



**SOUTH EASTERN KENYA UNIVERSITY**

**LIBRARY POLICY**

**APRIL 2023**

### **Vision**

A globally competitive Centre of Excellence in Teaching, Research Innovation and Service.

### **Mission**

To provide quality education through teaching, research, extension, innovation and entrepreneurship with emphasis on dry land agriculture, natural resources and environmental management.

### **Core Values**

- Professionalism
- Innovation
- Integrity
- Freedom of Thought
- Teamwork
- Respect for and conservation of the environment

### **Philosophy**

Transforming lives through teaching, research, innovation and community service

### **Library Vision and Mission**

#### **Vision**

To be the heart of the University academic and research culture in the provision, dissemination and preservation of knowledge and substantially contributes to the dynamic intellectual growth of the scholarly community at large.

#### **Mission**

To be the center of excellence in the provision and exploitation of information resources and services to empower the University in carrying out its core activities of teaching, learning, research, extension, innovation and entrepreneurship for sustainable regional and national development.

## **FOREWORD BY THE UNIVERSITY COUNCIL CHAIRMAN**

The University council as per the requirement of commission for university education is committed in ensuring the Library meets its mandate by recruiting qualified staff, provision of infrastructure and funding.

The SEKU library is committed to offer quality service delivery in support of the University Vision towards providing quality education through teaching, research, extension, innovation and entrepreneurship with emphasis on dry land agriculture, natural resources and environmental management. The development of this library policy provides guidelines and scope for the Library to ensure it executes its mandate for the benefit of both staff and students.

This library policy provides a daily operation guideline of the Library and the hierarchy of decision making for the University Librarian, library staff and the University community. The policy has been developed to ensure high quality library services that provide for user needs and prudent use of library resources.

**PROF. CRISPUS KIAMBA, PHD**

**CHAIRMAN OF COUNCIL**

## **PREFACE BY VICE CHANCELLOR**

The SEKU library plays a critical role in ensuring the University offers quality teaching and research as stipulated in the University Education Quality Management System (QMS). The Library policy provides guidelines for effective library management in relation to collection development, circulation services, institutional repository and information literacy. The University is committed to ensuring the Library meets its objective with regards to increasing acquisition of relevant and up-to-date information resources. The Institutional Repository represents an unprecedented opportunity for the transformation of the traditional system of scholarly communication and information dissemination. SEKU supports the Open Access initiative by having an institutional repository which is an archive for collecting, preserving and disseminating digital copies of the intellectual output of research done by SEKU staff. The repository will contribute to the commitment of the University to support research activities.

**PROF. ENG. DOUGLAS SHITANDA, PHD**

**VICE CHANCELLOR**

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## **ABBREVIATIONS AND ACRONYMS**

|                |  |
|----------------|--|
| <b>AACR2</b>   | Anglo-American Cataloguing Rules Second Edition            |
| <b>CC</b>      | Creative Commons   |
| <b>CCTV</b>    | Close Circuit Television                                   |
| <b>CD- ROM</b> | Compact Disc Read-Only Memory                              |
| <b>CD</b>      | Compact Disc   |
| <b>COD</b>     | Chairman of Department                                     |
| <b>DVC-ARI</b> | Deputy Vice-Chancellor – Academic, Research and Innovation |
| <b>DVC-CS</b>  | Deputy Vice-Chancellor – Corporate Services                |
| <b>DVD</b>     | Digital Versatile/Video Disc                               |
| <b>ICT</b>     | Information Communication Technology                       |
| <b>IP</b>      | Intellectual Property                                      |
| <b>IR</b>      | Institutional Repository                                   |
| <b>ISBN</b>    | International Standard Book Number                         |
| <b>ISSN</b>    | International Standard Serial Number                       |
| <b>MARC</b>    | Machine-Readable Cataloging                                |
| <b>OPAC</b>    | Online Public Access Catalogue                             |
| <b>QMS</b>     | Quality Management System                                  |
| <b>SEKU</b>    | South Eastern Kenya University                             |
| <b>URL</b>     | Uniform Resource Locator                                   |
| <b>VC</b>      | Vice-Chancellor  |



## DEFINITION OF TERMS

1. **“Catalogue”** is an index to the items in the Library.
2. **“Collection development”** is the process of systematically building library resources to serve the needs of library users.
3. **“Copyright”** is the legal rights that authors have over their literary and artistic work.
4. **“Creative Commons (CC) License”** is one of the several public copyright licenses that enable the free distribution of copyrighted work.
5. **“Depositor”** is the originator of a record.
6. **“DSpace”** is an open source repository software package used for creating open access repositories for scholarly digital content.
7. **“Dublin Core Metadata Initiative”** is an application that provides core metadata vocabularies.
8. **“Information resource”** is any formal, informal, printed or electronic material that can be accessed.
9. **“Information services”** are the functions and support offered to library users.
10. **“Institutional Repository”** is a web-based archive of scholarly material produced by the members of a defined institution.
11. **“Intellectual Property”** is a category of property that includes intangible creations of the human intellect.
12. **“Library”** is the South Eastern Kenya University Library.
13. **“Member”** refers to student, staff, alumni, University Council and any other approved person.
14. **“Metadata”** is structured information that facilitates retrieval and use of information resources.
15. **“Open Access”** is the ability to freely use available information on the internet while granting the authors control over the integrity of their work.
16. **“Recall”** is a request made by library staff to users to return borrowed information items before their due date.
17. **“Scholarly Works”** is research, literary, performed and fictional works in various formats produced by academics
18. **“Staff”** is a person employed by the South Eastern Kenya University.

19. **“Student”** is a person admitted and registered by the South Eastern Kenya University.
20. **“Weeding”** is a systematic process of withdrawing obsolete and damaged resources from the Library.

## **PART I: INTRODUCTION**

### **1. Background Information**

- (1) SEKU was established by Charter on 1<sup>st</sup> March, 2013. SEKU is located off Machakos–Kitui Road, 17km from Kwa Vonza Market in the Lower Yatta District. The University lies on 10,000 acres of land in a serene and conducive learning environment. SEKU operates four campuses and centers namely: Kitui Town Campus, Wote Town Campus Mito Andei Center and Migwani Center.
- (2) SEKU offers various academic programmes in postgraduate, undergraduate, diploma and certificate. The current student population for postgraduate students is five hundred and sixty nine (569) and seven thousand one hundred and forty six (7,146) undergraduate students.

### **2. Justification for Need for a Library Policy**

- (1) The policy will facilitate in streamlining of the Library services and functions. This will ensure there is transparency on the Library operations to all staff, students and stakeholders.

### **3. Rationale**

- (1) To ensure effective and efficient service delivery and safeguarding the Library resources.

### **4. Scope of the Library Policy**

- (1) This policy provides guidelines in:
  - (a) Collection development
  - (b) Circulation services
  - (c) Digital information services
  - (d) Open access
  - (e) Information literacy

## **5. Quality Objectives**

- (1) The specific objectives of the policy are to:
  - (a) Guide in acquisition of relevant and up to date information resources
  - (b) Ensure fair and equitable access and use of library services by all library users
  - (c) Streamline application of ICT in provision of services and access to information resources
  - (d) Preserve students, staff and University's intellectual works
  - (e) Guide in information literacy training for long life learning among library users

## **PART II: COLLECTION DEVELOPMENT**

### **1. Introduction**

- (1) Collection development is the process of building useful, balanced collections over time within a set budget based on assessed information needs of the Library users.
- (2) Through collection development, the Library is able to facilitate flawless access to strong and distinctive collections.
- (3) SEKU library being an academic and research library strives to enhance and simplify access to resources which support the current curriculum and research needs of South Eastern Kenya University community.
- (4) The Library aims to provide information resources, both in print and electronic format.

### **2. Purpose of the Collection Development Guidelines**

- (1) The guidelines are to:
  - (a) Assist in selection and acquisition of information resources
  - (b) Provide purpose and standards in developing the University Library collection
  - (c) Describe the scope and nature of the collections
  - (d) Outline collection priorities
  - (e) Assist in the management of the life-cycle of items in the collection

### **3. Materials to be Selected**

#### **(1) Course Texts (hardbacks and paperbacks)**

- (a) The Library shall acquire course textbooks to supplement and complement the prescribed courses. Hardbacks will be preferred in cases where a book with similar contents is simultaneously available in both hardback and paperback.

#### **(2) Reference Materials**

- (a) Reference collections aim to provide comprehensive coverage of academic subjects in order to provide access to full information on specific topics. These include but not limited to dictionaries, encyclopaedias, gazetteers, yearbooks, handbooks, directories, concordances, indexes, abstracts, bibliographies, biographies, and atlases.
- (b) Complete sets or single copies of these will be acquired depending on the user demand and population.

#### **(3) Popular Works**

- (a) These are fiction and non-fiction information materials that encourage recreational and inspirational reading. The Library will acquire a limited copies in this area as identified.
- (b) The collection contains a selective representation of specific popular genres such as classics of mystery, African and Western fiction materials.

