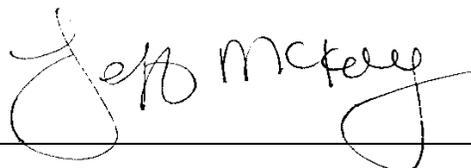


 <p><b>NEW YORK STATE</b> <b>Corrections and Community Supervision</b></p> <p><b>DIRECTIVE</b></p>	TITLE		NO. 4470
	<b>General Library Services</b>		DATE 12/06/2019
SUPERSEDES DIR # 4470 Dtd. 04/09/18	DISTRIBUTION A B	PAGES PAGE 1 OF 11	DATE LAST REVISED
REFERENCES (Include but are not limited to) New York State Education Law, Section 285; 9 NYCRR 7679.1-.7, ACA Expected Practices 4-4078, 4-4505, 4-4506, 4-4507, 4-4508, 4-4509, 4-4511, 2-CO-5F-01, 4-JCF-5E-01, 4-5E-02, 4-JCF-5E-03, 4-JCF-6E-05, Directives #2612, #2614, #2810, #4483, #4572, #4752, #4780, #4802, #4930, #4933;	APPROVING AUTHORITY 		

**I. PURPOSE:** This directive provides information for administrators, staff, and inmates about the Department of Corrections and Community Supervision (DOCCS) General Library Program and its policies. The General Library Program is one of two library programs administered by the Division of Library Services. The General Library Program is operated under the direction of the Deputy Commissioner for Program Services.

This directive does not address the Law Library Program (refer to Directive #4483, “Law Libraries, Inmate Legal Assistance, and Notary Public Services”). The Law Library Program is administered by the Division of Library Services and is operated under the direction of the Deputy Commissioner and Office of Counsel.

**II. GOALS OF THE GENERAL LIBRARY PROGRAM**

- A. To meet the educational, vocational, informational, recreational, and re-entry needs of the inmate population, including those with Limited English Proficiency (LEP), and serve as a resource for staff through the provision of comprehensive collections of library resources, reference services, reader advisory services, circulation of materials, and Interlibrary loan services.
- B. To encourage inmates’ self-awareness and personal growth by offering programs, book and film discussions, lectures, workshops, poetry readings, author visits, etc. Additionally, the General Library Program should support and enhance the treatment, recreational, and educational programs of the Department and facility.
- C. To demonstrate and promote the value of the facility’s General Library, so that inmates will be able to make effective use of the General Library and public libraries upon their return to the community. General Libraries are organized and operated using the public library model, including the use of the Dewey Decimal System and automated systems for cataloging and circulation. Library-use instruction is available to individuals, classes, therapeutic programs, and inmate organizations.
- D. To train inmates as effective library support workers, capable of undertaking a variety of appropriately supervised library tasks and providing them with marketable skills upon their release.

### III. DEFINITIONS

- A. General Library: The General Library is the facility's information center. It serves inmates and staff in the manner of a public library, and it also functions as a special library in supporting facility treatment, educational, and re-entry programs. It shall be housed in a permanent location. Outreach services shall be provided to inmates who are not able to visit the library.
- B. Main Library: The largest General Library at a facility. It holds the most comprehensive collection of resources and is staffed for more hours than a branch library. Technical support activities (such as ordering and cataloging materials, processing Interlibrary loan requests, and planning programs) for branch or satellite General Libraries, are done at the Main Library.
- C. Branch Library: A library housed in a permanent location that functions as a sub-unit of a larger, more comprehensive General Library. Facilities with multiple campuses or security levels may establish Branch Libraries to serve smaller population groupings (i.e., annexes, Intermediate Care Program (ICP) Units, Regional Medical Units). Branch Libraries have more limited collections than a Main Library, but users may access the resources of the main library through a loan arrangement.
- D. Satellite Library: A small collection of library materials held on a book cart or in a storage cabinet in a gym, recreation yard, or other easily accessed area for the purpose of extending library services to inmates when the Main Library is not open. This satellite library shall be manned by trained inmate library workers and supervised by area staff. This collection generally contains popular periodicals, basic reference sources, short stories, and may include paperback books for loan to library users. Information about access to and the full range of services available through the Main Library is also included with the satellite collection materials.
- E. Periodicals: Serial publications, including newspapers, magazines, and journals.
- F. Open Public Access Catalog (OPAC): A card catalog or automated database with author, title, call number (shelf location), and subject entries enabling access to the General Library collection.
- G. Interlibrary Loan (ILL): Interlibrary loan arrangements permit libraries to obtain access to titles or information from other libraries in the local public library community, statewide, and even nationwide.
- H. Talking Book and Braille Library (TBBL): Available to qualified inmates through the New York State Library.

