & Culture (includes CBLC Book Fest 2020 & CBLC 3<sup>rd</sup> Anniversary)
- Concert Series
- Youth Art Series (E38)
- ISCR Lecture Series (CEN)
- Preschool Packaged Programs
- Rainbow Reads Book Club
- Snacks and Stories
- Teen Spaces (WRN)
- Trunk or Treat (EWA and SPK)
- Teen Anime Club (WRN)
- YA Author Visits

### **Collections/IT**

- Book Club in a Bag

### **Lifelong Learning**

- Coding and Tech for Adults

### **Capital/Branch**

- Branch Re-Opening Celebration (WAY)





## Board Action Request

11a1

**To:** IMCPL Board

**Meeting Date:** July 27, 2020

**From:** M. Jacqueline Nytes, CEO

**Approved by the  
Library Board:**

**Effective Date:** July 27, 2020

**Subject:** Finances, Personnel and Travel Resolution 29-2020

**Recommendation:** Approve Finances, Personnel and Travel Resolution 29-2020

**Background:** The Finances, Personnel and Travel Resolution 29-2020 is a routine procedural action that appoints new salaried hires, approves new hourly hires, compensation changes, resignations, and travel and financial-related claims and warrants.

**Strategic/Fiscal Impact:** The financial impact has already been accounted for in the budget for 2020.

**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY**  
**RESOLUTION REGARDING FINANCES, PERSONNEL AND TRAVEL**

**RESOLUTION 29 - 2020**

WHEREAS, the Chief Executive Officer of the Library and the Treasurer of the Library do hereby jointly certify to the Board that the following claims have been allowed and said warrants issued during the month of June 2020 pursuant to the Annual Resolution.

THEREFORE, BE IT RESOLVED, that the Board has considered and now confirms these acts lawfully taken by the Chief Executive Officer and the Treasurer as lawful acts on behalf of the Library.

Warrant numbers **73079** through **73197** for a total of  
**\$9,579,366.25** were issued from the operating bank accounts.

EFT numbers **1355** through **1370** and  
**302897** through **302961**  
**302964** through **302977** for a total of  
**\$1,371,938.37** were issued from the operating bank accounts.

Warrant number through for a total of  
**\$0.00** was issued from the fines bank account.

Warrant numbers **7670** through **7683** for a total of  
**\$190,985.53** were issued from the gift bank account.

**302962** through **302963** and  
EFT numbers **302978** for a total of  
**\$29,389.24** were issued from the gift bank account.

Warrant numbers **268992** through **269002** and  
**001376** for a total of  
**\$3,637.45** were issued for employee payroll

Direct deposits numbers **240001** through **240537** and  
**260001** through **260545** for a total of

**\$1,005,398.76** were issued for employee payroll  
Electronic transfers for payment of taxes and garnishments for a total of  
**\$380,626.38** were issued for employee payroll

AND WHEREAS, the Chief Executive Officer of the Library and the Treasurer of the Library do hereby jointly certify to the Board that the following personnel actions have been taken pursuant to the Annual Resolution.

THEREFORE, BE IT FURTHER RESOLVED, that the Board has considered and now confirms these acts lawfully taken by the Chief Executive Officer of the Library and the Treasurer of the Library as lawful acts on behalf of the Library.

AND WHEREAS, the Chief Executive Officer of the Library does hereby certify that the attached schedule of travel and training has been authorized and is within the appropriations previously approved by the Board.

THEREFORE, BE IT FURTHER RESOLVED, that the Board has considered and now confirms these acts lawfully taken by the Chief Executive Officer of the Library and the Treasurer of the Library as lawful acts on behalf of the Library.

\_\_\_\_\_  
Raymond J. Biederman

\_\_\_\_\_  
Patricia A. Payne

\_\_\_\_\_  
Curtis W. Bigsbee

\_\_\_\_\_  
Rev. T.D. Robinson

\_\_\_\_\_  
Dr. Terri Jett

\_\_\_\_\_  
Judge Jose D. Salinas

I have examined the within claims and certify they are accurate:

\_\_\_\_\_  
Dr. Khaula Murtadha

\_\_\_\_\_  
Ijeoma Dike-Young  
Treasurer of the Library Board

**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY**  
**BANK REGISTER**  
**OPERATING ACCOUNTS**

<b>No.</b>	<b>Type</b>	<b>Date</b>	<b>Reference</b>	<b>Amount</b>
1355	EFT	06/15/2020	LINDSAY HOLLEY	85.60
1356	EFT	06/15/2020	MELISSA CHILSON	85.60
1357	EFT	06/15/2020	ANDREA CROWDER	85.60
1358	EFT	06/15/2020	SCOTT DONAHUE	85.60
1359	EFT	06/15/2020	CRYSTAL HENDERSON	85.60
1360	EFT	06/15/2020	ALLYSON MARSHALL	3,106.50
1361	EFT	06/05/2020	PUBLIC EMPLOYEES' RETIREMENT FUND OF INDIANA	105,490.03
1362	EFT	06/11/2020	FIDELITY INVESTMENTS	5,208.58
1363	EFT	06/11/2020	AMERICAN UNITED LIFE INSURANCE CO	3,765.69
1364	EFT	06/15/2020	PUBLIC EMPLOYEES' RETIREMENT FUND OF INDIANA	101,963.56
1365	EFT	06/19/2020	ADP, INC.	9,092.03
1366	EFT	06/19/2020	ADP, INC.	966.00
1367	EFT	06/22/2020	INDIANA DEPARTMENT OF REVENUE	9.90
1368	EFT	06/25/2020	FIDELITY INVESTMENTS	6,008.58
1369	EFT	06/25/2020	AMERICAN UNITED LIFE INSURANCE CO	3,765.69
1370	EFT	06/29/2020	PUBLIC EMPLOYEES' RETIREMENT FUND OF INDIANA	102,914.24
73079	CHECK	06/04/2020	ANTHEM INSURANCE COMPANIES, INC	310,500.00
73080	CHECK	06/04/2020	ARCHITECTURAL GLASS & METAL CO. INC	17,227.00
73081	CHECK	06/04/2020	BLACKMORE & BUCKNER ROOFING	620.30
73082	CHECK	06/04/2020	CITIZENS ENERGY GROUP	10,050.34
73083	CHECK	06/04/2020	DRIESSEN WATER INC	13.88
73084	CHECK	06/04/2020	DECO ASSOCIATES, INC	112,558.00
73085	CHECK	06/04/2020	ELIZABETH FRANKLIN	1,495.58
73086	CHECK	06/04/2020	FORCE TECHNOLOGY SOLUTIONS, LLC	625.00
73087	CHECK	06/04/2020	GALE GROUP THE	7,338.81
73088	CHECK	06/04/2020	INDY CURB APPEAL ASPHALT, INC	1,596.00
73089	CHECK	06/04/2020	JACKSON SYSTEMS, LLC	98.00
73090	CHECK	06/04/2020	LEHMAN'S INC. OF ANDERSON	539.00
73091	CHECK	06/04/2020	MIDWEST ASSOCIATES OF INDIANAPOLIS, LLC	3,700.00
73092	CHECK	06/04/2020	MIDWEST REMEDIATION, INC.	3,410.75
73093	CHECK	06/04/2020	PAYPAL	54.10
73094	CHECK	06/04/2020	ONE DIVERSIFIED, LLC	6,780.03
73095	CHECK	06/04/2020	IMAGE 360 INDIANAPOLIS NORTHWEST	1,548.43
73096	CHECK	06/04/2020	THE HARMON HOUSE L.L.C.	1,250.00
73097	CHECK	06/04/2020	VANCO	150.50
73098	CHECK	06/04/2020	YOUR AUTOMATIC DOOR COMPANY	846.00
73099	CHECK	06/10/2020	AFSCME COUNCIL IKOC 962	2,607.81
73100	CHECK	06/10/2020	APEX BENEFITS GROUP	12,500.00
73101	CHECK	06/10/2020	AT&T	1,506.23
73102	CHECK	06/10/2020	AT&T	1,903.80
73103	CHECK	06/10/2020	BEECH GROVE SEWAGE WORKS	167.28
73104	CHECK	06/10/2020	CITIZENS ENERGY GROUP	5,829.28
73105	CHECK	06/10/2020	CLARK, QUINN, MOSES, SCOTT & GRAHN, LLP	1,451.25
73106	CHECK	06/10/2020	DEB LAMBERT	299.54
73107	CHECK	06/10/2020	DUDE SOLUTIONS INC	1,981.31
73108	CHECK	06/10/2020	GANNETT SATELLITE INFORMATION NETWORK, LLC	169.64
73109	CHECK	06/10/2020	GOVERNMENT FINANCE OFFICERS ASSOCIATION	549.00
73110	CHECK	06/10/2020	INDIANAPOLIS POWER & LIGHT COMPANY	46,870.29
73111	CHECK	06/10/2020	KI	32,375.87
73112	CHECK	06/10/2020	MARION COUNTY TREASURER	633.19
73113	CHECK	06/10/2020	MICHAEL A. REUTER CONSULTING SERVICES, INC.	1,400.00
73114	CHECK	06/10/2020	PAYPAL	54.10
73115	CHECK	06/10/2020	IMCPL - POWERS & SONS - RETAINAGE	34,126.20
73116	CHECK	06/10/2020	REPUBLIC WASTE SERVICES	7,931.40
73117	CHECK	06/10/2020	RFS GROUP LLC	286.00
73118	CHECK	06/10/2020	ROWLAND DESIGN, INC.	3,528.06
73119	CHECK	06/10/2020	SCHMIDT ASSOCIATES, INC	19,070.60
73120	CHECK	06/10/2020	THE BANK OF NEW YORK MELLON TRUST	5,174,611.88
73121	CHECK	06/10/2020	U.S. BANK ST. PAUL	3,140,342.29

