

# AGA KHAN UNIVERSITY

## Guidelines, Policies and Procedures

<b>Policy Name</b>	Library Collection Development and Management Policy
Policy Number	AKU-K/LIB/PL/CD-001
<b>Approved by</b>	Associate Vice Provost & University Librarian
<b>Date of Approval</b>	23 <sup>rd</sup> September 2021
<b>Contact Office</b>	Office of the University Registrar

### VISION STATEMENT

The vision of the Aga Khan University Library is to be a regional Centre of excellence in information resources for the education of multidisciplinary healthcare teams.

#### 1.0 INTRODUCTION

This policy document outlines the general principles on which AKU library acquires and manages the information resources that are made available to support the teaching, learning and research programmes of the University.

Collection Development is a management process in libraries. It ensures that funds allocated to libraries are appropriately spent and that libraries provide an efficient and effective service.

This document is expected to be used by the Aga Khan University library as a working tool. It has also been presented to the University Administration as a policy document for planning purposes. It is, in effect a strategic planning document.

The Aga Khan University is herein referred to as AKU.

#### 2.0. THE SCOPE AND JUSTIFICATION

AKU library system takes into account the fact that it operates in the context of the University's overall information resource base. This policy, therefore, covers all aspects of collection management. Its *raison d'être* are to: -

---

**NOTE:** This is a CONTROLLED document. Any documents that are not stamped "CONTROLLED DOCUMENT" are not controlled. Anyone using an uncontrolled copy is individually responsible for checking that they have the latest revision of the document prior to use

- 2.1 Provide the framework and set out parameters within which selection and acquisition processes work.
- 2.2 Assist the library in its budgeting process.
- 2.3 Define acquisition criteria considering budgets, material type, courses offered, student numbers, etc.
- 2.4 List categories of materials to be stocked, specifying – how many per Category, i.e., books, journals, Audio Visual material.
- 2.5 Devise policies on withdrawals, collection reviews, accessibility, conservation and preservation
- 2.6 Serve as a communication channel within the library and between the library and other collaborating bodies.
- 2.7 Provide guidelines for consistency and continuity in the selection and acquisitions process
- 2.8 Give a foundation for future planning, thereby assisting in deepening priorities, especially when financial resources are limited.
- 2.9 Aid functions in other collection-related areas such as cataloguing and classifying, inter-library loans, internet services, various modes of information sourcing and dissemination and general readers' services.
- 2.10 Outlines parameters for networking and collaborative ventures.

### **3.0 AIMS AND OBJECTIVES**

The primary aim of this policy document is to ensure that the library is appropriate to its purpose as a central provider of information and collaborator in the AKU's teaching, learning and research functions.

The policy ensures that it is in line with the overall library policies, which seek to fulfil the following:-

- 3.1 Select and acquire material in suitable formats to the level required to support all AKU academic programmes.
- 3.2 Preserve, conserve, promote and develop library resources to benefit AKU library users and comply with existing legislation.
- 3.3 Ensure optimal access to all library resources through appropriate organization and usage of an understandable taxonomy that facilitates easy access.
- 3.4 Collaborate with other institutions to increase and improve accessibility to Information resources which may not be available.
- 3.5 Integrate ICT in the selection and acquisition process in line with current developments in the information world.
- 3.6 To guide the faculty and all library staff in the procedures and process of selection and acquisitions.

## 4.0 LIBRARY CLIENTELE

The library serves a diverse community of users. The following categories are identified:

- 4.1 All AKU registered students
- 4.2 Faculty of AKU
- 4.3 Registered Users of the Aga Khan Hospital
- 4.4 Visiting Healthcare Professionals
- 4.5 Visiting Education Professionals
- 4.6 All staff of the AKU
- 4.7 AKU Alumni

### 4.0.1 Specialized users

The library also allows access to the following categories of specialized users.

- 4.0.1.1 Users of cooperating Institutions
- 4.0.1.2 Visiting research fellows
- 4.0.1.3 Other libraries on the inter-library loans Programme
- 4.0.1.4 Part-time lecturers and Consultant Doctors at the Aga Khan University Hospital
- 4.0.1.5 AKDN staff

## 5.0 LIBRARY COLLECTION

The library strives to build a balanced stock that meets the needs of all its users. Apart from the required textbooks and recommended readings, the following information resources are sourced and stocked.