### IV. ACCESS TO GENERAL LIBRARY SERVICES

- A. Every inmate shall have access to library services unless such access has been removed or restricted. The program may also serve facility staff, with supervisory approval, when they have library needs relating to their professional development and programmatic responsibilities.

B. Library Access for General Population Inmates and Adolescent Offenders

1. Inmates in the general population shall have the ability to access library services at least once per week. Library services should be provided during program hours, as well as at times that do not compete with work assignments, counseling, or other programs, and be accessible (through Main, Branch, or Satellite libraries, or through loan arrangements) seven days per week.
2. Maximum, medium security, and Adolescent Offender facilities shall maintain comprehensive library services that are administered by a full-time Librarian and open during a variety of time periods. Minimum security facilities shall maintain basic general libraries that are open during times when the majority of inmates are available to visit the library; typically, late afternoons, evenings, and/or weekends.
3. Work release facilities shall establish procedures for facilitating inmate access to a nearby public library, on a weekly basis, if requested. They may also maintain small collections of reading materials that support the primary mission of the facility.
4. Shock Incarceration Correctional Facilities, Alcohol Substance Abuse Comprehensive Treatment Center (ASACTC) Facilities, and the Willard Drug Treatment Campus shall maintain a General Library with collections that also support and reinforce the treatment mission of these facilities. All inmates shall have an opportunity to visit the library, borrow materials for use in their housing units or classrooms, and receive orientation to the use and value of libraries.

C. Outreach Services to Inmates Who Do Not Have Direct Access to the General Library  
[For example, inmates confined to: Medical Units, Protective Custody (PC), Keeplock, Special Housing Units (SHU)]

1. If inmates do not have direct access to the General Library, and such access has not been limited or removed as a result of a disciplinary action, the facility shall make provisions for reading material. Procedures shall be established for requesting, delivering, and returning library materials on at least a weekly basis at designated areas or on book carts. A current list of accessible library materials and services shall be available to all such inmates.
2. Library materials made available through an outreach service shall be in good condition and include a representative sampling of materials available to the general population, including magazines, newspapers, and books. Such library materials will be rotated every 30 days; when sufficient quantity permits, periodicals may be rotated more frequently.
3. These shall be available to inmates, dependent upon outreach services library materials, in the quantity equal to at least two books and one magazine/periodical for each inmate.
4. Inmates dependent upon outreach services, but not confined for disciplinary reasons, shall be permitted access to other materials in the library that may not be allowed in a SHU.

5. Southport and Upstate Correctional Facilities are exempt from providing newspapers to their SHU populations due to the prohibitive cost of subscriptions, and the difficulty of ensuring equitable distribution.
6. Facility administrators shall ensure that effective inventory and circulation procedures are developed for the materials loaned to inmates who do not have direct access to the General Library. Such procedures shall require that materials loaned through this outreach service are returned in good condition, and that inmates found destroying library resources are held accountable.

**V. CODE OF CONDUCT FOR LIBRARY USERS:** Inmates are expected to exhibit an appropriate demeanor and follow all facility and library rules when using the General Library and its services, and when interacting with library staff. Inmates who fail to adhere to these rules may have their access to the General Library and its services limited or removed through the Department's Three-Tier Disciplinary System.