No.	Type	Date	Reference	Amount
73122	CHECK	06/10/2020	WW NORTH AMERICA HOLDINGS, INC.	5,000.00
73123	CHECK	06/18/2020	1-800MD, LLC	920.50
73124	CHECK	06/18/2020	ADP, INC.	6,533.10
73125	CHECK	06/18/2020	AMERICAN UNITED LIFE INSURANCE CO	3,998.50
73126	CHECK	06/18/2020	AMERICAN UNITED LIFE INSURANCE CO	3,324.13
73127	CHECK	06/18/2020	ASI SIGNAGE INNOVATIONS	14,340.00
73128	CHECK	06/18/2020	ATC GROUP SERVICES, LLC	951.50
73129	CHECK	06/18/2020	BUSINESS FURNITURE CORPORATION	17,128.44
73130	CHECK	06/18/2020	BRIGHT HOUSE NETWORKS	89.99
73131	CHECK	06/18/2020	CITIZENS ENERGY GROUP	598.70
73132	CHECK	06/18/2020	CLARK, QUINN, MOSES, SCOTT & GRAHN, LLP	30,363.75
73133	CHECK	06/18/2020	CONSTELLATION NEWENERGY - GAS DIVISION, LLC	1,471.84
73134	CHECK	06/18/2020	DRIESSEN WATER INC	49.38
73135	CHECK	06/18/2020	DACO GLASS & GLAZING INC	420.00
73136	CHECK	06/18/2020	DECO ASSOCIATES, INC	4,054.00
73137	CHECK	06/18/2020	DELL MARKETING L.P.	1,460.19
73138	CHECK	06/18/2020	DYNAMARK GRAPHICS GROUP	434.59
73139	CHECK	06/18/2020	EXHIBIT HOUSE, INC.	7,153.78
73140	CHECK	06/18/2020	EXPODESIGN, INC.	3,917.39
73141	CHECK	06/18/2020	GRM INFORMATION MANAGEMENT SERVICES OF INDIANA	287.35
73142	CHECK	06/18/2020	GUARDIAN	17,447.37
73143	CHECK	06/18/2020	HOOSIER MOTOR CLUB	85.60
73144	CHECK	06/18/2020	IBJ MEDIA	2,800.00
73145	CHECK	06/18/2020	TALKING TECH	7,448.00
73146	CHECK	06/18/2020	IMAGE 360 INDIANAPOLIS NORTHWEST	14,014.50
73147	CHECK	06/18/2020	INDIANA DEPT OF WORKFORCE DEVELOP.	2,895.17
73148	CHECK	06/18/2020	JUST COOKIES	519.48
73149	CHECK	06/18/2020	LEGALSHIELD	313.25
73150	CHECK	06/18/2020	MACDOUGALL PIERCE CONSTRUCTION	131,166.31
73151	CHECK	06/18/2020	I-MCPL - MACDOUGALL PIERCE - RETAINAGE	14,574.03
73152	CHECK	06/18/2020	MARGARET WARD	28.77
73153	CHECK	06/18/2020	OCLC INC	31,071.42
73154	CHECK	06/18/2020	OPEN STORAGE SOLUTIONS	2,950.00
73155	CHECK	06/18/2020	PAMELA WHITE	85.60
73156	CHECK	06/18/2020	PROFESSIONAL GARAGE DOOR SYSTEMS	1,439.00
73157	CHECK	06/18/2020	REGIONS BANK PURCHASING CARD	3,626.35
73158	CHECK	06/18/2020	REPROGRAPHIX, INC	126.00
73159	CHECK	06/18/2020	SONDHI SOLUTIONS	573.93
73160	CHECK	06/18/2020	SPRINT PCS	4,066.19
73161	CHECK	06/18/2020	TASHA BECKWITH	2,000.00
73162	CHECK	06/18/2020	THE HARMON HOUSE L.L.C.	615.00
73163	CHECK	06/18/2020	THE INDIANAPOLIS PUBLIC LIBRARY FOUNDATION	3,009.56
73164	CHECK	06/18/2020	WALKER DISPLAY, INC	295.93
73165	CHECK	06/18/2020	WILLIAM OVERTON	14,350.00
73166	CHECK	06/25/2020	AT&T	1,996.87
73167	CHECK	06/25/2020	AT&T	2,043.46
73168	CHECK	06/25/2020	AT&T	0.35
73169	CHECK	06/25/2020	AT&T MOBILITY	666.29
73170	CHECK	06/25/2020	BIANCA LYNNE HARRIS	100.00
73171	CHECK	06/25/2020	BIBLIOCOMMONS, INC.	92,483.99
73172	CHECK	06/25/2020	BRIGHT IDEAS IN BROAD RIPPLE	315.00
73173	CHECK	06/25/2020	CENTRAL TECHNOLOGY INC	14,738.00
73174	CHECK	06/25/2020	CHAIN STORE GUIDES, LLC	772.00
73175	CHECK	06/25/2020	CXTEC	41,943.18
73176	CHECK	06/25/2020	DUDE SOLUTIONS INC	1,981.31
73177	CHECK	06/25/2020	DYNAMARK GRAPHICS GROUP	1,921.00
73178	CHECK	06/25/2020	FOUNTAIN BLOCK DEVELOPMENT L.P.	2,482.00
73179	CHECK	06/25/2020	GALE GROUP THE	324.90
73180	CHECK	06/25/2020	HALL, RENDER, KILLIAN, HEATH & LYMAN, P.C.	297.00
73181	CHECK	06/25/2020	INDIANA STATE LIBRARY	1,528.00
73182	CHECK	06/25/2020	INSIGHT PUBLIC SECTOR, INC	1,622.04
73183	CHECK	06/25/2020	JASON DAVIS	46.43
73184	CHECK	06/25/2020	JEROME L. REIDE	100.00