#### **(4) Theses and Dissertations**

- (a) The Library shall receive one copy of all theses and dissertations presented by postgraduate students at SEKU.
- (b) Both soft and hard copies of the same shall be acquired and archived in the University repository.
- (c) The Library is mandated to acquire all those theses that are presented by SEKU staff studying in other universities.
- (d) Published theses and dissertations shall be acquired in accordance with other published materials in the Library.

#### **(5) Audio and Visual Materials**

- (a) The Library shall acquire Audio and video resources (CD or DVD format) at the special request of faculty members.

- (b) The Library shall also maintain audio-visual materials acquired as part of textbooks and lend them to users on short loan basis.

**(6) Electronic Resources**

- (a) The Library shall select and purchase e-resources which support the current teaching and research activities of the University. These include e-books and e-journals.
- (b) Subscription to e-resources shall be annual or spread over several years.
- (c) The Library shall identify information services consortium that avail purchase of the selected e-resources.

**(7) Foreign Languages Materials**

- (a) The Library shall acquire materials for foreign language teaching. However, materials for non-language courses that are published in languages other than English and Kiswahili, with exception of dictionaries, encyclopaedias, and other reference books, shall be purchased only in those instances when there is evidence of their immediate usefulness to users.

**(8) Pamphlets**

- (a) Pamphlets are defined as publications with less than 40 printed pages. They shall be availed in the Library upon demand as identified by users.

**(9) Periodicals and Serials**

- (a) The Library shall maintain a strong, extensive collection of current periodicals and serials through subscription to journals, magazines and newspapers.
- (b) Hard paper is preferred for newspapers and magazines. Journals are in both electronic and hard copies.
- (c) In the event that both electronic and hard copies of a title are available, electronic copies of selected journals are acquired.
- (d) New subscriptions are to be made whenever they are requested by users or deemed desirable by the faculty.

**4. New Editions**

- (1) A new edition will be acquired if:
  - (a) There is evidence of a substantial revision of the former edition
  - (b) The previous edition is in high demand
  - (c) It is a requirement by accrediting body

## **5. Format**

- (1) The Library shall acquire information resources in print or electronic form to support multiple access.

## **6. Selection Aids**

- (1) The selection will be guided by the following:
  - (a) Publishers' brochures and catalogues
  - (b) Booksellers' stock list
  - (c) Online publishers catalogue
  - (d) Book reviews
  - (e) Online bookshops and subject bibliographies

## **7. Selection Criteria**

- (1) Selection criteria differ from one subject area to another, but in general, the following factors shall be considered in the decision to purchase a library resource:
  - (a) Relevance and quality of content
  - (b) Demand – projected need based on use patterns of similar material already in the collection
  - (c) Currency of content
  - (d) Format – electronic and print forms may be purchased according to learning, teaching and research needs.
  - (e) Adequacy of current holdings in the subject area.
  - (f) Availability of resources
  - (g) Cost of the information materials
  - (h) Author and publisher's reputation
  - (i) Language
  - (j) Accreditation requirements

## **8. Procedure for Acquisition of Library Resources**

- (1) The teaching staff shall identify sources of information, evaluate and select relevant information resources in all formats for acquisition while adhering to the procedure for acquisition of library resources (Appendix A).
- (2) Library users may submit requests through library e-mail or in writing indicating the Author, Title, Edition, Publisher and ISBN/ISSN of the items to be purchased.

- (3) The requests shall be cross-checked with records for existing materials and those on order to avoid duplication before placing the orders.
- (4) The Librarian shall send the requests to the School for concurrence.

## **9. Methods of Acquisition of Information Materials**

### **(1) Purchase and Subscription**

- (a) These will depend on the funds allocated in the Library budget for purchasing and subscription of information materials.

### **(2) Donation**

- (a) The Library shall accept donations of scholarly materials from faculty, students and the general public which support the instructional and research needs of schools and enhance the quality of the Library's collection.
- (b) The materials shall be evaluated by the Library in consultation with the faculty.
- (c) Monetary donations will be used to develop the collection in specific subject areas.
- (d) The Library may decide to accept or decline any gift. Factors considered in determining whether to accept gifts include the scope and value of the collection, the physical condition of the materials, the affiliation of the donor, whether the gift will require updating or other expenditure of funds, free of licensing, copyright or other restrictions, and consistency with existing SEKU's policies.
- (e) All formal requests and reports by donors shall conform to SEKU's policies. All eligible donations will be acknowledged with an official letter signed by the Librarian or the Deputy Vice-Chancellor Academic Research and Students Affairs, or Vice-Chancellor.
- (f) Once offered and accepted, donations become property of the Library and will then be integrated with the rest of the Library collection.
- (g) The Library will accept only unconditional donations and reserves the right to retain or dispose donated material in any method according to the information needs of the users.

### **(3) Deposits**

- (a) The Library shall acquire postgraduate theses and dissertations from all the Schools. SEKU publications include but not limited to almanacs, newsletters, university calendars, catalogues and pamphlets shall be accepted.



## **10. Processing of Library Collection**

- (1) All acquired materials shall be stamped, accessioned, classified and catalogued using the Agro-American Cataloguing Rules (AACR2), Library of Congress Classification Scheme (LCC) and cataloguing manual (Appendix B) while adhering to the procedure for library technical services (Appendix C).

## **11. Weeding of Book(s)**

- (1) The Library is committed to building a current and retrospective scholarly research collection in print and electronic formats. This involves decisions on what to retain, withdraw or move from active areas of the collection to ensure that the collection remains relevant and up to date.
- (2) The print collection shall be continually reviewed to decide what can be withdrawn or relocated. Factors to be considered in weeding of materials include:
  - (a) Lack of use within a reasonable time period
  - (b) Out of date information
  - (c) Multiple copies of titles no longer in demand
- (3) The final responsibility for deciding which materials to discard rests with the University Librarian in consultation with the Library committee and the Schools. Items weeded will be disposed according to the recommendations of the University Disposal Committee.
- (4) All records of withdrawn items will be updated in the Library management system to reflect the current collection in the Library.

## **12. Replacements**

- (1) Library materials that may have been lost or damaged beyond repair shall be considered for replacement if they are still useful.
- (2) Library users shall replace damaged or lost item with one of the same title and current edition or be charged for damaged or lost item(s) at the current market value of the material plus Kshs. 500 administrative cost. If the book to be replaced is not available locally, the current shipping fee will be charged.
- (3) If the damaged or lost book is not available, then one should pay for a closely related book.

### **13. Conservation and Preservation**

- (1) The Library shall endeavour to prolong the life of books as much as possible by:
  - (a) Repairing and binding of information materials that are worn out as per the procedure for library book binding services (Appendix D).
  - (b) Digitization of materials in need of conservation which fall within copyright law
  - (c) Ensuring proper handling of books is practiced by all

### **14. Safety of Library Resources**

- (1) The following strategies shall be used to ensure security of information resources:
  - (a) All print materials on arrival are given ownership stamps on various designated pages
  - (b) Security tattle strips are inserted in all print materials
  - (c) A library integrated security system is installed at the entrance and exit of the Library
  - (d) Installation of CCTV circuits along the reading areas, book stacks, entrance and exit.
  - (e) All non-print materials that can be networked are put on the SEKU intranet.

### **15. Copyright**

- (1) Most library materials are protected by the copyright law which makes deliberate infringements such as unauthorized copying a criminal offence.
- (2) Copying from whatever source from the Library must comply with the copyright Act, 2001 (chapter 130, 2014 revised edition) in Kenya.
- (3) All users of electronic information resources must abide by the terms of the appropriate licenses.
- (4) Library users shall observe the copyright laws whether in the Library or elsewhere.
- (5) The Library shall adhere to the copyright laws as applied internationally and in Kenya.

### **16. Evaluation and Stocktaking**

- (1) Periodic evaluation and stocktaking of library collection shall be carried out by university annual stocktaking audit committee in conjunction with the Library staff.

## **PART III: CIRCULATION GUIDELINES**

### **1. Introduction**

- (1) Circulation services comprise of activities of lending information resources to the Library users and providing reference services. Circulation guidelines, procedure for library user services (Appendix E), library rules and regulations (Appendix F) will be used to orient new library users on the use of the Library.