**VI. STAFFING**

- A. Central Office Division of Library Services: The Department's Statewide General Library Program is administered by the Supervising Librarian, who reports to the Deputy Commissioner for Program Services through an Assistant Commissioner for Program Services. Associate Librarian(s) assist the Supervising Librarian in administering the Division of Library Services.
- B. Facility Libraries
  1. Facility Librarian: The Senior Librarian who manages the facility's General Library Program. The Senior Librarian reports to the Deputy Superintendent for Programs (DSP), or the functional equivalent, and shall be part of the DSP's middle management team.
  2. Library Clerk 2: A facility staff member who performs clerical and paraprofessional duties for the General Library Program either independently or under the supervision of a Senior Librarian.
    - a. Library Clerk 2s working at a facility where they are supervised by a Senior Librarian may open the library, supervise inmate clerks, and provide direct patron services in the library and in outreach areas.
    - b. Library Clerk 2s as Managers at minimum security facilities and correctional camps, may manage the General Library Program. Advisory services on library management and operations shall be available from the Division of Library Services in Central Office. These Clerks shall report to the DSP or the functional equivalent.
  3. Inmate Library Workers
    - a. Facility policies and procedures shall provide for the selection, training, supervision, and assignment of inmate library workers. Among the titles assigned are: Administrative Clerk, Library Assistant, General Clerk, and Clerk Typist. Inmates may perform library clerical functions and technical processes including: circulation, basic reference service and library-use instruction, tasks associated with acquisition of materials, processing of new materials, shelving, and inventory.

With appropriate training, they may operate microfiche readers, audiovisual equipment, computers, and other equipment. Where a Satellite Library exists, an inmate clerk, who is supervised by the staff who manages the area (i.e., Recreation Leader, Teacher, or Correction Officer), may provide reader advisory, basic reference services, and facilitate use of the Satellite collection.

- b. Records shall be maintained by the Senior Librarian for all inmate library workers, documenting their training and skills. Inmates shall be afforded regular evaluations as required by Directive #4802 "Inmate Payroll Standards."

## VII. LIBRARY OPERATIONS

- A. Facilities may maintain more than one General Library depending on their physical layout and/or program needs (see Section III).
- B. Floor Plans and Layout, Accessibility for the Disabled
  1. The General Library shall offer users a congenial environment for quiet reading and study. Sufficient space shall be allocated for tables and chairs, the storage and use of print and non-print resources, and for displays of library materials. If the library cannot accommodate groups, alternate spaces in the facility (i.e., classrooms, chapels, or multipurpose rooms) shall be available for the library to use to conduct special library programs.
  2. Some, or all of the library collection may be contained in closed stacks, that is, where books, periodicals, or other materials are stored on bookshelves, or in storage cabinets behind a barrier allowing for staff access and retrieval only. When closed stacks are used, library staff shall ensure that reader advisory, reference services, and OPAC availability shall be provided to patrons to facilitate full access to the resources of the General Library.
  3. The General Library Services must be accessible to inmates with disabilities in the general population, in accordance with Directive #2614, "Reasonable Accommodations for Inmates with Disabilities." Adaptive devices for making materials accessible to inmates with sensorial disabilities shall be made available in accordance with Directive #2612, "Inmates with Sensorial Disabilities."
- C. Selection of Materials
  1. The acquisition and provision of library materials shall be conducted and coordinated by the Senior Librarian based on a systematic selection process designed to determine and meet the library service standards, and the educational, informational, vocational, recreational, and re-entry needs of the facility inmate population.
  2. Library materials may include, but not be limited to: a reference collection, books, periodicals, foreign languages, large print, high interest-low reading level, graphic novels, pamphlets, microfiche, videos, audio books, mixed media resources, CD-ROMs, and DVDs.
  3. Each facility shall have a written policy that defines the principles, purposes, and criteria used in selection and maintenance of library materials.

These policies and procedures must conform to the guidelines contained in Directive #4572, "Media Review," and Directive #4930, "Tool Control," for handling CD-ROM/DVD, stand-alone, or mixed media resources. Donations of materials may be accepted provided that they comply with the selection policy and with Directive #4752, "Receipt of Donated Material."

4. Special materials, such as large print and audio books on cassette for individuals with sensorial or learning disabilities, should be purchased and/or borrowed through Interlibrary loan. The "Talking Book and Braille Library," at the New York State Library, serves facilities north of New York City. The Andrew Heiskell Braille and Talking Book, at the New York Public Library serves the facilities in the Greater New York City area.