No.	Type	Date	Reference	Amount
73185	CHECK	06/25/2020	K & K FENCE CO., INC	5,210.00
73186	CHECK	06/25/2020	KEEP INDIANAPOLIS BEAUTIFUL, INC.	11,700.00
73187	CHECK	06/25/2020	LUNA LANGUAGE SERVICES	555.76
73188	CHECK	06/25/2020	NICOLA MITCHELL	1,000.00
73189	CHECK	06/25/2020	OCCUPATIONAL HEALTH CENTERS OF THE SOUTHWEST, P.A.	108.50
73190	VOID	06/25/2020	OFFICEWORKS	13,608.90
73191	CHECK	06/25/2020	PROFESSIONAL GARAGE DOOR SYSTEMS	18,492.00
73192	CHECK	06/25/2020	SCHMIDT ASSOCIATES, INC	14,053.40
73193	CHECK	06/25/2020	IMCPL - STENZ CONSTRUCTION CORP. -- RETAINAGE	25,620.03
73194	CHECK	06/25/2020	THE HARMON HOUSE L.L.C.	5,385.00
73195	CHECK	06/25/2020	THE INDIANAPOLIS PUBLIC LIBRARY FOUNDATION	1,883.90
73196	CHECK	06/25/2020	UNITED NATIONS PUBLICATIONS	170.51
73197	CHECK	06/29/2020	U.S. POSTAL SERVICE	1,230.00
302897	EFT	06/04/2020	ABELL ELEVATOR SERVICE CO	1,225.00
302898	EFT	06/04/2020	ACORN DISTRIBUTORS, INC	322.12
302899	EFT	06/04/2020	BACKGROUND BUREAU INC.	335.00
302900	EFT	06/04/2020	BAKER & TAYLOR	17,700.85
302901	EFT	06/04/2020	DELTA DENTAL	11,996.15
302902	EFT	06/04/2020	FINELINE PRINTING GROUP	586.00
302903	EFT	06/04/2020	FLEET CARE, INC.	485.45
302904	EFT	06/04/2020	G4S SECURE SOLUTIONS (USA) INC.	40,584.76
302905	EFT	06/04/2020	GRAINGER	270.48
302906	EFT	06/04/2020	INDIANA PLUMBING AND DRAIN LLC	1,844.00
302907	EFT	06/04/2020	INGRAM LIBRARY SERVICES	4,443.81
302908	EFT	06/04/2020	LOCKERBIE SQUARE CABINET CO	860.00
302909	EFT	06/04/2020	MARK'S VACUUM & JANITORIAL SUPPLIES	72.00
302910	EFT	06/04/2020	OFFICE360	18,694.70
302911	EFT	06/04/2020	OVERDRIVE INC	9,844.36
302912	EFT	06/04/2020	P.V. SUPA INC.	14,199.00
302913	EFT	06/04/2020	PERFECTION GROUP, INC.	1,555.72
302914	EFT	06/04/2020	RICHARD LOPEZ ELECTRICAL, LLC	17,150.55
302915	EFT	06/04/2020	RYAN FIRE PROTECTION, INC	629.00
302916	EFT	06/04/2020	STENZ MANAGEMENT COMPANY, INC	7,234.79
302917	EFT	06/04/2020	STUART'S HOUSEHOLD FURNITURE MOVING & STORAGE	6,935.15
302918	EFT	06/04/2020	TITAN ASSOCIATES	18,987.17
302919	EFT	06/04/2020	ULINE	320.17
302920	EFT	06/04/2020	VERITIV OPERATING COMPANY	1,426.77
302921	EFT	06/10/2020	BAKER & TAYLOR	407.25
302922	EFT	06/10/2020	BAKER & TAYLOR	4,894.35
302923	EFT	06/10/2020	BAKER & TAYLOR	226.96
302924	EFT	06/10/2020	BRODART COMPANY CONTINUATIONS	65.94
302925	EFT	06/10/2020	CITIZENS THERMAL ENERGY	11,819.56
302926	EFT	06/10/2020	INGRAM LIBRARY SERVICES	112.54
302927	EFT	06/10/2020	J&G CARPET PLUS	525.00
302928	EFT	06/10/2020	MARK'S VACUUM & JANITORIAL SUPPLIES	477.00
302929	EFT	06/10/2020	MICHAEL R. TWYMAN	3,333.33
302930	EFT	06/10/2020	MOORE INFORMATION SERVICES, INC	251.00
302931	EFT	06/10/2020	OVERDRIVE INC	18,078.87
302932	EFT	06/10/2020	POWERS & SONS CONSTRUCTION	307,135.80
302933	EFT	06/10/2020	STAPLES	6,181.21
302934	EFT	06/18/2020	ABELL ELEVATOR SERVICE CO	87.50
302935	EFT	06/18/2020	ACORN DISTRIBUTORS, INC	2,182.05
302936	EFT	06/18/2020	BAKER & TAYLOR	151.31
302937	EFT	06/18/2020	BAKER & TAYLOR AXIS 360 E-BOOKS	25,560.03
302938	EFT	06/18/2020	BAKER TILLY VIRCHOW KRAUSE, LLP	508.75
302939	EFT	06/18/2020	CDW GOVERNMENT, INC.	29,948.40
302940	EFT	06/18/2020	CENTRAL SECURITY & COMMUNICATIONS	4,062.00
302941	EFT	06/18/2020	CITIZENS THERMAL ENERGY	32,619.31
302942	EFT	06/18/2020	DANCORP INC. DBA DANCO	500.00
302943	EFT	06/18/2020	DEMCO, INC.	10,167.92
302944	EFT	06/18/2020	DENISON PARKING	11,839.59
302945	EFT	06/18/2020	FINELINE PRINTING GROUP	14,172.00
302946	EFT	06/18/2020	FLEET CARE, INC.	421.01