### **2. Purpose of Circulation Guidelines**

- (1) The guidelines are to:
  - (a) provide guidance on access and use of library resources
  - (b) understand the registration and clearance procedure of library users
  - (c) explain the process of borrowing and returning information resources
  - (d) guide on matters of fines and penalties

### **3. Library Opening Hours**

- (1) The opening hours for all SEKU libraries shall be determined by the University Librarian in consultation with the Library committee.
- (2) Current opening hours
  - (a) Monday – Friday 8.00 am –10 .00 pm
  - (b) Saturday –8.00am – 4.00 pm
  - (c) Sunday – 12.00 pm – 5.00 pm
  - (d) Public Holidays: Closed

### **4. Functions of the Circulation Section**

- (1) The circulation section is charged with:
  - (a) Orientation of new library users
  - (b) Registration and clearance of library users
  - (c) Checking-out and checking-in of library resources to registered library users
  - (d) Charging overdue, damaged and lost books
  - (e) Sensitizing and desensitizing of library books for security purposes
  - (f) Reservation and recall of books
  - (g) Enforcing library rules and regulations
  - (h) Provision of reference services

**5. Access to the Library**

- (1) Library users shall identify themselves at all times to gain access to the Library
- (2) Visitors shall seek authorization in advance from the Vice Chancellor to gain access

**6. Categories of Library Users**

- (1) The Library has categorized its users into two categories; those with full access, and those with limited access to the Library. The full access category of users is allowed to borrow library books while the limited access category is not allowed to borrow library books.
- (2) The following categories of users shall comprise library membership and their required documentation:

**Table 1: Full Access**

| <b>User Category</b>    | <b>Required Documentation</b> |
|-------------------------|-------------------------------|
| SEKU Teaching Staff     | Staff Identification card     |
| SEKU Non-teaching Staff | Staff Identification card     |
| SEKU Students           | Student ID Card               |

**Table 2: Limited Access**

| <b>User Category</b> | <b>Required Documentation</b>         |
|----------------------|---------------------------------------|
| Alumni               | Alumni Membership Card                |
| Visitors             | Authorization Letter from VC's Office |

**7. Registration of Library Members**

- (1) Registration as a member of the Library involves:
  - (a) Producing student or staff Identification Card
  - (b) Filling the Library registration form (Appendix G) available at the Library circulation desk to facilitate creation of a user account in the Library management system (Koha).

## **8. Borrowing**

(1) Borrowing of library books shall be as per the following guidelines:-

- (a) Student identification card or staff identification card shall be produced for the purpose of authentication.
- (b) Some library materials are not for loan outside the Library such as the reference books, periodicals, thesis and CD- ROM among others. This list can vary from time to time.
- (c) Loaned items should not be transferred from one borrower to another but must be returned to the Library and formally re-issued.
- (d) Books which have already been borrowed by other readers may be reserved by filling a book reservation form at the circulation desk.
- (e) Borrowed books should be returned/renewed at the campus where one borrowed.
- (f) The Librarian may decline to issue any particular item or to restrict its circulation.
- (g) Borrowed books may be recalled to the Library and users in possession of such book(s) shall be required to return the book(s) to the Library within three days of recall.
- (h) Borrowers are notified by automatic email two days earlier before borrowed materials are overdue.
- (i) Those who have overdue items or lost materials shall not be allowed to borrow.
- (j) Borrowers shall be responsible for checking that the resources they borrow are not damaged before they are borrowed, otherwise they will be held responsible for the damage and will be charged.
- (k) Marking, tearing and defacing of any library resource is strictly forbidden.
- (l) Borrowed library materials not returned after the due date attracts fines.
- (m) Borrowing rights may be withdrawn from a user who persistently keeps library materials overdue.
- (n) Any person suspended from the Library must be referred to the appropriate disciplinary committee for further action.
- (o) Only one book can be borrowed per time in the short loan section.
- (p) Loaning of books stops thirty (30) minutes to closing time.
- (q) The loan period for any book may be reviewed by the circulation Librarian depending on the demand for the book.

(r) External users will be allowed to use the Library for reference purposes only and not to borrow any library information resource.

## **9. Library book loan**

(1) There shall be two types of library loan for print books; the long loan and the short loan (three (3) hours). The duration for each type will depend on the category of the Library users and the level of demand for specific books. Below is a table of summarizing borrowing schedule.

**Table 3: Borrowing schedule**

| <b>Category</b>        | <b>Books</b> | <b>Period</b> |
|------------------------|--------------|---------------|
| Diploma students       | 4 books      | 2 weeks       |
| Undergraduate students | 4 books      | 2 weeks       |
| Postgraduate students  | 4 books      | 1 month       |
| Academic staff         | 4 books      | 1 month       |
| Non-Academic staff     | 2 books      | 2 weeks       |

## **10. Returning borrowed books**

- (1) Borrowed books should be returned/renewed at the circulation desk
- (2) Library materials may be renewed once, unless the books are reserved. Books on high demand may not be renewed.
- (3) All Library books shall be returned to the Library at the end of every semester.

## **11. Library Charges**

- (1) The following are guidelines on charges for a damaged or lost library material:-
  - (a) Borrowers shall be held responsible for the safe custody of any library material loaned to them.
  - (b) A library user who fails to return or renew books on the date due shall be charged a fine of ten (10.00) shillings per book per day, up to sixty (60) days. Thereafter the book will be assumed lost and surcharged in the user's financial account accordingly (Saturday, Sunday and Holidays are included in calculating the fines).

- (c) The fine period is counted from the date or/time following the stamped date or/time to the actual date or/time the book is returned, unless the borrower reports about a lost item to the Librarian in writing.
- (d) Any borrower who fails to return reserve materials at the specified time will be charged ten (10) shillings per hour.
- (e) A fine of twenty (20) shillings per book per day will be charged to those who fail to return recalled books.
- (f) All library books remain the property of the University and money paid for lost items is not refundable in case the lost item is later found.
- (g) A library member found receiving or making a call in the Library will pay a fine of fifty (50) shillings
- (h) Library user who loses the token issued at the luggage area will pay a replacement fee of three hundred (300) shillings
- (i) All library charges shall be paid at the University finance department.

## **12. Clearance from the Library**

- (1) All registered members shall produce their identification cards for clearance.
- (2) All registered members must clear with their respective campus library at the expiry of their membership.
- (3) All staff members leaving University employment for any reason should clear with the Library.
- (4) All students should adhere to University procedure for student clearance (Appendix H)
- (5) Any student who leaves SEKU before completion of the study must clear with the Library.
- (6) All users must pay for lost books and overdue fines before they are cleared from the Library.

## **PART IV: DIGITAL INFORMATION SERVICES**

### **1. Introduction**

- (1) The Library has extensively embraced ICTs in provision of information services which are open to all library users. This chapter will provide a regulatory framework for application and administration of ICTs in service delivery.

### **2. Purpose of the Digital Information Services**

- (1) The purpose of digital information services is to:
  - (a) Offer information on the available ICT services in the Library
  - (b) Provide guidelines on the use and management of electronic resources
  - (c) Ensure safety and maintenance of ICT resources

### **3. Electronic Resources and Services**

#### **(1) OPAC**

- (a) This facilitates searching and locating the physical collections within the Library.

#### **(2) Electronic Books and Journals**

- (a) The Library subscribes to worldwide databases which provide thousands of peer reviewed journal articles and books for access by library users. The links and subject coverage of these databases is provided in the Library website.

#### **(3) Off-campus Access**

- (a) This service facilitates access of electronic books and journals remotely when outside the University network coverage. Login credentials are provided to library users at the circulation desk.

#### **(4) Digital Repository**

- (a) This service archives and disseminates the scholarly works produced by SEKU fraternity at large.

### **4. Digital Library**

- (1) The Library has established a fully equipped digital library section which provides access to electronic resources and governed by the following guidelines:



- (a) Used for academic purposes only and in accordance to library rules and regulations (Appendix F).
- (b) The section will be supervised by a staff from the ICT Directorate
- (c) Library users are not be allowed to unplug any ICT equipment; install or uninstall any software

## **5. Communication**

- (1) The ICT related channels of communication will be:
  - (a) Library website
  - (b) SEKU corporate and library email
  - (c) Social media networks and
  - (d) Any other communication channel approved by the University

## **6. Passwords Management**

- (1) A database of passwords required for the administration of ICT resources will be maintained
- (2) Library staff will be assigned passwords and rights in library integrated systems according to their work requirements
- (3) Library staff will be responsible for the passwords allocated to them
- (4) All accounts will be deactivated for library staff who leave university employment
- (5) All library users account will be disabled once cleared from the Library
- (6) Passwords availed for access to e-resources should not be shared with unauthorized persons

## **7. Security of Data**

- (1) The Library will liaise with ICT directorate to ensure security of electronic data through the following guidelines:
  - (a) Back-up of data in all Library integrated systems servers will be done daily by the ICT directorate
  - (b) Library staff will be sensitized to constantly back-up important information in external disks or the cloud.
  - (c) Administrative passwords will be changed from time to time

- (d) The Library will liaise with the ICT Directorate to ensure that all library computers are installed with antivirus software.

## **8. Maintenance and Repair**

- (1) The Library will liaise with ICT directorate for technical support, repair and maintenance of all ICT equipment and software.

## **PART V: OPEN ACCESS INITIATIVE**

### **1. Introduction**

- (1) The University generates scholarly materials such as thesis, dissertations, conference papers, research papers and articles.
- (2) The University has established an institutional repository ([http:// repository.seku.ac.ke](http://repository.seku.ac.ke)) operating on DSpace software to archive the intellectual products created by the faculties, research staff, and the students.
- (3) These materials are made accessible online within and outside the institution.
- (4) The repository provides users a secure, stable and long term storage of researched work in a centralized location.

### **2. Purpose of the Open Access Initiative**

- (1) The purpose of the open access initiative is to:
  - (a) Provide access to scholarly works generated by the University.
  - (b) Preserve the University's scholarly works for posterity.
  - (c) Promote the visibility and impact of the University's research activities.
  - (d) Develop collaboration with the worldwide research community.

### **3. Open Access Guidelines**

- (1) The following guidelines will be followed in provision of free and open access to research output:
  - (a) The University Library shall be responsible for the management of digital repository.