D. Circulation of Materials, Handling of Lost or Damaged Materials

1. Senior Librarians or Managing Library Clerk 2s shall develop written policies governing the circulation of materials including appropriate location for use of Interlibrary loans or facility-owned materials, loan periods, renewals, and number of loans permitted.
2. Senior Librarians or Managing Library Clerk 2s may require inmates to complete a disbursement form, written for the estimated replacement cost of a title as collateral for its return. Use of this method shall be limited to: Interlibrary loan materials, books, or other media in special collections, and to rare, expensive, and especially vulnerable materials. Exceptions may be authorized by the Supervising Librarian, upon request of the DSP.
3. Overdue notices shall be sent to inmates who fail to return borrowed materials on time. Fines shall not be charged for overdue facility library materials, but inmates who fail to return materials may be subject to disciplinary action through the Department's Three-Tier Disciplinary System.
4. Materials borrowed through Interlibrary loan that are not returned by the assigned due date shall be subject to the lending library's overdue fines or fees.
5. Inmates or other borrowers who damage or fail to return borrowed library materials, including Interlibrary loan materials, shall be charged the replacement cost plus an appropriate processing fee. An inmate found culpable for loss or damage to facility or Interlibrary loan materials, shall be subject to disciplinary action and/or may suffer the loss of borrowing or other library privileges.
6. When an inmate is made to repay the cost of a lost or damaged Interlibrary loan item, the facility shall make prompt restitution on his or her behalf.

E. Computers in General Libraries and Librarian Use of the Internet

1. The use of computers in DOCCS' General Libraries shall be accepted practice at all maximum and medium security facilities. Library computers shall be used for cataloging, circulation, and inventory of materials, as public access catalogs, and as part of the reference service. The Senior Librarian and his or her staff, shall also use computers for word processing tasks and the development of databases, charts/tables/graphs, signs, etc.

- Library resources may include CD-ROMs and DVDs, provided their use is handled in accordance with Directive #4930, "Tool Control," and supervised by the Senior Librarian. To enhance security, control, and efficiency of equipment used in the General Library setting, computers may be linked via a local area network (LAN). Computer hardware and software may be purchased with public library system grant funds.
2. The Division of Library Services has developed statewide policies and procedures that govern the use and security of computer equipment data and software, including, but not limited to:
    - a. Authorized access, including password use and control;
    - b. Storage of equipment and software;
    - c. Training of staff and inmates (clerks and patrons);
    - d. Appropriate responses to security breaches;
    - e. Protection of computer data;
    - f. Control of printer use and output; and
    - g. Technical support.
  3. Senior Librarians shall use the cataloging and circulation software products designated by the Department unless an exception is granted by the Supervising Librarian. Annual upkeep and support contracts must be maintained and vendor-recommended procedures to protect the integrity of holdings, circulation, and other records must be followed.
  4. Where available, the public access catalogs of the local public library system or other regional library systems (CD-ROM format or downloaded onto the hard drive of a computer) shall be part of the General Library's computer offerings to enable effective use of Interlibrary loan and for other purposes. Such catalogs, as well as the library's own public access catalog, shall be made available to all users who are eligible to visit the library, after they have received training in the use of such equipment. The Senior Librarian or Library Clerk 2 shall supervise all inmate use of library computers in conformity with the requirements of Directive #2810, "Information Security Policy," and established facility procedures.
  5. For security reasons, DOCCS prohibits internet access to inmates and staff alike within the General Library. General Library Program internet access and e-mail are available to Senior Librarians responsible for managing the General Library at non-program locations as designated by the facility's DSP. The professional library community makes extensive use of the internet for public access catalogs, facilitating Interlibrary loan services, reference and referral services, and as a means of communicating (through e-mail). DOCCS library staff members must learn how to make use of such internet tools in order to maintain their professional skills and fulfill responsibilities to network and share resources.
  6. Part of the General Library Program's orientation and/or library use classes may include video or CD-ROM format demonstrations of typical public library uses of the internet. This training will ensure that inmates are prepared for effective use of their community public libraries upon their release.