<b>No.</b>	<b>Type</b>	<b>Date</b>	<b>Reference</b>	<b>Amount</b>
302947	EFT	06/18/2020	G4S SECURE SOLUTIONS (USA) INC.	21,002.79
302948	EFT	06/18/2020	GRAINGER	549.46
302949	EFT	06/18/2020	INDIANA PLUMBING AND DRAIN LLC	327.00
302950	EFT	06/18/2020	J&G CARPET PLUS	2,125.00
302951	EFT	06/18/2020	OVERDRIVE INC	55,339.41
302952	EFT	06/18/2020	PERFECTION GROUP, INC.	105.00
302953	EFT	06/18/2020	RICHARD LOPEZ ELECTRICAL, LLC	5,057.00
302954	EFT	06/18/2020	RICOH USA, INC. - 12882	20,871.88
302955	EFT	06/18/2020	RICOH USA, INC. - 12882	4,699.42
302956	EFT	06/18/2020	STAPLES	4,493.33
302957	EFT	06/18/2020	STENZ MANAGEMENT COMPANY, INC	359.36
302958	EFT	06/18/2020	STUART'S HOUSEHOLD FURNITURE MOVING & STORAGE	5,897.14
302959	EFT	06/18/2020	TITAN ASSOCIATES	55,516.06
302960	EFT	06/18/2020	TYLER TECHNOLOGIES, INC.	3,187.50
302961	EFT	06/18/2020	ULINE	319.71
302964	EFT	06/25/2020	AUSTIN BOOK SALES	224.25
302965	EFT	06/25/2020	BAKER & TAYLOR	57.04
302966	EFT	06/25/2020	BAKER & TAYLOR	203.23
302967	EFT	06/25/2020	BAKER & TAYLOR	847.59
302968	EFT	06/25/2020	CDW GOVERNMENT, INC.	692.34
302969	EFT	06/25/2020	EBSCO INFORMATION SERVICES	13.96
302970	EFT	06/25/2020	FINELINE PRINTING GROUP	437.00
302971	EFT	06/25/2020	GLENDALE MALL	25,895.83
302972	EFT	06/25/2020	INDPLS-MARION COUNTY PUBLIC LIBRARY	97,401.55
302973	EFT	06/25/2020	IRVINGTON PRESBYTERIAN CHURCH	937.50
302974	EFT	06/25/2020	KLINES QUALITY WATER, INC	68.75
302975	EFT	06/25/2020	LEVEL (3) COMMUNICATIONS, LLC	6,293.95
302976	EFT	06/25/2020	OVERDRIVE INC	51,614.84
302977	EFT	06/25/2020	P.V. SUPA INC.	1,250.00
				<u>10,964,913.52</u>

**Summary by Transaction Type:**

<b>Computer Check</b>	<b>\$ 9,579,366.25</b>
<b>EFT Check</b>	<b>\$ 1,371,938.37</b>
<b>Total Payments</b>	<b>\$ 10,951,304.62</b>
<b>Total Voided Items</b>	<b>\$ 13,608.90</b>

**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY**  
**BANK REGISTER**  
**GIFT ACCOUNT**

<b>No.</b>	<b>Type</b>	<b>Date</b>	<b>Reference</b>	<b>Amount</b>
7670	CHECK	06/04/2020	CAMPGRL LLC	55.00
7671	CHECK	06/04/2020	IRVINGTON BRANCH (PETTY CASH)	58.21
7672	CHECK	06/04/2020	LINDSAY HADDIX	14.54
7673	CHECK	06/04/2020	RAYMOND GEDDES & COMPANY, INC.	21,802.96
7674	CHECK	06/04/2020	THE INDIANAPOLIS PUBLIC LIBRARY FOUNDATION	7,720.95
7675	CHECK	06/10/2020	CREATIVE AQUATIC SOLUTIONS, LLC	762.05
7676	CHECK	06/10/2020	THE INDIANAPOLIS PUBLIC LIBRARY FOUNDATION	900.00
7677	CHECK	06/18/2020	ARTS FOR LEARNING INDIANA	590.00
7678	CHECK	06/18/2020	BRIGHT IDEAS IN BROAD RIPPLE	6,365.00
7679	CHECK	06/18/2020	LUSK ENTERTAINMENT GROUP, INC	2,000.00
7680	CHECK	06/25/2020	BRIGHT IDEAS IN BROAD RIPPLE	63,755.80
7681	CHECK	06/25/2020	INDIANA UNIVERSITY RESEARCH	86,111.11
7682	CHECK	06/25/2020	INDIANA WRITER'S CENTER	800.00
7683	CHECK	06/25/2020	JUDY GRAY	49.91
302962	EFT	06/18/2020	INDPLS-MARION COUNTY PUBLIC LIBRARY	2,042.17
302963	EFT	06/18/2020	INGRAM LIBRARY SERVICES	22,853.31
302978	EFT	06/25/2020	INGRAM LIBRARY SERVICES	4,493.76
<b>Total</b>				<b>220,374.77</b>