- (b) South Eastern Kenya University Institutional Repository shall be coordinated and managed by the University Librarian with the participation of stakeholders in liaison with the Office of the Vice-Chancellor.
- (c) All members of the University community will be required to submit their scholarly output to SEKU Institutional Repository.
- (d) The Institutional Repository will operate as a non-commercial, open access facility.
- (e) SEKU requires its members to comply with the policies of research funders and publishers with regard to open access archiving.
- (f) Each member of the University community grants to SEKU University a non-exclusive, irrevocable, world-wide license to exercise any and all rights under copyright relating to their scholarly works in any medium, provided that the works are not sold for a profit, and to authorize others to do the same.
- (g) These guidelines apply to all scholarly works completed before and after the adoption of this policy except theses and dissertations sponsored by other institutions. In such an exception, only the abstract will be archived unless the author grants permission for full text archival.

#### **4. Institutional Repository Content**

- (1) The following types of materials shall be archived in the Repository:
  - (a) Theses and dissertations/research projects.
  - (b) Scholarly journal articles.
  - (c) Conference/seminar/workshop proceedings.
  - (d) Books and book chapters.
  - (e) Pictorial collections and newsletters.
  - (f) Audio and audio-visual materials.
  - (g) Technical reports and working papers.
  - (h) Inaugural lectures, distinguished lectures and speeches.
  - (i) University policies, statutes and other publications.
- (2) Other materials to be included in the repository maybe approved by the Library committee or the Senate.

#### **5. Submission Procedure Guidelines**

- (1) Only bona-fide members of South Eastern Kenya University shall submit items.

- (2) Authors shall submit their own work or work for which they have contributed to or may be attributed to.
- (3) Only repository administrators can upload, edit metadata or withdraw a particular item in the repository.
- (4) The Institutional Repository may accept deposits from institutional authors such as the SEKU or any of its specialized departments.
- (5) The University Librarian only vets items for the eligibility of authors/depositors and relevance to the scope of South Eastern Kenya University Open Access guidelines.
- (6) The validity and authenticity of the content of submissions is the sole responsibility of the depositor.
- (7) Any copyright violations are entirely the responsibility of the authors/depositors.
- (8) The SEKU Institutional Repository is not an exclusive repository. Authors may also deposit their work in other repositories.
- (9) If the University receives any claims of intellectual property violation, the relevant item will be removed from the repository immediately pending the outcome of investigations.
- (10) Any submission not meeting the submission criteria shall be returned to the depositor together with reasons for refusal.

## **6. Metadata**

- (1) Dublin Core Metadata Initiative Standard shall be used in submission of descriptive metadata.
- (2) Descriptive metadata is accessible and shall determine an item visibility by search engines.

## **7. Data Guidelines**

- (1) Copies of full items may be reproduced, displayed or performed, and given to third parties in any format or medium for personal research, study or education, provided full bibliographic details are provided and a hyperlink and/or URL are given for the original metadata page
- (2) The content shall not be changed in any way
- (3) SEKU Institutional repository is not a publisher; it is merely an online archive

## **8. Intellectual Property**

- (1) The publishers' policies shall be identified before archiving by:
  - (a) Identifying the rights an author retains to their work in the author agreement that every publisher requires upon manuscript submission
  - (b) In case the publisher agreement is unavailable, SHERPA/ROMEO database (<http://www.sherpa.ac.uk/romeo/search.php>) that provides information on publishers' default policies will be used.
  - (c) For publications not listed in Romeo and lacking author agreement, the publisher will be contacted directly but before the feedback the abstract can be archived
- (2) Research Funders archiving mandates, guidelines and policies in regard to open access of research results and publications shall be documented via the SHERPA/JULIET database (<http://www.sherpa.ac.uk/juliet/index.php>).
- (3) All depositors shall be required to sign the SEKU Institutional Repository Submission Agreement (Appendix I) in order to give permission for their work to be held in the Repository, to provide for the distribution of their work and to allow ongoing preservation of both their work and/or the related metadata.
- (4) It is the responsibility of the depositing author to alert the SEKU Institutional repository administrator if an item has not been published and may contain any useful intellectual property.
- (5) In case of copyright violation, the relevant item will be withdrawn from the repository.
- (6) Where research is generated as a result of collaboration between multiple authors, SEKU Institutional Repository will accept an author signature on behalf of the co-authors in good faith. Should there be an objection raised, the material in question will be withdrawn subject to further investigation of the complaint.

## **9. Preservation**

- (1) SEKU repository will retain items indefinitely and take appropriate measures as warranted
- (2) The University is committed to responsible and sustainable management of items deposited in the University Institutional Repository
- (3) Submitted items will be assigned a permanent identifier and web address (URL)
- (4) The University will endeavor to provide continued accessibility to the deposited items

- (5) Regular backing up of repository contents will be done according to best practices

## **10. Withdrawal, Retention and Replacement**

- (1) Withdrawal of items from the repository maybe due to:

- (a) Copyright infringement or plagiarism
- (b) Libelous content
- (c) Legal requirements and proven violations
- (d) National Security
- (e) Falsified research
- (f) Request by author

### **(2) Retention**

- (a) Items withdrawn from the repository will not be deleted, but removed from the public view
- (b) In the event that a depositor leaves SEKU, their items shall be retained in the Repository unless the depositor seeks to exercise their rights and obligations under the Replacement clause

- (3) An item may be replaced by another updated version upon written request by the depositor if:

- (a) There is an error in the archived item or
- (b) A published version of the item becomes available and needs to replace the unpublished version on the repository.

## **11. Quality Control**

- (1) All items submitted to the repository will be subjected to the following quality control criteria:

- (a) The repository staff will review and assess all submissions before archiving them in the Institutional Repository for eligibility of the depositor/author and valid metadata
- (b) The validity and authenticity of the content is the responsibility of the depositor
- (c) Any item not meeting the quality control criteria will be returned to the depositor together with reasons for refusal

## **PART VI: INFORMATION LITERACY**

### **1. Introduction**

- (1) According to the Commission of University Education guidelines, the Library is mandated to provide information literacy training to all users so as to equip them with the necessary skills to utilize information resources.
- (2) The Library staff shall be guided by an information literacy curriculum (Appendix J).

### **2. Purpose of Information Literacy**

- (1) The purpose of information literacy training is to:
  - (a) Equip library users with skills to recognize when they need information, where to locate it and how to use it effectively and efficiently.
  - (b) Improve the ability of library users to make effective use of the Library resources, services, and library personnel
  - (c) Develop deep learners with problem solving, critical thinking and proactive learning skills.
  - (d) Inculcate vital information skills for success in education and occupation.

### **3. Information Literacy Guidelines**

- (1) SEKU library is committed to offer information literacy training as set out below:
  - (a) All library users shall be entitled to the Library information literacy training
  - (b) All library users shall have access to online and printed support materials
  - (c) Library orientation shall be conducted to all undergraduate and postgraduate students at the start of their course.
  - (d) All academic and non-academic staff will be oriented to library services and resources at the start of their employment.

## **PART VII: IMPLEMENTATION AND REVIEW**

### **1. Introduction**

- (1) The implementation of this policy will play a pivotal role in supporting the Library achieve its mission of being the center of excellence in the provision and exploitation of information resources and services to empower the University in carrying out its core activities of teaching, learning, research, extension, innovation and entrepreneurship for sustainable regional and national development.

### **2. Implementation of the Policy**

- (1) The implementation of this policy shall be vested in the office of the Deputy Vice Chancellor (ARI) and the University Librarian shall be responsible for its implementation.

### **3. Review of the Policy**

- (1) The policy will be reviewed after four years or when there is a need. Any modifications in the information environment will be incorporated in the policy to ensure it remains current and relevant.



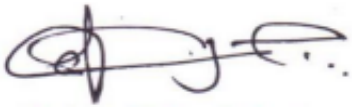
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6. Open Access policy for Kenyatta University
7. Open Access policy for University of Nairobi
8. Statutes of SEKU University
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## APPENDIX A: PROCEDURE FOR ACQUISITION OF LIBRARY RESOURCES



### SEKU/MR/OP/034: PROCEDURE FOR ACQUISITIONS OF LIBRARY RESOURCES

|   |   |
|---|---|
| AUTHORIZATION: This procedure has been issued under the authority of the MR |   |
| TITLE/POSITION:   | DVC – AHRM, ISO MANAGEMENT REPRESENTATIVE   |
| SIGNATURE:  |  |
| DATE OF ISSUE:  | JANUARY 2017  |
| DOCUMENT CONTROL  |   |
| ISSUE NO  | 03  |
| REVISION NO   | 02  |
| Controlled issue of this procedure will be final in case of dispute         |   |
| SEKU  | DVC – AHRM / MR   |

## **1.0 PURPOSE**

The purpose of this procedure is to outline the steps undertaken in the acquisition of library information resources.

## **2.0 SCOPE**

The procedure shall cover selection, ordering and receiving of information resources in the SEKU Libraries.