- F. Public Relations: Librarians and other library staff shall promote use of the General Library Program, and publicize special library programs and new materials through: booklists, flyers, newsletters, contests, and personal visits to classrooms, group counseling sessions, the gym, etc.
- G. Copyright and Fair Use: Librarians shall comply with copyright laws, the Department's mandates on reporting use of entertainment and educational media, and restrictions on uses of software licenses when:
  - 1. Photocopying materials for library users;
  - 2. Facilitating the loan of audio, video, or DVD resources to staff or inmates for group presentations;
  - 3. Presenting audio, video, or DVD performances as part of a library program; and
  - 4. Loading software on the library computers. Advisory services on copyright compliance are available from the Supervising Librarian and through the Public Library System.
- H. Privacy Policy: All library staff shall protect the privacy of library users' borrowing records and the content of their reference queries unless the safety of individuals or the security, order, or discipline of the facility shall be compromised by such confidential treatment.
- I. Reports: Library reports (monthly, quarterly, annually, and any special reports) shall be reviewed by the DSP to track library usage trends, and to document the value of the General Library Program to the facility.

## VIII. GENERAL LIBRARY SERVICES

- A. Support for Other Facility Programs:
  - 1. The General Library shall acquire resources that support and enhance the goals of other facility programs in consultation with the supervisors of these programs. Program Supervisors, Teachers, and Offender Rehabilitation Coordinators may place materials in the General Library on reserve.
  - 2. Transitional Services materials, supplied and updated by an assigned Offender Rehabilitation Coordinator, shall be available to all during operational hours in the General Library. Individuals whom are physically unable to access the material because of their population status may submit a written request for resources to their Offender Rehabilitation Coordinator. A log shall be maintained to record materials requested while visiting the General Library.
- B. Library Orientation Programs: The General Library shall offer orientation on library use to individuals, academic and vocational classes, other program participants, members of inmate organizations, and especially inmates participating in Transitional Services.
- C. Reference and Referral Services: These services offered to inmates and staff shall be multi-faceted. A current and relevant reference collection shall be acquired and maintained to support the General Library Program. The reference collection should include resources on: careers, employment opportunities, community services, government services, educational opportunities, health and wellness, and family services.

Librarians shall assist patrons in identifying their informational needs and guide them in locating appropriate answers through: facility resources, Interlibrary loan, or by correspondence with an outside agency or program. Reference consultants in public library systems may be contacted for assistance on behalf of an inmate patron with complex informational needs that cannot be met through the facility's library resources. Photocopies of reference materials, periodical articles, and printouts of internet searches may be issued to (at no less than \$0.25 per page) or loaned to inmates by library staff.

- D. Reader Advisory Services: Librarians or trained inmate clerks shall assist individual library users to select resources that meet their informational and recreational interests, and that are appropriate to the reader's abilities.
- E. Research Advisory Services for Independent Study or College Students: The Senior Librarian shall serve as a research advisor for inmates who are pursuing advanced degrees through distance learning or through college programs sanctioned by the Department. They shall also guide inmates investigating independent study college programs in cooperation with the correctional facility's Education Supervisor.
- F. Interlibrary Loan Services: All General Library Programs shall develop arrangements with their respective public library system to facilitate the sharing of resources. DOCCS libraries may lend their materials to other libraries and are strongly encouraged to contribute their holdings to the public library system's public access catalogs to facilitate such loans. Librarians may place reasonable limits on the uses of such Interlibrary loan services. DOCCS Media Review content standards shall be applicable to Interlibrary loan requests and fills. Interlibrary loan materials in CD-ROM/DVD format (either stand-alone or as part of a mixed media set) may be borrowed, provided their use complies with Directives #2810, "Information Security Policy," and #4930, "Tool Control." Facilities must establish clear policies for receiving and returning Interlibrary loan materials when due, and for reimbursement when losses occur. Interlibrary loan services may be discontinued when there is a Librarian/library staff vacancy, or when losses or damage to borrowed materials become problematic.
- G. Outreach Services: Described above in Section IV-C-1 through 6.
- Library Programs: The facility General Library shall provide programs to the inmate population to encourage their personal growth and learning. Facilities staffed by a Librarian shall offer one library program per quarter. Examples of library program offerings are: book/film discussion groups, poetry/creative writing groups, lectures, workshops/seminars, author or poet visits to the library, musical or theatrical performances by inmates or visiting performers, facility radio programs featuring book talks/reviews or playing audio books, and facilitation of an inmate parent's reading of children's books on audio tape or to the children in the facility visiting room. Popular program topics include: Author Series, Book Discussions, Cultural Exploration, Parenting, Family Financial Management, Family Literacy, Consumer Skills, Co-Dependency, Anger Management, Practical Psychology, and Health and Fitness.