- 5.1 Newspapers: Current local dailies are provided for use within the library. Back issues of the newspapers are kept for six months and, after that, disposed. Users requesting older back issues are referred to the National Archives and the Kenya National Library Service.
- 5.2 Audio Visual material: The library collection on Audiovisual focuses on supporting face-to-face teaching. An Audiovisual viewing room is provided for individual and group viewing of educational videos. Audio and videography equipment and facilities are available for the service.
- 5.3 Manuscript and unpublished material: The library has a collection of this literature.
- 5.4 Theses and students' projects: The library has a growing thesis collection. Students and faculty are requested to deposit their project reports and thesis to build the stock.
- 5.5 Government publications: The library is building a rich collection of Government publications. The emphasis is, however, on legislative literature relating to health issues.
- 5.6 Journals: Journals support for all programmes offered at the Aga Khan University is provided by subscribing to the most frequently cited, used, or recommended titles by Faculty and students. The library subscribes to both online and print journals and encourages the use of online journals.

## **6.0 STOCK ARRANGEMENT**

All materials added to stock are catalogued and classified to ensure that users can identify and locate the resources they use. AKU stock is catalogued to international standards for bibliographic description. The Library uses AACR2 Cataloguing rules and standards and Classifies to standards by the Library of Congress Scheme.

The stock is therefore arranged by subject groupings as per the Library of Congress Scheme.

The stock is categorized into General Collection and Reference.

## **7.0 RESOURCE SHARING AND NETWORKING**

The Library will seek to explore realistic opportunities for resource sharing with other local Institutions, such as Universities and research centres belonging to the Kenya Libraries and Information Services Consortium and all libraries in the AKU libraries Network. Collaborative networking will be sought with other Institutions like WHO, UNICEF, and other international bodies that share similar interests with Aga Khan University.

## **8.0 LIBRARY BUDGET**

The Library draws an annual budget for all its requirements. This is then incorporated into the overall University Budget.

The Book budget is based on the required ratio of students per text and the modules being taught. Library Standards on budgeting are spelt out by the Commission for University Education, and the Library emphasizes this to the University while striving to achieve the same.

The approved allocation that eventually comes back to the library depends on the availability of funds.

## **9.0 LIBRARY SELECTION AND ACQUISITIONS PROCEDURES**

Acquisitions are one of the library's technical services, with objectives to develop and manage library collections. The Mission of the AKU library states that it will "acquire materials in appropriate formats and in sufficient quantity, depth and diversity to support teaching, learning and research". This policy document will therefore act as a guide for acquiring and selecting the library materials to be added to the collection.

The selection and acquisition process is a joint effort among faculty members and librarians. Faculty, staff, and students are encouraged to recommend material to be added to stock. The faculty serves as subject specialists for their respective disciplines and is encouraged to assess the adequacy of resources.

There are three stages in acquiring library materials: Selection, Ordering and Payments. Each stage has several operations and procedures. In AKU, the processes are outlined in the text that follows:

---

**NOTE:** This is a CONTROLLED document. Any documents that are not stamped "CONTROLLED DOCUMENT" are not controlled. Anyone using an uncontrolled copy is individually responsible for checking that they have the latest revision of the document prior to use

## 10.0 THE SELECTION PROCESS

The AKU Library has instituted a two-cycle system for purchasing library materials. Materials to be ordered during the 1<sup>st</sup> cycle must be submitted to the library by January 30<sup>th</sup>, and orders executed by March 30<sup>th</sup>. Orders in the 2<sup>nd</sup> cycle are received by July 30<sup>th</sup>, and orders are executed by September 30<sup>th</sup>. The following steps outline the selection process:

- 10.1 The faculty is alerted about the selection schedule before the deadline, and a selection form is re-circulated.
- 10.2 Where available, the library will circulate publishers' catalogues and alerts to assist in the recommendation.
- 10.3 Users are encouraged to recommend library materials for purchase, and a request form is available for this exercise.
- 10.4 Where necessary, the library staff will recommend materials to be added to stock in consultation with the faculty.
- 10.5 Upon receipt of the lists from the faculty, the library will compare the requests with the material in stock and advice on deletion or increase of copy numbers to avoid unnecessary duplication
- 10.6 The library will verify the bibliographic details of all material recommended for purchase.
- 10.7 The library will draw up a final list and circulate this to three vetted book suppliers for quotations (required by the institutional purchasing policy). Quotes received from the suppliers will then be analyzed.
- 10.8 Books selected should reflect requirements in the curriculum, preferably not more than five (5) years in terms of currency. Librarians will take note of core texts and recommended texts.
- 10.9 Librarians will evaluate the existing stock against the orders suggested and recommend to the faculty how many copies to add to the stock.
- 10.10 Core texts for undergraduates will be purchased in multiples of not exceeding ten copies, but purchases should be limited to 6 copies. Postgraduate texts will be bought in singles, but departments are encouraged to buy desk copies for use in their respective departments.
- 10.11 Superseded editions will be added at 2-3 copies depending on the demand
- 10.12 Reference copies will be purchased in singles.

### Expenditure Plan

- 10.13 Upon receipt of the budgetary allocation, the Library prepared an expenditure plan for the programmes against the approved budget. The plan proposes how the budget will be spent on stipulated acquisitions of books, journals and non-book materials.
- 10.14 The plan is discussed at the Acquisitions Sub-Committee/Library committee and shared with the Heads of the programmes/Academic Heads. It is upon the Plan's approval that selection for the first cycle starts.

## 11.0 SELECTION TOOLS

Library staff and the faculty will use the following aids to facilitate the selection of library material.

- 11.1 Curriculum and modules for programmes being offered
- 11.2 Books lists from faculty and library users
- 11.3 Publishers catalogue
- 11.4 Users suggestions
- 11.5 Book reviews
- 11.6 Online catalogues
- 11.7 Periodical directories
- 11.8 Accessions lists from other libraries
- 11.9 Books in print – visits to exhibitions and book fairs
- 11.10 Informal contacts with colleagues
- 11.11 Faculty meetings and consultations
- 11.12 Online Tools such as Doody's Collection and Ebsco Collection manager

## 12.0 ORDERING AND PAYMENT PROCESS

- 12.1 Upon receipt of the quotes, the Library will tally these and recommend the cheapest supplier, but also consider supplier values as stipulated in the Collection Development Policy (extract as below). The expenditure plan, as outlined above, will also guide the final decision on the tally.
- 12.2 Depending on the cost of materials, the library may recommend to the departments to reduce the number of copies required to be within the budget.
- 12.3 The Library will raise a requisition to be signed by the departmental head and Finance Officer before this is forwarded to the procurement department.
- 12.4 At the procurement department, a purchase order will be raised and either forwarded directly to the supplier or returned to the library to forward to the named supplier.
- 12.5 Where library materials must be pre-paid for, the procurement department will now liaise with Finance to complete the pre-payment transactions.
- 12.6 The Library must liaise with the procurement and Finance Departments to ensure that Purchase Orders reach suppliers without delay and that suppliers are paid.
- 12.7 Where pre-payment is not required, the library will wait for the delivery of goods and verify the delivery note and the Invoice against receipts before passing the documentation to the procurement department to facilitate payment.
- 12.8 The Library will demand copies of payment transactions to make follow-ups should suppliers claim non-payment or delayed payment.

### **13.0 ACQUISITIONS PROCEDURES FOR JOURNALS**

Journal subscriptions should be placed with one agent for easy follow-up and claims for missing issues; however, in AKU, we have gone directly to the publishers because that is the cheapest option. Although it saves us Dollars, the process of claims and follow-up becomes cumbersome because of dealing with a handful of individual publishers.

- 13.1 Selection of journal titles is to be done by the faculty and will be listed in the curriculum and modules being taught
- 13.2 A proforma invoice for the selected journals will be sought from the individual journal publishers.
- 13.3 Pre-payments if made for all journal subscriptions.
- 13.4 Most of our Journal Subscriptions are due in October/November, but since payments go through in December/January, these payments are taken from the Book Budget for the following year.
- 13.5 Each Department/programme subscribes to five Journal titles per the requirements. These are renewed annually according to budgetary allocation.

### **14.0 CHOOSING BOOK SUPPLIERS**

The following factors must be considered when choosing library material suppliers.