## **3.0 REFERENCES**

- 3.1. Book Publishers and Suppliers catalogues
- 3.2. CUE Standards and Guidelines for University Libraries in Kenya
- 3.3. Course outlines from the various Schools
- 3.4. SEKU Library Policy
- 3.5. SEKU Quality Manual - **SEKU/MR/QM/01**

## **4.0 TERMS DEFINITIONS AND ABBREVIATIONS.**

**VC** - VICE CHANCELLOR

**DVC** - DEPUTY VICE-CHANCELLOR

**ARI**- ACADEMIC, RESEARCH AND INNOVATION

**CODS** - CHAIRMAN OF DEPARTMENTS

**CUE** - COMMISSION FOR UNIVERSITY EDUCATION

## **5.0 RESPONSIBILITIES**

The University Librarian shall have the principal responsibility of ensuring that the procedure is fully implemented.

## **6.0 PROCEDURE DETAILS**

- 6.1. The teaching staff shall identify sources of information, evaluate and select relevant information resources in all formats for acquisition.
- 6.2. Deans and COD shall approve Book Order Request Forms (**SEKU/ARI/LIB/F - 19**) and submit to the Librarian.
- 6.3. The Acquisition Librarian shall receive, cross-check the requests with the records of existing information materials to avoid duplication, and compile complete book order lists (**SEKU/ARI/LIB/ F - 20**), and forward to the University Librarian who forwards the compiled book order list to the School for concurrence. The University Librarian shall forward the concurred book order list to the Library

committee for discussion and approval.

6.4. The University Librarian shall send the approved book order lists to DVC - CS through the DVC - ARI for official approval and allocation of funds.

6.5. The DVC - CS approves the book order list and forwards it to Procurement Officer for procurement of books.

6.6. The Acquisition Librarian shall receive and verify the information resources from publishers and suppliers in accordance with the order list.

6.7. The Acquisition section shall organize for the accessioning (identification & referencing) and stamping of all received information resources with SEKU Library Ownership marks.



**LIBRARY SECTION**

BOOK REQUEST FORM

Department: ..... Date: .....

| S/No | Title | Author | ISBN | Publisher & Place of Publication | Year & Edition | Qty |
|------|-------|--------|------|----------------------------------|----------------|-----|
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Recommended by: ..... Signature: ..... Date: .....

Approved (Head of Department): ..... Signature: ..... Date: .....



**LIBRARY SECTION**  
**BOOK ORDER LIST**

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**Department:** ..... **Date:** .....

| S/No | Title | Author | ISBN | Publisher & Place of Publication | Year & Edition | Qty |
|------|-------|--------|------|----------------------------------|----------------|-----|
|      |       |        |      |                                  |                |     |
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Librarian: ..... Signature: ..... Date: .....

## **APPENDIX B: CATALOGUING MANUAL**

### **1.1 Introduction**

The main aim of the cataloguing manual is to ensure consistency of how Information Resources (IR) are entered in the cataloguing module of the Library management system.

### **1.2 KOHA Library Management System**

- i. KOHA is an open source Integrated Library System (ILS), used world-wide by all types of libraries. It is a web based ILS with the cataloguing data stored in MARC and accessible via Z39.50. It has two interfaces, staff and user.
- ii. To log on to the staff interface, a username and a password are required. This is the interface used to create and manipulate the data. This enables one to create a new record, edit a record and its items.
- iii. The user interface is used by the Library users to access the data stored in the system. It is accessed through the Online Public Access Catalogue (OPAC). In this interface, a user name or a password is not required. To log in, go to SEKU Library website, and click the Library catalog. Here, one is able to search the database.
- iv. To access the KOHA staff interface home page follow the link [catalog.seku.ac.ke:8080](http://catalog.seku.ac.ke:8080). Staff needs an account with a user name and password to log in. There are various modules in KOHA namely: Acquisitions, Cataloguing, Circulation, Tools, Reports among other modules.

### **1.3 Cataloguing Module**

Editing the record/Adding a new record in the MARC record one should follow the following steps:-

- i. Search exhaustively for the record using the advanced search option. Use either the Author or the Title or better still the BOOLEAN search, combining the two. If not in the database, create a new record.
- ii. Records can be created/added to KOHA via original or copy cataloging. For original cataloguing, a record is created using a blank template in a chosen framework in reference to cataloguing tools, while for copy cataloguing, a record is created based on an existing record at another library. For this, click 'Z39.50 Search' then search for the item. The results for the records can be viewed in MARC /Card view or choose to Import them into KOHA.

- iii. To create a new record, click on Cataloging then New Record and choose the default framework.
- iv. On this framework are all the fields and sub-fields required to give the bibliographic description and details of the item to be catalogued/classified. There are 10 fields which all contain different levels of description.

**(i) Field 0**

- a) It has some entries that are available by default. Just click. These are fields 000, 003, 005, 008.
- b) In subfield 020(a), key in the thirteen digits ISBN, if not available, key in the one provided. Do not include the spaces or the hyphens.
- c) At 040 (a) use SEKU i.e. South Eastern Kenya University as the Cataloguing Source.
- d) 050 (a) enter the classification number of the item which is gotten either from; The Cataloguing In Publication (CIP) data, The Library of Congress Online Catalog, existing records in the database in the same subject, or the Library of Congress Subject Headings. The classification number is determined by the subject of the IR (information resource) which is either from the title, verso page, the preface, introduction or the table of contents.
- e) 050 (b) is the item number/the cutter number/Author mark derived from the cutter table using the two letters of the main entry. This number is preceded by a full stop. If the IR (information resource) is an edition, conference/seminar/workshop proceedings, include the year as part of the item number for example, LB 1044.87 .P6 2012.
- f) Remember to check if the cutter is existing. To do this, search the database using the assigned call number excluding the year. If the cutter is existing, extend it with the next available cutter regardless of the third letter. For manuals, solution/study guides, extend the cutter by 1.

**(ii) Field 1**

This is where the main entry of the IR is entered. The main entry is determined by the Information provided in the title page of the IR. It could either be an Author, for example, Poore, Megan (starting with the surname), a corporate body e.g. South Eastern Kenya University or a meeting/seminar/workshop name example, Conference on Agricultural Input and Services.

- a) When it is a personal name enter the author's name at 100 (a) starting with the surname.



- b) As per the SEKU in-house cataloging specifications, Editors are considered as Authors. If the IR is authored by one Author, the name is entered in the subfield 100(a) and is not repeated in any other field. If the IR is authored by more than one person but less than three, the first Author is also entered in the same field while the other two are entered at field 7 (see field 7). Where the Authors are more than three, the main entry becomes a title entry.
- c) If the IR is authored by a Corporate body, enter the name of the body at 110 (a) and the exact department/subordinate unit at 110 (b), e.g. South Eastern Kenya University (corporate body), and Library Department (subordinate unit).
- d) If a Conference/Seminar/Workshop enter the meeting name at 111 (a), Location of the meeting at 111(b) and the date of the meeting at 111 (c).
- e) If the IR is under title entry, according to SEKU in-house cataloging the title is entered in subfield 130(a).

**(iii) Field 2**

This is where the title of the book is entered, statement of responsibility, edition statement and the imprint i.e. Publisher, place of publication and date.

- a) In subfield 245 (a) the title of the IR is entered and 245 (b) its subtitle if it is there. In subfield 245 (c), enter the name of all Authors if the IR is by more than one Author, if more than 3 authors, enter the first one and add ... [et al.], then repeat the same Author at field 7 subfield 700(a). Also state the translators, illustrators and compilers if provided.
- b) 250 (a) enter the edition of the book if any for example 2<sup>nd</sup> ed. 2<sup>nd</sup> rev. ed.
- c) 260 enter the imprint details: (a) Place of publication, (b) Name of publisher and (c) Date of publication

**(iv) Field 3**

Enter the physical description details of the IR and other accompanying materials for example, maps, CDs and/or DVDs

- a) 300 (a) the pagination of the book e.g. 567 p. (For volumes do not put the number of pages but indicate with letter V to indicate that the title is in volumes e.g. V.) 300 (b) If there are illustrations, abbreviate with ill. Preceded by a full colon after the pagination area e.g. 897 p.: Do not put the colon at the pagination area if the illustrations are not provided.
- b) Illustrations include diagrams, photos, tables etc.

- c) 300 (e) accompanying material. e.g. + 1 CD ROM. A new record is not created for CDs, but instead they are identified in the same record at the edit items interface field 7 [c], shelving location and field y, KOHA item type.

**(v) Field 4**

This field is for the series statement. The series is usually found on either the book cover, preliminary pages or on the verso page. Title of the series is entered in subfield 490(a) while the series number is entered in subfield 490(v). For example Public management series; no.3 Public management series; at subfield 490(a) no.3 at subfield 490(v)

**(vi) Field 5**

The bibliographic references (if any) are entered here and any other notes that may be useful to the users.

- a) In subfield 500 (a), a general note is entered. Also, a note is put explaining anything that may have been added which does not conform to the AACR2 or is SEKU Library in-house modification/alteration. Notes on Projects, Theses and Research proposals are indicated.
- b) For volumes, enter the volume number and its content at 500. For example:-

Contents: Vol. 1: Nonlinear differential equations and dynamical systems

Vol. 2: Wavelets, subdivision algorithms, and radical basis functions.

