



ALUPE UNIVERISTY COLLEGE

(Constituent College of Moi University)

COLLECTION DEVELOPMENT AND MANAGEMENT POLICY

Chair, University College Academic Board

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COLLECTION DEVELOPMENT AND MANAGEMENT POLICY

AUC/OP/DP(ARSA)/006-PROCEDURE FOR DEVELOPING OF QUALITY UNIVERSITY POLICIES

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Mission

The Alupe University College Library through its staff, collections, programmes, spaces and services endeavours to empower the scholarly community by delivering outstanding support aimed at quality, innovative and technologically driven teaching, learning, scholarship and research.

Vision

To be regarded as the gateway to exceptional library establishments responsive to the unique and dynamic practices in teaching, learning, scholarship and research landscape.

Philosophy

The Alupe University College Library is dedicated to exceling in collecting, preserving and offering access to the finest scholarly and educational resources furnished towards provision of high quality and innovative services that stimulate creativity, intellectual curiosity and facilitate lifelong learning and research among its clients. The attainment of this is envisaged through the creation of welcoming and comfortable, accessible physical and virtual environment. These should foster an atmosphere that encourages diversity, excellence and continued growth by embracing openness to novel ideas and diverse possibilities leading to continued improvement and maintenance of high quality standards.

Motto

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FOREWORD

Collection development includes everything that goes into acquiring materials including selection, ordering and receiving. It is a chain of events that includes planning, administration and control. Collection development serves as a function upon which other library services are built. It is a process of assessing the strengths and weakness in a collection and then collecting a plan to correct the weakness and maintain the strengths.

G. Edward Evans stated that “A collection development policy is the written statement to the plan, providing details for the guidance of the library staff. Thus this policy statement is a document representing a plan of action and information that is used to guide the staff’s thinking and decision making. More especially, the policy is consulted when considering which subject areas to acquire material and deciding how much emphasis each area should receive.”

As a result, this document provides that the Library collection development policy is a written statement and the vehicle through which the library collects the library materials and achieves the goal of its reader’s services.

PROF. FABIAN ESAMAI, Ph.D.
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COLLECTION DEVELOPMENT AND MANAGEMENT POLICY

Overview

Alupe University College Library supports the research and teaching of the University through effective acquisition and management of material in all media, including manuscripts, archives, printed and e-resources.

1.0 Aims of the Collection Development and Management Policy

This document sets out Division of Library Services (DLS) policy on collection development, acquisitions and maintenance. It also provides the policy framework in which the Library operates in respect of its collections among them:

- a) Give direction and focus to the selection, retention, and weeding process for AUC Library collection.
- b) Develop a fit for purpose collection that supports the teaching, learning and research needs of the University College.
- c) Respond to changes in teaching and research programmes, in consultation with academic staff.
- d) Support the philosophy of the University Library on intellectual freedom.

The policy covers all aspects of Collection Development and Management and is intended to be a living document which will evolve as demands on Library services change and will be reviewed on a regular basis.

2.0 Responsibility of Selecting Materials

Day-to-day responsibility for selection of materials lies with the relevant Course Lecturer, or, where appropriate, the Librarian. Their experience and expertise is a vital factor in ensuring the long-term coherence of the collections, although this can only be achieved with active cooperation from academic departments. Information about current and future teaching and research is crucial in ensuring that the collections meet immediate and longer-term academic needs. Suggestions for purchase are welcome from all users of the Library. Ultimate responsibility for collection management lies with the following:

- a) **Collection head** is responsible for the development and management of the collection, including acquisitions, cataloguing, subscription services and datasets management.
- b) **Acquisitions in charge** is responsible for acquisition processes of non-subscription resources in the University College.

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- c) **Librarian accountant** is responsible for coordinating the system-based activities, payments and evaluation of subscription performance.
- d) **ICT Co-ordinator** is responsible for coordinating the negotiation, acquisition, maintenance and performance of the Library's subscription databases and licensed electronic resources.
- e) **Acquisitions staff** are responsible for completing the processes required to select, order and invoice new resources other than databases

3.0 Criteria for Selection

Criteria are concrete rules or standards used in making selection decisions. They may be informal or formal, these include:

- a) Currency and timeliness in relation to the usefulness to relevance of the subject content
- b) Authors/publishers reputation and credibility in the subject field
- c) Scope of materials that are comprehensive and exhaustive will be preferred
- d) Hardcover books will be preferred to paperbacks
- e) Where other factors are constant (authority, currency etc.) the cheaper material will be preferred
- f) Scholarly treatment is preferred
- g) The Library will acquire core journal both electronic and print formats
- h) The library shall subscribe to high quality journals with specific focus upon the subject matter and long term research value

4.0 Acquisition of Content

The Library purchases material or access to material in the most appropriate and cost effective way to support and advance teaching, learning and research throughout the University college. A committee working with College Librarian oversees the selection of materials.