**Summary by Transaction Type:**

<b>Computer Check</b>	<b>\$ 190,985.53</b>
<b>EFT Check</b>	<b>\$ 29,389.24</b>
<b>Total Payments</b>	<b>\$ 220,374.77</b>
<b>Total Voided Items</b>	<b>\$ -</b>

**INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY**

**July 27, 2020**

**PERSONNEL ACTIONS**

**RESOLUTION 29 -2020**

**NEW HIRES: (None-Reported)**

**INTERNAL CHANGES:**

- Valerie Cobb from Library Assistant II, Part-Time, Beech Grove to Library Assistant II, Full-Time, West Indianapolis, No Change in Pay, Effective: June 21, 2020
- Heather Click from Page, Lawrence to Page, Outreach, No Change in Pay, Effective: June 21, 2020
- Ciera Hudson from Page, Franklin Road, \$10.00 per hour to Processing Unpacking Assistant, Processing, \$13.00 per hour, Effective: June 21, 2020
- Shelby Peak from Public Services Librarian, Lawrence, \$21.56 per hour to Supervisor Librarian, Franklin Road, \$23.19 per hour, Effective: July 5, 2020
- Joseph Lutholtz from Public Services Associate II, Part-Time, InfoZone to Public Services Associate II, Full-Time, Irvington, No Change in Pay, Effective: July 19, 2020
- Reginald Laratte from Computer Assistant II, East 38<sup>th</sup> Street, \$15.02 per hour to Circulation Supervisor I, Haughville, \$20.06 per hour, Effective: August 1, 2020
- Nicole Owen from Hourly Library Assistant II, Central, \$13.97 per hour to Computer Assistant II, Part-Time, West Indianapolis, \$15.02 per hour, Effective: August 2, 2020
- Cristal Beatty from Library Assistant II, Part-Time, Beech Grove to Library Assistant II, Full-Time, No Change in Pay, Effective: July 19, 2020

**RE-HIRES: (None Reported)**

**SEPARATIONS:**

- Joyce Gale, Hourly Library Assistant II, Pike, 4 years and 10 months, Effective: May 31, 2020
- Teonna Taylor, Computer Assistant II, West Indianapolis, 1 year and 11 months, Effective: June 17, 2020
- LaShonda El, Circulation Supervisor I, Eagle, 13 years and 11 months, Effective: June 17, 2020
- Ahnessa Black, Public Services Associate II, East 38<sup>th</sup> Street, 4 months, Effective: June 17, 2020
- Linda Brady, Team Member, Shipping & Receiving, Facilities, 31 years, Effective: July 4, 2020
- Allison O'Keeffe, Processing Assistant I, Processing, 4 years and 7 months, Effective: July 10, 2020
- Robyn McKinney, Page, East 38<sup>th</sup> St., 3 years and 9 months, Effective: June 30, 2020
- Jennifer Patterson, Library Assistant II, Central, 26 years and 1 month, Effective: June 13, 2020
- Danielle McCullough, Hourly Library Assistant II, Nora, 1 year and 11 months, Effective: July 3, 2020
- Carolyn Waldron, Library Assistant II, Lawrence, 27 years and 10 months, Effective: August 1, 2020
- Gentry Dulin, Computer Assistant II, Central, 5 years and 2 months, Effective: June 29, 2020
- Jennifer Smith, Hourly Library Assistant II, East Washington, 4 years and 10 months, Effective: July 9, 2020
- Lauren Bingham, Page, InfoZone, 8 months, Effective: July 2, 2020



- Jeanine DeLashmit, Circulation Supervisor I, Haughville, 18 years and 10 months, Effective: August 1, 2020
- Jennifer Pierpont, Page, Wayne, 5 years and 8 months, Effective: July 8, 2020

**INACTIVE:**

- Amy Mallory-Kani, Page, Franklin Road, Effective: June 28, 2020
- Kellyn Raters, Page, Franklin Road, Effective: July 25, 2020

**RE-ACTIVATE:**

- Renee Kohlmeier from Page, Wayne to Page, Eagle, No Change in Pay, Effective: June 21, 2020

**RECLASSIFICATION: (None Reported)**

**TO: Library Board of Trustees**  
**FROM: Jackie Nytes, Library CEO**  
**RE: Update on how COVID has changed library life**  
**Date: 7-26-20**



### The Timeline

March 1-13 <sup>th</sup>	Initial focus on corona virus awareness and safe workplace
March 14 <sup>th</sup>	Last day of service to the public in our buildings
April	Totally virtual experience
May 18 <sup>th</sup>	Branches started offering Curbside Service
June 15th	First 7 branches reopened; others open by June 29th
July	Curbside maintained; reduced # of visitors continues
August	School plans will impact our ability to schedule enough staff to stay open

### Impact on our Staff

- Board appointed employees maintained on payroll during closed time
- Premium pay for those essential hourly who had to come in during the travel bans
- Permanent subs and pages were paid if they were scheduled to work
- Temporary subs no longer scheduled were not paid
- Hiring from outside to fill vacancies significantly curtailed
- 13 longer term employees(10 years or more) have left or retired (we had 82 employees eligible to retire as of May 1)
- Generally staff are anxious about contacting the virus
- Our staff produced over 600 hand made masks for re-opening and produced shields on the 3D Printer
- Staff completed directed reading and on line meetings while at home