- c) Some books come with notes that are important to both the cataloguer and user. In such a case, the note is entered in subfield 501.
- d) Bibliographical references are entered in subfield 504, as “*Includes bibliographical references*”.

**(vii) Field 6**

Enter the subjects of the IR. If the IR covers several subjects clone subfield 650 to accommodate them all.

An example: Teaching materials – Grammar – Textbooks – 2013 – Kenya – Nyamira County

- a) The main subject i.e. Teaching materials is entered in subfield 650 (a)
- b) The main subject is further subdivided into Grammar, which is entered in subfield 650 (x), General subdivision.

- c) Subjects like, dictionaries, handbooks, essays, textbooks etc. are referred to as Form subdivision. In this example Textbooks is a form subdivision and is entered in subfield 650 (v)
- d) Where there is a Chronological subdivision, e.g. eras, periods or even years, such are entered in subfield 650 (y). In this example, 2013 is a chronological subdivision.
- e) In case the subject covered is for a specific area or region, such is entered in subfield 650 (z), Geographical subdivision. In the example given, Kenya is a specific region and should be put in subfield 650 (z). Where the specific region is further subdivided into a smaller region or area, this subfield is cloned to accommodate the smaller division. In the example Nyamira is a smaller region. When adding the geographic subdivision, the bigger area is entered first followed by the smaller division. In the example, Kenya will come first followed by Nyamira and not Nyamira followed by Kenya.
- f) When a country is the main subject of the IR such is entered in field 651 (a) and when its individual author 600 (a), corporate author 610(a), for periods like year 2010, 20<sup>th</sup> century among others 648 (a)

**(viii) Field 7**

It is for the additional authors as mentioned earlier, when they are two, three, or more than three.

When there are two Authors, enter the second one, when three, enter the second and third Authors, if more than three, enter only the first named Author in subfield 700 (a). Subfield 700 (e) acknowledges the compiler, editor, illustrator etc. if it is indicated.

**(ix) Field 8**

Currently no relevant entries in field 8.

**(x) Field 9**

It identifies the classification scheme in use and the type of IR being processed.

- a) In subfield 942 (2) choose the Library of Congress.
- b) Subfield 942 (c) identifies the type of IR being processed. It could be General circulation, Africana, Short loan or Reference, Thesis, CD, DVD, Maps etc. This will determine the display icon of the record for visual identification.

After all fields are entered, save the record.

The next step is to edit the item.

### **(xi) Editing the Item**

Edit items interface is where each copy in the record is identified by the use of the accession number which is unique for each copy. The accession number is used in checking out/in of the IRs. Each record can have several copies which are differentiated by the accession number. In KOHA language, the accession number is referred to as the barcode and the physical material being worked on as the item, hence the term edit item interface. The location of each item is defined here.

#### **In this interface, data is entered in several fields:**

- (1) Field 7(a) The Location (home branch) of each item is defined at subfield 7 (a) e.g. SEKU – Main Campus Library, SEKU – Kitui Town Campus Library, etc.
- (2) Permanent location is the same as the Current location and is defined in subfield 7 (b).
- (3) Subfield 7 (d) gives the date of acquisition of the IR by default.
- (4) Cost of the item is indicated in subfield 7 (f).
- (5) Subfield 7 (h) defines the volumes or parts of the IR e.g. V. 1, Pt. 1
- (6) Subfield 7 (o) is for the call number, e.g. QA 76 .R5P8, H 62 .M8 2001
- (7) Subfield 7 (p) is for the barcode/accession number. It is entered exactly the way it is in the IR.
- (8) The KOHA item type is defined in subfield 7 (y) e.g. Africana, General Circulation, Reference, Thesis, Project, CD, DVD, Maps among others.
- (9) Click “add item,” to save the item information.

At this point the record is complete and it can be displayed in the various formats i.e. Normal, MARC, and ISBD.

From this point continue adding similar items to the record instead of creating a new one as you receive them in the Library.

### **(xii) Books in Volumes**

- a) The call numbers for books in volumes should be entered as QA 76 .L56 2001 V.1. The volume should come last.
- b) Many volumes. At the extent field, entry should be V. not v, Vols. or vols. And no pagination in numerals
- c) If the book is in Volumes, the ISBN field to be cloned to cater for the different volumes

Example: 978001189765 - V.1

- d) Where the content of each volume is indicated, enter in *Field 500: (general note)*.  
The entry should be like, Contents: V.1. Anatomy – V.2 Physiology – V.3 Medicine.
- e) On the “Add Items” interface, field “h” for volumes should simply be V.1 and not vol. or vols.

### **(xiii) Special Collections**

These are the information materials kept in Reference section, Short loan section and Theses and any other material of special interest or require special treatment.

#### **1. Data entry for the record**

Data is entered in all fields the same way except in the following:

- (1) For Theses, there is a general note in field number 5, sub field 500, the format of which should be as follows, **Thesis (M.Ed.) South Eastern Kenya University, 2005.**
- (2) Field number 9, subfield 942 (c), KOHA [default] item type, should be Thesis

#### **2. Data entry for the items**

a. The shelving location of all reference materials should be under Reference section while for Short loan should be under Short loan section.

### **(xiv) KOHA record editing guidelines**

**1.** Search exhaustively for the record using the advanced search option. Use either the Author or the Title or combine both search terms. **[Never at any one time use the accession number].** This will display all similar records. Compare the bibliographic details. The following will be some of the possible scenarios:

**a) Duplicate records:** These have similar bibliographic details. Merge them into one record.  
**b) Double records.** These are similar records with some differences either in call number, cutter number, and main entry, different editions with different call numbers or cutter number, among others. Confirm the correct number. Get the other copies from the shelves and do the corrections. Same titles can have the same call number but different cutter number.

**2) Never** change the call number or accession number or barcode information in the book without changing the same in the record within the system and vice versa. If there is need to make changes in the book which is not there, go to the shelves and locate the physical book to make the necessary changes.

3) **Always** enter the barcode as it is in the book. If the year is in full, enter it as it is, e.g. 03421 do not enter it as 3421 as it will be an entirely different item. The accession number should have no comma, space, hyphen or full stop. In case the barcode is already in existence, a message, "**barcode must be unique**" pops up when saving the item. Do not try to alter or change it. Go to the accession register and confirm what accession number /barcode is for which book.

4) All items in one record should bear the same Call number and cutter.

5) Always check for grammatical or typographical errors/mistakes.

6) There are some books, especially the ones that has been transferred, will display the following message: "**in transit from this campus to this campus, e.g. in transit from SEKU Main Campus Library to SEKU Nairobi Campus Library**". In such a case,

a. Edit the record as it is supposed to be edited.

b. Edit the item as it is supposed to, but do not change the current location; let it remain as in the indicated campus as the case maybe.

c. Write down the accession number(s) and cancel/remove the message '**in transit**'.

d. To remove/cancel the '**in transit**' message,

- Go to Circulation module.
- Then transfer.
- Transfer the respective item back to the right Campus.
- Go to transfers to receive.
- Locate the accession number.
- Cancel the transfer

**(xv) CUTTER TABLE**

**1. After initial vowel**

for the second letter: b d l-mn p r s-tu-y

use number: 2 3 4 5 6 7 8 9

**2. After initial letter S**

for the second letter: a ch E h-i m-pt u w-z

use number: 2 3 4 5 6 7 8 9

**After initial letters**

**3. Qu**

for the second letter: a e I o r t y

use number: 3 4 5 6 7 8 9

For initial letters Qa-Qt, use 2-29

**4. After other initial consonants**

for the second letter: a e I o r u y

use number: 3 4 5 6 7 8 9

**5. For expansion**


for the second letter: a-d e-h i-l m-o p-s t-v w-z

use number: 3 4 5 6 7 8 9

## APPENDIX C: PROCEDURE FOR LIBRARY TECHNICAL SERVICES



### SEKU/MR/OP/035: PROCEDURE FOR LIBRARY TECHNICAL SERVICES

|   |   |
|---|---|
| AUTHORIZATION: This procedure has been issued under the authority of the MR |   |
| TITLE/POSITION:   | DVC – AHRM, ISO MANAGEMENT REPRESENTATIVE   |
| SIGNATURE:  |  |
| DATE OF ISSUE:  | JANUARY 2017  |

|   |                 |
|---|-----------------|
| DOCUMENT CONTROL  |                 |
| ISSUE NO  | 03              |
| REVISION NO   | 02              |
| Controlled issue of this procedure will be final in case of dispute |                 |
| SEKU  | DVC – AHRM / MR |



## **1.0 PURPOSE**

The purpose of this procedure is to outline the steps undertaken in the organization of library information resources.

## **2.0 SCOPE**

The procedure shall cover the processing and organization of information resources in the SEKU Libraries.