- a) **Books** The choice of format is based on the availability, access and appropriateness to the user and value for money. Print is sometimes the only (or preferred) option, but e-books will be purchased where they give better value and access. Multiple copies of print materials are purchased when identified as core text books.
- b) **Journals** The electronic version of a title is preferred over the printed version as this offers the advantages of remote access and saving space. E-journal packages can be beneficial in

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terms of the range of titles and value for money but consideration is given to length of the deal, licensing and archiving. Preference is given to packages via national deals which give remote access.

- c) **Databases and other electronic resources** The Library looks to increase the digital resources it offers while ensuring value-for-money in the purchasing. Preference is given to networked resources over stand-alone datasets.
- d) **Unique and Distinctive Collections** Rare printed material, archive collections and manuscripts are acquired primarily through gift or purchase and indefinite deposit; preference is given to gifts.

4.1 Purchasing and Licensing

The Library allocates resources in a strategic and accountable way which best serves the resource needs of the University College.

- a) Funds for the purchase of library materials are allocated to Schools through a formula
- b) and managed through collaboration between Library staff and academic staff within the Schools.
- c) The budget is managed in the most cost effective and flexible way in order to respond quickly to changing user needs and demands.
- d) The Library is committed to rigorous financial controls, data gathering and reporting mechanisms.
- e) The Library carries out analyses of licences, access/authentication issues and usage statistics continually to ensure that our digital collections best support current and future learning and research needs. Licence conditions are enforced through the use of authentication and user management.

4.2 Document Supply

The Library provides access to content not held in the Library's collections through a subsidised Document Supply service for all eligible users through:

- a) Unmediated document supplies to the desktop through an online requesting and delivery system
- b) Material is loaned out whenever feasible (excluding unique and distinctive collections items).

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- c) If material cannot be loaned photocopies or digital scans will be supplied wherever possible.

AUC will develop proactively existing and new services to meet customers' needs and expectations and monitor service level agreements through performance indicators.

In addition, it will maintain and develop links with regional, national and international networks as a means of providing the best possible service to the clients.

4.3 Donations/Gifts

The Library has historically benefited from donations/gifts of individual items and collections and continues to welcome offers of further gifts and donations in line with its collection management and development policies. The library acquires gifts/donations through soliciting and voluntary donations. If possible prospective donors shall be requested to provide bibliographic details of the materials to the librarian so that their values can be determined. Gift materials shall be reviewed by the same standards as applied to new materials being selected. Any material that fall under the library's weeding policies shall not be made part of the collection.

The following factors guide the decision to accept donations/Gifts:

- a) Value of the material for teaching and research
- b) Relevance to existing curriculum
- c) Physical condition
- d) Duplication of existing materials

Periodicals shall be kept only if they fill a gap in the collection. The exception would be rare and valuable set which the library can afford to start a subscription. The library will have the mandate to integrate the donations with the information resources in accordance to the existing library procedures.

If donations/gifts are not relevant to the library, the donor agrees for exchange and donation program that are available for our exchange and donation program. Library staff will take into account the wishes of donors or testators where practicable in considering whether to accept collections and will inform donors of the decision to accept or decline collections following

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any discussion. The Library reserves the right to deal with all accepted donations as it deems in accord with its policies, including the right of further disposal.

5. Resource Discovery and Access

Access to information content through the Library's catalogues supports the research and scholarship, teaching, learning and public engagement priorities of the University College.

5.1 Cataloguing and Classification

Through the provision of an easy-to-use online catalogue customers are able to discover and access the high-quality resources held in the Library. Resources are described according to internationally agreed metadata standards for bibliographic and archival description to aid discoverability and to enable exchange of data with other systems.

5.2 Unique and Distinctive Collections

Rare Books - Older records have not been catalogued to agreed standards.

5.3 Theses

All theses written for Alupe University College research degrees' award are held in the Library, and can be used in the Library.