### **Accommodations for staff**

- 68 requests for leave overall; 35 are currently still on approved leaves due to Governor's Executive Order, expanded FMLA or ADA; others have returned to work
- 70+ employees have been approved to work at home either full time or intermittently
- Staff have been authorized to take equipment home if necessary for their work
- Work stations have been reassigned to reduce density of staff in areas like CMSA
- We have suspended the policy regarding tracking "occurrences"
- Employees who need to miss work for COVID 19 testing are being given paid leave to do so
- 62 additional employees are known to have school age children and may need accommodations if school is virtual
- We currently have one public services employee who has tested positive however the source appears to be a room mate, not work. Staff and press have been notified.

### **Modifications to our buildings to increase the safety of staff and patrons**



**We spent \$56,000 to obtain 300+ Plexiglas shields for staff service points**

**Additional \$82,000 on PPE, cleaning service, signage, legal review and sanitation supplies**

**Nearly 75 percent of our computers, chairs and tables were removed from public use in our buildings in order to reduce the density of people in any space.**

**One way traffic patterns were identified where possible; floor markings designated safe social distancing; wide array of signage available for each agency to select from for their communities**

## Video developed to help Explain safety measures to staff and patrons

### Impact on services

- All in house programming has been cancelled or moved to a virtual platform
- Increased online and telephone reference during closed time was marketed and staffed
- \$1 million in funding shifted to the e collection from print
- Extensive efforts to expand blogs and online interaction with patrons
- Staff sharing allowed us to get current on materials processing however
- See the statistics from Garrett regarding increases in e usage
- New Collaborations formed with several organizations to distribute materials
- No meeting room use except at Central where it is severely limited
- Donations to our Library Foundation's book sale were initially halted and while they have now resumed, they are being quarantined like book returns in the library



- We increased the range of materials available to support e learning and focused on outreach to school administrations and local teachers to increase use
- We have started negotiations with Washington Township to get all students there a library card
- Plans for the three IPS Simon School Libraries have been interrupted but we continue to talk with them
- All weddings and events were cancelled through July 25<sup>th</sup>; now events through the rest of the year are being examined and rescheduled where necessary.

## INDIANAPOLIS-MARION COUNTY PUBLIC LIBRARY NOTES OF THE STRATEGIC PLANNING COMMITTEE MEETING JULY 9, 2020

\*\*\*\*\*

The Strategic Planning Committee of the Indianapolis-Marion County Public Library Board met electronically via Zoom on Thursday, July 9, 2020 at 12:00 p.m., pursuant to notice given in accordance with the rules of the Board.

### 1. Call To Order

Dr. Jett, Committee Chair, called the meeting to order.

### 2. Roll Call

Committee Members present: Dr. Jett, Dr. Murtadha and Judge Salinas

### COMMITTEE DISCUSSION

At this time, Garrett Mason, Staff Liaison to the Strategic Planning Committee, mentioned many of the various resources being utilized to prepare the Library's new Strategic Plan. Some of those mentioned were the Library's previous Strategic Plan, the SWOT Analysis, Mission and Vision Statement, etc.

He noted that the Mission and Vision Statement had previously been shared with staff and most thought it was appropriate.

Mr. Mason advised that the Library will be pushing out a survey, which has been translated into nine different languages, to schools, community partners, patrons, etc. Approximately 750 surveys will be provided via the Library's website, branches and social media platforms. He will send the list of those receiving the survey to the Committee members.

Dr. Jett wanted to know how we will capture the youth voice.

Mr. Mason reminded everyone that the survey is for those aged 13 and up.

Jackie Nytes, the Library's Chief Executive Officer, mentioned that it is anticipated that schools will act as proxies for their students. It is also hoped that other entities receiving the survey, like the Boys and Girls Clubs, will discuss with their audiences.

Discussion then took place on the Library's Aspirational and Core Values. A list of the various values was displayed for the Committee to review.

Mr. Mason commented that Library administration continues to hear about the importance of communication. The goal is for communications to be two-way, to and from, and back and forth. This will apply to both internal and external communications.

Dr. Jett noted that it will be interesting to see how we measure this in the Plan.

Dr. Murtadha asked Mr. Mason to define “Core” and “Aspirational” values.

He explained that Core is what we do well and Aspirational are things we do “good” but could be doing better. These were reviewed with staff so they could understand the difference and they have been discussed at meetings of the Staff Strategic Planning Committee.

Mr. Mason displayed the “Strategy Map” for the Committee’s review. This will be a one-page reference sheet. We can show relationships between such categories as Customer/Stakeholder and Financial, etc.

A discussion then took place on Service Plans/Community Action Plans (“CAP”) and how they tie back to the Library’s Strategic Plan. The CAPs for 2020-2021 will be due at the end of this year’s Summer Reading Program.

Ms. Nytes explained that the CAPs are a way for staff to be creative. Staff has a lot of latitude when creating a Plan. Programs produced via the CAPs normally stay within our strategic direction.

Mr. Mason commented that they are working on things that are outcome driven even though sometimes those are difficult to capture.

Dr. Jett asked about next steps.