#### **14.1 Suppliers Portfolios**

- 14.1.1 Past performance elsewhere
- 14.1.2 Subject coverage
- 14.1.3 Speed of supply and response
- 14.1.4 Discounts offered
- 14.1.5 Realistic pricing
- 14.1.6 Mode of delivery (preference is on the door-to-door and by air)

#### **14.2 Specialist Suppliers**

Sometimes it is advisable to place orders with publishers, specialist suppliers, or suppliers who have made special contracts with certain publishers.

#### **14.3 Equitable balance**

It is desirable not to give all orders to one supplier  
Spreading bulky orders reduces the risks

#### **14.4 Organizational Policy**

Please consult with the finance department on AKU purchasing policy and where it does not adversely affect library acquisitions, then apply it.

#### **14.5 Types of Suppliers**

The librarian will choose one of the following suppliers in line with the above criteria.

**14.5.1 Booksellers** – bookshops and other local suppliers are among the suppliers we buy our stock from.

**14.5.2 Library Suppliers (Consolidators and aggregators)**

A few local consolidators and aggregators have come up in the local market. However, the concept is more developed in the first world. Overseas suppliers that have penetrated the local market include Regent Books, Mallory International, Blackwell's and SMI Book Distributors.

**14.5.3 Publishers** –locally and internationally, publishers will only sell what they publish. Placing such orders with publishers is cheaper if one buys multiple single titles.

## **15.0 GIFTS AND DONATIONS**

AKU library welcomes donations and bequests of books, manuscripts or material in all formats to boost the collections. Such donations may be solicited. All donations will be vetted for suitability and relevance before being added to stock. Initially, only material relevant to the running programmes will be accepted, but limited relevant reading will be appreciated. The material will not be more than five years old after publication. It is understood that gifts and donations are freely given without conditions unless special negotiations are held beforehand. Unsolicited donations found not suitable may be disposed of as the library deems appropriate.

## **16.0 STOCKTAKING**

Stocktaking is a library management process that provides information on the state of the catalogued collections in the library.

Stock taking in libraries is conducted to enhance good practices in stock management. It involves comparing the physical stock with the library records such as catalogues, registers, shelf lists, databases, etc.

Stock taking in the library shall be conducted to:

- 16.0.1 Identify materials that are in the library but not in the register of holdings;
- 16.0.2 Ascertain the actual number of the library stock;
- 16.0.3 Identify gaps or weak areas in collection development;
- 16.0.4 Provide AKU management with information on how well the library budget is being utilized;
- 16.0.5 Identify what's been added to or withdrawn from your collection, including donations and digital resources, if a catalogue record has been created for them
- 16.0.6 Find out what items have been lost, so you can find or replace them as needed
- 16.0.7 Confirm that each item in the catalogue exists and is where it belongs
- 16.0.8 Provide accurate figures for the university accounting and reporting requirements.



## 16.1 FREQUENCY OF STOCKTAKING

The stocktaking process at the AKU library shall occur every Five (5) years.

## 17.0 WEEDING

Weeding is a process in **Collection Development** when a library seeks to maintain a current, up-to-date, vibrant and dynamic collection that meets the information needs of its users. Being a medical library, these values are even more vital to ensure users make quality and timely decisions at the point of healthcare.

Weeding should be a continuous process. At AKU, an intense weeding exercise will be carried out quarterly, and weeded materials will be replaced in line with the acquisitions policy. Worn-out materials that require repair will be repaired as required.

### 17.1 Benefits

Through weeding, the Library aims at:

- 17.1 Saving and creating shelf space for up-to-date, relevant and more-needed materials
- 17.2 Saving search and retrieval time by removing the redundant and unnecessary stock
- 17.3 Being more appealing to users by maintaining good-looking and attractive stock
- 17.4 Ensuring the library is a more current, reliable and trustworthy source of information
- 17.5 Identifying information gaps and aligning resources to user needs

### 17.2 Criteria for weeding

**Collection evaluation:** Continuous shelf reading will be carried out as an evaluation tool, but a comprehensive quarterly evaluation will be carried out to weed out unwanted materials.