5.4 Archives

Material is catalogued to the International Standard for Archival Description (General) and the International Standard Archival Authority Record for Corporate Bodies, Persons and Families.

6.0. Collection Management

The Library's stock, excluding its unique and distinctive collections, are working collections which are regularly evaluated to ensure that they are meeting the needs of the University.

6.1 Collection review/evaluation

The library shall evaluate its collection every four years to determine usefulness or the possible relocation or disposal of items. This review may include cancellation of subscriptions or standing orders, weeding, moving to storage etc. and should be carried out in liaison with professional librarians and faculty staff

The Library shall carry out an evaluation process in order to:

- a) provide a detailed quantitative and qualitative description of the present collection in

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relation to the curriculum by identifying strong and weak areas;

- b) provide the information necessary to initiate weeding and re-building of the collection in areas identified as being in need of attention;
- c) provide the necessary information for future budget allocation to correct the weakness in collection levels; and
- d) Establish if there are problems in the collection policy.

The method and procedures for evaluation shall be through:

- a) statistics like surveys, circulation statistic
- b) by use of check lists like use of shelve lists subject bibliographies
- c) by use of user studies using interview sand questionnaires

6.2 Stock Taking

- a) The Library will carry out stock taking on an annual basis.
- b) During the stock taking period, the library will remain closed.

6.3 Weeding

Systematic weeding of the information resources shall be done regularly to guarantee relevance of the collection, increase accessibility to the collection, promote use, create space for new materials etc. The information resources to be weeded out are to be selected by the Library staff in consultation with the respective departments. Before the information resources can be disposed off, the matter has to be brought to the attention of the Library Management Committee for approval.

No reading materials however, will be removed from the shelves because of racial, tribal, religious or political reasons. This move violates the library users' right to information.

The following criteria will be applied in selecting materials to be weeded out:

- a) Irrelevance of the curriculum and current teaching and learning methods

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- b) Badly mutilated or damaged information resources.
- c) Duplicate copies of seldom-used titles.
- d) Materials which contain obsolete information.
- e) Single copies of materials that have not circulated within the last five years.

For the weeded information resources, a decision will be made of whether to go to the archives or to be disposed off as the University College Library Committee shall deem fit.

6.3.1 Weeding Policy

As a library that focuses on supporting our current curriculum, we regularly weed sections of the collection. The library pursues an active weeding program to maintain the currency of the collection.

Weeding is an integral part of the collection development process. Through periodic weeding, obsolescent, damaged materials which are no longer in scope or used are identified and withdrawn. It is important to conduct regular reviews of the library's physical and digital resources in order for the collection to remain relevant and in good condition.

Weeding helps to keep the collection update in areas where newer material is needed when older editions have been removed, to ensure that the collection remains responsive to the user's needs, and also to optimize the use of space. Materials weeded may be relegated, used for gifts and exchange, or discarded, and the decision is discretionary.

To weed successfully library staff needs a good knowledge of the collection as well as an awareness of curriculum requirements and student needs.

6.3.2 Disposal of weeded materials

Weeded and damaged library items should be removed from the collection and disposed of according to approved procedures.

For accountability, disposal of information materials requires:

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- a) that they are written off from whatever records are kept in the library (usually the library management system)
- b) that the appropriate delegated officer in the library certifies that the books have been written out of the register for whatever reason (missing, damaged, withdrawn from collection, etc.).

Once the books have been properly written off, they can be disposed of by:

- a) selling them, as long as the sale is advertised. Sales of books should still be issued with a receipt and funds receipted through the relevant library account
- b) donating them to good causes, including schools, colleges, universities, and charities which may sell them to raise funds
- c) disposal, the guidelines regarding 'destroy and dump', and is the responsibility of the purchasing department in the University College. But the items should be marked as cancelled withdrawn) and any borrower details removed.

7.0. Collection Care

The Library is mindful of its role to enable access while prolonging the life of the Library Collections and minimising the risk of damage. It believes that ongoing and routine collection maintenance will reduce the likelihood of serious damage to its collections. In addition, the Library replaces lost or damaged books as appropriate.