Mr. Mason shared that once the survey results are back we will get Board feedback on definitions. We will also start to build high level items for the Strategic Plan. Things like the Racial Equity based data will be folded into the Plan.

Mr. Mason mentioned that he will provide the Committee with a list of next steps.

Following Dr. Jett’s inquiry about rolling out the Plan to the public, Mr. Mason advised that a draft of the Plan would be shared initially with staff, various schools, community partners, etc. for review before it is finalized.

Dr. Jett noted that we need to recognize our capacity and determine what is most critical to the public and staff.

There was additional discussion concerning scheduling some public meetings to obtain additional feedback. All Committee agreed this would be a good idea.

Mr. Mason pointed out we must be cognizant of overall timing. For the first week of August, we should have info on the following items: Mission and Vision, Values and Strategic Themes.

Dr. Jett asked that Mr. Mason send the items mentioned/displayed at today's meeting to the full Board.

**3. Adjournment**

Dr. Jett adjourned the meeting at 1:10 p.m.



**Indianapolis-Marion County Public Library  
Finance Committee Meeting Notes  
July 15, 2020**

**Finance Committee: Patricia A. Payne, Chair; Raymond Biederman, Curtis Bigsbee  
Staff Liaison: Ije Diké-Young**

**b. Board Action Request – Approval of 2020/2021 Insurance Renewal**

Mr. Dezelan, the Library's Insurance Broker with Gallagher, gave an overview of the 2021 insurance renewal. Mr. Dezelan explained the exposure history and the changes for 2021. The total building and contents policy as increased by 4.9%, the Inland Marine Misc. Policy has changed to 12% and the total Payrolls has increased as well to 9%. This increase was as a result of the implementation of the compensation study performed in 2019 with the salary increases taking effect in 2020. The total vehicles went up as the Library purchased one vehicle in 2020. Operating budget expenditures excluding debt services also increased to 5%. Mr. Dezelan also explained what the Experience Mod. Factor was and how that has an impact on the workers compensation premium. The mod factor for the Library increased from 1.23 to 1.43, this year. Ideally, the mod factor should be 1.0 or less. Unfortunately, two large claims had a big impact on the Library's mod factor. Without these two claims, the mod factor would have been 0.84. He also included the additional cost of an additional coverage for Sex Molestation claims once we could include once we had a youth protection policy in place. Overall, the insurance premium increased by 9.3%.

**a. Briefing Report – 2021 Budget update**

Ms. Dike-Young went over the overall summary of the 2021 budget for all Department of Local Government Finance (DLGF) approved Funds. The Operating Fund, Debt Service Funds, Library Improvement Reserve Fund and the Rainy Day Fund all have to have their budgets approved by the Library Board, the City County Council and the DLGF. There are two debt service funds. The first is for debt incurred prior to the merger with the Beech Grove Library and the second is for debt incurred after the merger. Ms. Dike-Young then went over the Operating Fund. She reminded the committee about the overview of the 2021 Operating Fund budget given at the June committee meeting. She stated that the Operating Fund budget increased by 3% from the 2020 budget to the 2021 budget. She stated there were no significant changes to the operating budget since they last met. The changes were primarily in the revenue estimates. For property taxes; the DLGF released the growth quotient of 4.2% for 2021 so we



have assumed the levy will grow by that percentage. The circuit breaker credits are expected to be 18% of the levy and we project a 1% delinquency. We have assumed a decrease of 15% in local income tax and no per day late fines have been forecasted. We are forecasting a slight increase in lost book fees. The in-Branch revenue for 2021 budget has been projected to decrease by 16%. The Interest Income is based on the current rates and expected to be about the same as 2018 which is significantly lower than 2019.

The budget for the Debt Service Funds includes the 2020 bond issue which is anticipated to close in November 2020. The anticipated debt service will be structured to ensure that the combined debt service tax rates stay flat at 0.0318 per \$100 of assessed value.

There are no projects being funded by the LIRF fund in 2021.

The Rainy Day Fund includes a budget that will allow us to fund construction projects in advance of issuing bonds and then get reimbursed once the bonds are sold. This allows us to time the bond issues appropriately and reduce interest cost.

## **c. Briefing Report – Proposal on Elimination of Per Day Late Fines**

John Helling spoke to the Finance committee about management's proposal to eliminate "per day" fines and waive currently outstanding fines. He emphasized that management was not proposing eliminating lost book and damaged book fees. He discussed the reasons for the proposal to eliminate per day late fines. Mr. Helling said that many libraries were going fine free as fines have been a barrier to access and have inequitable effects. He showed the map showing all the libraries that have gone "fine free." Mr. Helling showed the demographics by zip codes of patrons with the most outstanding debt and compared that to income levels, poverty levels and communities of color in Marion County. Mr. Helling also showed the zip codes with the most blocked cards. These slides indicated that overdue fines more significantly impacted communities of color, and low income communities. Mr. Helling did state that all blocked cards would not be affected by the waived fines because some were blocked as a result of lost book fees. Dr. Payne thanked John and the team for the work that was put into analyzing the data and for the proposal. Mr. Biederman also thanked Mr. Helling and asked questions about the access continuing to be blocked as a result of the lost book fees. Ms. Nytes said that we and other libraries were not proposing eliminating lost book fees because the materials were purchased with tax payer dollars. Lost book fees are removed once a patron returns the books.