## **3.0 REFERENCES**

- 3.1 AACR II and MARC Record
- 3.2 Library of Congress Subject Headings
- 3.3 Library of Congress Classification Schedules
- 3.4 SEKU Library Online Catalogue
- 3.5 SEKU Cataloguing Manual
- 3.6 SEKU Library Policy
- 3.7 SEKU Quality Manual - **SEKU/MR/QM/01**

## **4.0 TERMS, DEFINITIONS AND ABBREVIATIONS.**

**VC** - VICE CHANCELLOR

**DVC** - DEPUTY VICE CHANCELLOR

**ARI**- ACADEMIC, RESEARCH AND INNOVATION

**CODS** - CHAIRMAN OF DEPARTMENTS

**CUE** - COMMISSION FOR UNIVERSITY EDUCATION

## **5.0 RESPONSIBILITIES**

The University Librarian shall have the principal responsibility of ensuring that the procedure is fully implemented.

## **6.0 PROCEDURE DETAILS**

6.1. The Technical section shall receive information resources from the Acquisition Section for processing.

6.2. The Technical section shall insert security tattle strips in all print materials.


6.3. The Technical section shall classify and catalogue the information resources according to the Library of Congress Classification Scheme.

- 6.4. The Technical section shall update the Library catalogue with the new information resources processed.
- 6.5. The Technical section shall ensure that all the information materials have been bar-coded and spine marked (call numbers placed on the spine of book) for location and easier identification.
- 6.6. The Technical section shall also ensure that all the information materials have been pasted with date-due slips.
- 6.7. The Technical section shall provide Current Awareness Services (CAS) to inform the users about new acquisitions by placing the information resources on the display shelf or circulating complete lists to users' via email or website.
- 6.8. The Library staff shall ensure that all the information resources are properly arranged on the shelves according to their categories and subjects for ease of retrieval.

## APPENDIX D: PROCEDURE FOR LIBRARY BOOK BINDING SERVICES



### SEKU/DVC/ASA/LIB/004: PROCEDURE FOR LIBRARY BOOK BINDING SERVICES

|   |   |
|---|---|
| AUTHORIZATION: This procedure has been issued under the authority of the MR |   |
| TITLE/POSITION:   | DVC – AHRM, ISO MANAGEMENT REPRESENTATIVE   |
| SIGNATURE:  |  |
| DATE OF ISSUE:  | JANUARY 2017  |

|   |                 |
|---|-----------------|
| DOCUMENT CONTROL  |                 |
| ISSUE NO  | 03              |
| REVISION NO   | 02              |
| Controlled issue of this procedure will be final in case of dispute |                 |
| SEKU  | DVC – AHRM / MR |

## **1.0 PURPOSE**

The purpose of this procedure is to outline the steps undertaken to ensure that library information resources are regularly bound to conserve them.

## **2.0 SCOPE**

The procedure shall cover receiving, recording and binding of information resources from soft paper backs to hard paper backs to prolong their usage.

## **3.0 REFERENCES**

- 3.1. Book Publishers and Suppliers catalogues
- 3.2. CUE Standards and Guidelines for University Libraries in Kenya
- 3.3. Course outlines from the various Schools
- 3.4. SEKU Library Policy
- 3.5. SEKU Quality Manual- **SEKU/MR/QM/001**

## **4.0 TERMS DEFINITIONS AND ABBREVIATIONS**

**VC** - VICE CHANCELLOR

**DVC** - DEPUTY VICE CHANCELLOR

**ARI** - ACADEMIC, RESEARCH AND INNOVATION

**CODS** - CHAIRMAN OF DEPARTMENTS

**CUE** - COMMISSION FOR UNIVERSITY EDUCATION

## **5.0 RESPONSIBILITIES**

The University Librarian shall have the principal responsibility of ensuring that the procedure is fully implemented.

## **6.0 PROCEDURE DETAILS**

6.1. The Binding Section shall receive books and periodicals that require binding from the Technical and User Services Sections, assesses the books/periodicals and records them accordingly in the book list binding form **SEKU/ARI/LIB/F - 25**.

6.2. The information materials that are beyond repair and are rarely used will be weeded and disposed in accordance to the Library policy.

6.3. The Head-Binder shall ensure that binding and repair of all information materials is done appropriately as required and that the resources are in good form and shape.

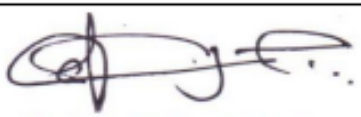
6.4. The finished bound books are returned back to the shelves and arranged

appropriately.

## APPENDIX E: PROCEDURE FOR LIBRARY USER SERVICES



### SEKU/MR/OP/036: PROCEDURE FOR LIBRARY USER SERVICES

|   |   |
|---|---|
| AUTHORIZATION: This procedure has been issued under the authority of the MR |   |
| TITLE/POSITION:   | DVC – AHRM, ISO MANAGEMENT REPRESENTATIVE   |
| SIGNATURE:  |  |
| DATE OF ISSUE:  | JANUARY 2017  |

|   |                 |
|---|-----------------|
| DOCUMENT CONTROL  |                 |
| ISSUE NO  | 03              |
| REVISION NO   | 02              |
| Controlled issue of this procedure will be final in case of dispute |                 |
| SEKU  | DVC – AHRM / MR |

## **1.0 PURPOSE**

The purpose of this procedure is to ensure access to library information services by users.

## **2.0 SCOPE**

The procedure shall cover user registration, access, borrowing and returning of library information resources in the SEKU Libraries.

## **3.0 REFERENCES**

- 3.1. SEKU Library Policy
- 3.2. SEKU Library User Guides
- 3.3. SEKU Library Online Catalogue
- 3.4. SEKU Library Service Charter
- 3.5. SEKU Library Rules and Regulations
- 3.6. SEKU Quality Manual - **SEKU/MR/QM/001**

## **4.0 TERMS, DEFINITIONS AND ABBREVIATIONS.**

**VC** - VICE CHANCELLOR

**DVC** - DEPUTY VICE CHANCELLOR

**ARI**- ACADEMIC, RESEARCH AND INNOVATION

**CODS** - CHAIRMAN OF DEPARTMENTS

**CUE** - COMMISSION FOR UNIVERSITY EDUCATION

## **5.0 RESPONSIBILITIES**

The University Librarian shall have the principal responsibility of ensuring that the procedure is fully implemented.

## **6.0 PROCEDURE DETAILS**

### **6.1. Circulation**

- 6.1.1. The Circulation Librarian shall verify eligibility for registration by the user through the availing of a valid student or staff identification card and register them through the Online Library Registration Form **SEKU/ARI/LIB/F - 24** which is filled upon prior studying of the Library Rules and Regulations and Library User Guide.

- 6.1.2. The Circulation Librarian shall key in the registered users' details to the

Online Library Management System and generate users' barcodes, which shall be stuck at the back of their valid student or staff identification card.

- 6.1.3. The user shall search for information resources using the Online Public Access Catalogue (OPAC).
- 6.1.4. The Library information resources can either be used in the Library or borrowed for a specific duration of time in line with the Library Rules and Regulations.
- 6.1.5. The user shall produce his/her identification card when borrowing the Library information resources.
- 6.1.6. The user shall return borrowed library resources within the specified period and any overdue library information resource shall attract appropriate fines.



## **APPENDIX F: LIBRARY RULES AND REGULATIONS**

The Library rules and regulations are designed to ensure that provision of library resources, services and facilities is effective and efficient. All library users must read and understand the rules and regulations and abide by them. Users who violate library rules and regulations may be suspended or prohibited from using the Library. Breach of these regulations may also be referred to the University disciplinary committee.

The following rules and regulations shall apply in the use of the Library:-

1. All users accessing the Library must produce their student/staff identification card.
2. It is an offense to use another person's identification card.
3. Good order must be maintained in the Library.
4. Silence must be observed at all times.
5. Eating, drinking, sleeping or smoking and use of open fire are forbidden.
6. Refreshments, ink bottles and any other materials which might accidentally damage library books or property must not be brought to the Library.
7. Use of mobile phone and other devices which can disrupt users in the Library is prohibited; all mobile phones should be on silent mode.
8. Stealing or attempting to steal any library resource or property is an offence. The incidence will be recorded on the Library occurrence book and the offender handed over to the University security personnel for necessary action.
9. Brief cases, bags, parcels, folders, overcoats, hats, umbrellas are not allowed in the Library. All users should leave their items at the luggage area.
10. The Library shall not take responsibility for loss or damage of personal property left in reading areas. Users are required to ensure that valuable items are not left in the luggage area.
11. Damaging, mutilating or defacing of library materials, equipment, or any other property is an offence. Those responsible must pay for the damage.
12. No books shall be taken out of the Library unless it has been officially issued.
13. Library books shall not be taken out of the country without prior permission of the Librarian.
14. Books used in the Library must be left on the reading tables. Users should not resshelf books after reading.
15. All newspapers must be read within the designated reading section.
16. Library seats should not be reserved.

17. Entry and exit to and from the Library must be through the authorized entry and exit points.
18. Users of laptops must maintain order and avoid distracting other library users.
19. Library users shall not use laptops or computers to play games, betting, watch movies, or play music while in the Library.
20. Users of laptops are advised to use the wireless network (WIFI) and are not allowed in the digital library section.
21. Access to digital library must be for the purpose of academic research.
22. Installing software's in the Library computers is not allowed unless authorized by the technician.
23. Accessories attached to the Library computers should not be unplugged.
24. Use of the internet (including the transmission or receiving of any material) in violation of the copyright law is prohibited.