- 17.2 Date of publication: currently, books published before and up to 1990 should be weeded
- 17.3 Condition: worn out items, ragged, poorly bound, dirty, scratched, or broken non-book materials should be removed
- 17.4 Superseded editions: where adequate copies of an item are available, a dated edition that a new one supersedes should be removed
- 17.5 Non-circulating items: items that appear not to have circulated or used at all after five (5) years should be withdrawn
- 17.6 Low relevance: items that are trivial and non-essential from sections that are adequately stocked should be withdrawn, more so if the information they contain is easily available elsewhere
- 17.7 Multiple copies: extra copies of items that are not highly used should be withdrawn to allow room for more useful items
- 17.8 Old newspapers are weeded and sold to buyers for recycling and other use. Newspapers are retained in the library for only half the year (6 months)

17.8.1 Non-book media: worn out, scratched and broken electronic media should be replaced. Formats that are no longer in use should be withdrawn

**17.9 Not to weed**

17.9.1 Materials with relevant local historical value institutionally and nationally.

17.9.2 Materials of local authorship (institutional) pay attention to the relevance

17.9.3 Older reference works augmented by (not superseded by) later editions

17.9.4 Medical classics

**17.10 Responsibility for Weeding**

17.10.1 Subject specialists: faculty and lecturers will be consulted before disposing off weeded materials

17.10.2 The Librarian will be the final authority on what to keep or dispose

**17.5 Weeded materials**

17.5.1 Repair: bind and mend materials that are still useful and reparable. Treat, clean any dirt and stain and reinforce the items as need be. This can be done in-house, depending on available expertise and resources, or it can be outsourced.

17.5.2 Replace:

17.5.2.1 Completely worn out and unrepairable materials whose information is still needed should be replaced immediately. There should not be a gap between withdrawal and replacement to ensure users do not miss items.

17.5.2.2 Ensure there is a replacement for superseded materials before withdrawing.

17.5.3 Promote: essential but rarely used materials should be displayed and marketed afresh to ensure users know about and use them.

17.5.4 Dispose: those not needed should be disposed according to the institutional/library policy

17.5.4.1 Sale: they can be sold at fairer prices to needy users or individuals outside of the institution

17.5.4.2 Donate: can be given to needy institutions that have value and use for these

17.5.4.3 Recycle: paper materials should be put in recycle bins for recycling

17.5.4.4 Destroy: other items can be destroyed completely

17.5.5 Inventory: mark in the catalogue records materials weeded from the library, and those replaced.

## **18.0 PRESERVATION AND CONSERVATION**

- 18.0.1 The library shall re-bind torn and worn-out materials that are repairable.
- 18.1.1 Torn and damaged books that cannot be repaired will be discarded but replaced with the latest editions in the market
- 18.1.2 The library will ensure the environment is conducive for all library material by keeping the library dust-free, insect-free, rodent protected, and all book enemies at bay.
- 18.1.3 The library will ensure proper shelving and storage of books as non-book Materials. Through continuous User Education, the library will ensure proper handling of all library material.
- 18.1.4 All library books are covered with Poly covers for protection.
- 18.1.5 The library will implement disaster management plans to deal with emergencies. Such plans may involve outsourcing where and when necessary.

## **19.0 PROMOTION OF STOCK**

- 19.0.1 Promotion of the use of library resources will be a continuous exercise through displays, library alerts exhibitions and a regular Library Bulletin.
- 19.1.1 AKU ensures that its teaching programmes encourage the use of library resources in all formats
- 19.1.2 The library will carry out continuous user education to encourage the use of library resources. The Library has also developed an Information Literacy Module (IL) taught to all users and is examinable as a Common Course.
- 19.1.3 There is a continuous schedule for IL that runs throughout the year, and any user is invited to sign in for either group or one-to-one tutorial.

## **20.0 EVALUATION, MONITORING AND REVIEWS**

The collection development policy is dynamic and is open to regular reviews. AKU will review this document through the seating of the library committee.

Library collection needs continuous evaluation to ensure that the library is fulfilling its mission and vision. Continuous evaluation will be carried out through the following exercises.

- 20.1.1 Periodic library reports
- 20.1.2 Daily use of statistics
- 20.1.3 User surveys

## **CONCLUSION**

This policy document has been written and circulated with the understanding that it remains as dynamic as possible. It is a living document adaptable to change and growth. The library will revise it annually in consultation with the University authorities.

The AKU library Collection Development Policy has been submitted to the University Authorities.