7.1 Binding Policy

Preservation is the action taken to prevent, stop or retard deterioration of library materials as well as to improve their condition or, as necessary, to change their format in order to preserve their intellectual content. In a research library, most materials are selected for permanent research value and, therefore, shall be preserved. Alupe University College Library shall therefore preserve its collection and requires the allocation of funds to be set aside for this purpose of regular repair and binding. Responsibility and authority for binding decisions in the Alupe University College Library services rests with the Library Committee and Librarians. It is important that every item intended for retention in the collection be bound at the earliest practical moment.

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7.1.1 Identifying materials needing treatment

Each library unit shall have two on-going routines:

- a) One for preparing materials-chiefly serials-for first-time binding; and
- b) The other for identifying previously-bound materials in need of re-binding or repair.

Items for treatment are selected according to:

- a) the importance of the material to the collection;
- b) the physical condition;
- c) the probable use of the material
- d) Material no longer needed should be withdrawn without any treatment.
- e) Serials shall be bound only if parts are complete

7.2 Digitization Policy

One of the strategic objectives of the library is to preserve and conserve information resources for posterity. Digitization is one aspect of preserving and conserving information resources. Digitization process will be guide by the following factors viz; quality, type and size of the physical or analogue item; the needs of the user; long – term storage requirements; and the amount of time will be used to determine what decisions are made. The library shall work with academic staff to identify areas of the collections to be digitised for individual class teaching. Digitised material demonstrates the breadth and potential use of collections.

8.0 Electronic Resources

The term 'electronic resources' describes materials that require a computer to display them. They may consist of CD ROMs mounted within the Library, or links to resources on a remote server, which may be owned by an entity other than the Library. Digital information and audio and video content have become increasingly valuable to Library users because large quantities of data can be stored, manipulated, and the usage tracked electronically. Electronic resources generally are costlier than print, but offer advantages such as allowing multiple users access to the same resources simultaneously, or more powerful searching capabilities, or interactivity.

Criteria for selection

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- a) Meets subject scope for courses offered at Alupe University college or Moi University
- b) The interface shall be user-friendly
- c) Enhanced searching capabilities
- d) Price of physical format verses electronic
- e) Accuracy
- f) Frequency of updating
- g) Training requirements for staff and students
- h) Remote access capabilities
- i) Licensing fee and restrictions
- j) If selected, meaningful usage statistics shall be gathered to gauge utility of the materials to users
- k) The suppliers shall allow a trial of the actual product rather than a demonstration disk
- l) The product shall run on existing hardware with existing software

8.1 E-sources

The Library subscribes to and purchases a wide range of electronic resources including the following types: journal indexes, full-text journal services, individual full-text journals, e-book services, individual e-books and encyclopaedias. Resources in electronic format may be acquired to replace material that is already held in print.

8.2 Licences

Many electronic resources are made available on licence or lease basis with conditions that may be specific to each database. Archival or post-subscription access is dependent on the licence conditions. Some agreements provide access to specified journal titles while others provide access to a publisher's entire journal list.

8.3 Access

Access to databases, encyclopaedias, full-text journal services and e-book services shall be made available via the Library website.

8.4 Links to External Web Documents

Records will be catalogued for:

- a) Specific documents or series
- b) Where there is an electronic resource record available

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- c) Annual Reports for the Government Departments and Ministries

8.5 Censorship

The library shall censor materials deemed as pornographic, those that expose racial, religious, ethnic, cultural and social prejudices shall not be acquired. Consequently, materials that have been acquired, but subsequently banned, will not be destroyed but relegated.

8.6 Weeding of digital resources

- a) Check the catalogue regularly for dead links.
- b) Contracts and licensing agreements must be adhered to when weeding digital resources. Some resources will need to be carefully removed once subscriptions have expired.
- c) When cancelling subscriptions to electronic journals, consideration should be given to the lack of access to back copies of the journal once the subscription ends.

9.0 Dissemination of Information

- a) The Library will display all materials before they are shelved for more user awareness
- b) Information on newly acquired materials will be circulated to all users via mail.
- c) The Library will also provide Selective Dissemination of Information (SDI) and Current Awareness Services (CAS).

10.0 Conclusion

The Alupe University College Library is firmly committed to a rationale-based collection management which provides a framework for accountability and establishes the priorities necessary in governing day-to-day selection, acquisition and processing decisions. In this line the Alupe University College Library shall review regularly the collection development policy to ensure that changes in the goals, objectives and mission of the Library and University College, information needs of users, academic priorities, changes in resources available in the market, and budgetary conditions are reflected in it.

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