- H. Optional Services: Facilities may offer inmates related services through the General Library Program, including but not limited to: development of children's book collections for the facility's visiting room or Family Reunion Program unit, fee-based photocopying, Notary Public services, access to consumer catalogs, and typewriter and/or word processor use.

**IX. THE STATE CORRECTIONAL LIBRARY PROGRAM WITH PUBLIC LIBRARY SYSTEMS:**

Section 285 of the New York State Education Law authorizes each correctional facility to negotiate with the local public library system for use of the system's resources and services. In exchange for such services, the respective public library system is reimbursed by a grant that is administered by the State Education Department's Division of Library Development (SED-DLD). The services negotiated shall be specified in an annual application form. These grants are not intended to replace DOCCS responsibility to provide for the development and growth of the Library Program through adequate funding for staffing, acquisitions, and equipment. Guidelines for the conduct of negotiations are enumerated in this Section.

A. Negotiations

1. Where there is only one facility within the region served by the same public library system, the facility may negotiate directly with that system. The proposed plan of service shall be submitted by the DSP to the Supervising Librarian for review and approval prior to acceptance.
2. Where there are multiple facilities within the region served by the same public library system, each facility DSP and Senior Librarian will participate in the negotiations meeting. Generally, the Supervising Librarian or Associate Librarian shall participate in the meeting(s) when the annual plan of service is negotiated. If the Supervising Librarian or Associate Librarian are not in attendance at such negotiations, the proposed plan of service for each facility shall be submitted by the DSP to the Supervising Librarian for review and approval prior to acceptance.
3. Both the DSP and the Senior Librarian will sign the Annual Plan of Service after it has been approved by the Library Division. The signed plans shall be returned to the public library system.

B. Annual Plan of Service: The Annual Plan of Service shall include the following elements:

1. A description of how the public library system's resources and services may best be utilized by the facility libraries, including but not limited to:
  - a. access to the system's public access catalog;
  - b. inclusion of facility library holdings in the system's catalog;
  - c. Interlibrary loan services;
  - d. loans of rotating/deposit collections;
  - e. programming assistance and planning;
  - f. materials and equipment grants;
  - g. consultant services;
  - h. reference services;

- i. cataloging and/or acquisition services;
  - j. technical support;
  - k. continuing education opportunities;
  - l. delivery services to and from the facility; or
  - m. unspent grant appropriation.
2. A method to evaluate the programs and services provided through the grant;
  3. Procedures for dealing with damaged or lost library materials and equipment; and
  4. Other elements designed to meet the informational needs of the inmate population.
- C. Ownership of Materials Purchased through the Grant: Materials and equipment purchased with these State aid funds remain the property of a public library system, although they may be provided to a correctional facility library.
- D. Limitations on Purchases with Grant Funds: The funding for this program may not be used to purchase textbooks or manuals for academic education and vocational classes.
- E. Public Library System Services: All services, including Interlibrary loans, may be withheld from a medium or maximum security facility that has no Librarian on staff.
- F. The State Education Department's Division of Library Development: Oversees the calendar year grant program. The Supervising Librarian shall confer regularly with the staff of this unit regarding the operation of the 17 public library system grants.
- X. COMPLAINTS ABOUT THE GENERAL LIBRARY PROGRAM**: Complaints about the General Library Program should be brought first to the Senior Librarian or other staff managing the library. If a problem persists, inmates may then contact the DSP or utilize the Inmate Grievance Program. The Supervising Librarian, then the Assistant Commissioner for Program Services, then the Deputy Commissioner for Program Services, may be contacted should formal resolution of problems at the facility level be deemed unsatisfactory.