## APPENDIX G: ONLINE LIBRARY REGISTRATION FORM



**SOUTH EASTERN KENYA UNIVERSITY**

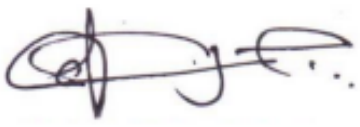
**SEKU/ARI/LIB/F-24**

| <b>NO.</b> | <b>DATE</b> | <b>NAME</b> | <b>REG. NO.</b> | <b>EMAIL</b> | <b>PHONE NO.</b> | <b>ADDRESS &amp; CODE</b> | <b>SIGN IN /DATE</b> | <b>SIGN OUT /DATE</b> |
|------------|-------------|-------------|-----------------|--------------|------------------|---------------------------|----------------------|-----------------------|
|            |             |             |                 |              |                  |                           |                      |                       |
|            |             |             |                 |              |                  |                           |                      |                       |
|            |             |             |                 |              |                  |                           |                      |                       |
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|            |             |             |                 |              |                  |                           |                      |                       |
|            |             |             |                 |              |                  |                           |                      |                       |

## APPENDIX H: PROCEDURE FOR STUDENT CLEARANCE



### SEKU/MR/OP/ 079: PROCEDURE FOR STUDENT CLEARANCE

|   |   |
|---|---|
| AUTHORIZATION: This procedure has been issued under the authority of the MR |   |
| TITLE:  | DVC – AHRM, ISO MANAGEMENT REPRESENTATIVE   |
| SIGNATURE:  |  |
| DATE OF ISSUE:  | JANUARY 2017  |
| DOCUMENT CONTROL  |   |
| ISSUE NO  | 03  |
| REVISION NO   | 02  |
| Controlled issue of this procedure will be final in case of dispute         |   |
| SEKU  | DVC – AHRM / MR   |

## **1.0 PURPOSE**

The purpose of this procedure is to ensure effective clearance of students.

## **2.0 SCOPE**

This procedure covers the student clearance process.

## **3.0 REFERENCES**

- i. SEKU Quality Management System Manual - SEKU/MR/QM/001
- ii. SEKU Calendar
- iii. Student Information Handbook
- iv. SEKU Service Charter - SEKU/VC/SC/001

## **4.0 ABBREVIATIONS AND ACRONYMS**

## **5.0 RESPONSIBILITIES**

The Academic Registrar shall be responsible for the effective implementation of this procedure.

## **6.0 METHOD:**

- 6.1** The student obtains the clearance form (SEKU/ARI/ADMS/ F - 03) from the admissions office.
- 6.2** The student then proceeds to clear with the relevant departments/sections/units.
- 6.3** The student then submits the duly cleared form and the students ID to the admissions office.
- 6.4** The admissions office updates the system appropriately.

## **APPENDIX I: INSTITUTIONAL REPOSITORY SUBMISSION AGREEMENT**

The South Eastern Kenya University's institutional repository promotes long-term preservation and free access to the University's research output. To accomplish this mandate, the University Library requires permission to copy, format/manipulate and store the research materials in order to ensure that they can be preserved and made available in the future. This deposit agreement is designed to give South Eastern Kenya University Institutional Repository administrators the right to do this and to confirm that the depositor has the right to submit the material to the repository. The agreement is non-exclusive, and the depositor does not give away any of their rights to South Eastern Kenya University Institutional Repository.

By depositing my/our work in South Eastern Kenya University Digital Repository, I/we agree to the following:

- (i) That I am the author or have the authority of the author(s) to make this agreement and do hereby give SEKU the right to make the Work available in the way described above
- (ii) I am/we are the copyright owner(s) and/or have the right to make this agreement with you
- (iii) The submitted work(s) does not contain any confidential information, proprietary information of others or export controlled information
- (iv) That I am/we are free to publish this work in its present or future versions elsewhere

I/we understand that South Eastern Kenya University Institutional Repository:

- (i) May distribute copies of the work worldwide, in electronic format via any medium for the lifetime of the repository for the purpose of open access
- (ii) May electronically store, convert or copy the work to any medium or format for the purpose of future preservation and accessibility
- (iii) May incorporate metadata or documentation into public access catalogues for the work
- (iv) Shall retain the right to remove the work for professional or administrative reasons, or if it is found to violate the legal rights of any party

(v) Shall not be under obligation to take legal action on behalf of the depositor or other rights holders in the event of infringement of intellectual property rights or any other right in the material deposited

(vi) Shall not be under obligation to reproduce, transmit, or display the work in the same format or software as that in which it was originally deposited

Additionally, I/we also understand that if, as a result of my/our having knowingly or recklessly given a false statement and the University suffers loss, I/we will make good that loss and thus indemnify South Eastern Kenya University for all actions, lawsuits, proceedings, claims, demands and costs occasioned by the University in consequence of my/our false statement.

While every care will be taken to preserve the physical integrity of the work, South Eastern Kenya University shall incur no liability, either expressed or implicit, for the work or for loss of or damage to any of the work or associated data.

Depositor's Declaration:

**I/We** ..... the author(s) hereby grant to South Eastern Kenya University Institutional Repository a non-exclusive license on the terms outlined above.

**Name:** .....

(Author/Copyright owner or Nominated Agent)

**School/Faculty:** .....

**Department/Institute:** .....

**Sign:** ..... **Date:** .....

Witnessed by: **University Librarian:** ..... **Signed:** ..... **Date/stamp:** .....

## **APPENDIX J: INFORMATION LITERACY CURRICULUM**

### **1. Programme Statement**

In accordance with the University mission statement, the South Eastern Kenya University Library is deeply committed to supporting excellence in research, teaching and learning as well as in providing an atmosphere which fosters creativity, discovery, critical thinking, service and communication. The development of an information literacy programme will help accomplish the University's goals and enhance student success and lifelong learning.

### **2. Objectives of the Programme**

- (1) Develop deep learners in the society with problem solving, critical thinking and proactive learning skills.
- (2) Inculcate information skills vital to the success in education, occupation and day to day communication.
- (3) Ensure learners are able to cope with the data smog by equipping them with the necessary skills to recognize when they need information, where to locate it and how to use it effectively and efficiently.
- (4) Improve the ability of university students and library users to make effective use of the Library resources, services, and library staff

### **3. Rationale of the Programme/Justification**

SEKU library has been providing basic user education of the Library's services and resources. The increasing availability of technologies for delivering information in multiple formats has led to rapid production of published material and a related increase in mechanisms for storing, organizing and representing information. The information explosion led to a growing demand for Librarian assistance from the Library users and teaching staff that are facing the new challenge of information retrieval and use.

In the international context, national library associations have endorsed information literacy standards and learning outcomes, and certain professional associations, such as the American Psychological Association, have included information literacy as a core generic skill that must be taught to future practitioners and scholars. The existing national standards suggest that information literate students will not only have a higher likelihood of academic success, but will also have the ability to transfer their literacy skills into other areas of their lives.



SEKU Library considers keeping with the goals of the University to graduate independent learners who can find and reflect critically upon information in all fields and formats. Therefore there is need for the development of information literacy programme to foster student success and lifelong learning through an emphasis upon locating, evaluating and using information in whatever format or field it is presented.

#### **4. Scope**

This programme encompasses the undergraduate, postgraduate and staff of South Eastern Kenya University.

#### **5. Expected Learning Outcomes**

At the end of the course the learner should be able to:

- (1) Construct an effective search strategy
- (2) Determine reliability, accuracy, validity, authority, timeliness, and objectivity of information retrieved
- (3) Cite and reference information resources using various referencing styles.
- (4) Demonstrate awareness of the legal and ethical use of information resources

#### **6. Facilitators**

The IL programme shall be provided by library staff who have been trained in information literacy skills.

#### **7. Information Literacy Programme Content**

**Topic 1: Introduction to Information Literacy:** Definition of information literacy, role of information, ICT and research skills, and basis for lifelong learning.

**Topic 2: Library services:** User services, borrowing and lending services, access to library collection (OPAC), reference services, off-campus access to e-resources, and current awareness services.

**Topic 3: Sources of information for scholarly research:** Books, monographs, journals, thesis and dissertations, online databases and electronic resource, institutional repository, internet search engines and audio visual e.g. CD-ROMS.

**Topic 4: Organization of Knowledge:** Organization of information and indexing languages.

**Topic 5: Information Searching Strategies and techniques:** Boolean operators, phrase and proximity searching; truncation and wild card symbols; and field searching.

**Topic 6: Research Strategies:** Research strategies, importance of research skills and the steps of doing research.

**Topic 7: Evaluation of Information:** Scholarly Vs popular sources, authority, credibility, currency and coverage.

**Topic 8: Usage and ethical issues of information:** Legal and ethical issues, plagiarism, copyright and fair use of information.

**Topic 9: Documentation of information:** Citing sources/academic integrity; citation styles (example: Harvard, APA); citation and referencing tools (example Zotero/Mendeley).

## **8. Delivery mode**

- (1) Lectures and presentations

## **9. Duration**

Each training session shall take three hours.

## **10. Instructional Materials and Equipment**

- (1) Lecture hall or a networked computer laboratory
- (2) Audio visual aids like projector
- (3) White boards