



QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2015

LIBRARY PROCEDURE MANUAL

RU/ASA/LIB/ 021

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PROCEDURE NUMBER 1: ACQUISITION OF LIBRARY INFORMATION MATERIALS

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure efficiency and effectiveness in the acquisition of library information materials.

1.2 SCOPE

This procedure applies to the process of acquisition of library information materials.

1.3 REFERENCES

- a) RU Quality Manual – RU/QMR/QM/002.
- b) Commission for University Education: Universities Standards and Guidelines, 2014.
- c) Library Management Policy
- d) Public Procurement and Asset Disposal Act, 2015
- e) Institutional repository policy
- f) Any other applicable document

1.4 TERMS, ABBREVIATIONS AND DEFINITIONS

- a) CUE - Commission for University Education
- b) HoD – Head of Department.
- c) DVC (ASA)- Deputy Vice Chancellor (Academic and student affairs)
- d) PRN – Purchase Requisition Note
- e) OPAC- Online Public Access Catalogue
- f) Koha – Open source integrated library system.

1.5 RESPONSIBILITY

- a) The DVC(ASA) is responsible for the supervision of this procedure
- b) The officer in charge of Library is responsible for implantation and adherence to this procedure.

2.0 PROCESS INPUTS

- a) Publishers’ catalogues
- b) Information request forms
- c) Relevant reference documents

3.0 METHOD

3.1 This process shall start with the University Librarian inviting users to submit requests for information materials through:

- a) Koha OPAC module
- b) Filling the request form
- c) Correspondence from users.

3.2 The University Librarian shall receive and consolidate the requests from all users.

3.3 The University librarian shall verify the information materials requested against the list of the resources in the collection, the curriculum, and the budget and procurement plan.

3.4 The University Librarian shall seek approval for procurement of the information materials from DVC (AFP) through DVC (ASA).

3.5 Upon approval, the University Librarian shall raise a Purchase Requisition Note (PRN) to the Procurement Office who shall conduct the procurement process.

3.6 The University Librarian shall raise an SRN and receive the deliveries from the stores.

3.7 Acquisition from donations will be as per the Library Management Policy.

3.8 For thesis and other scholarly works, the authors will deposit them in the library as per the RU Institutional Repository Policy.

4.0 PROCESS OUTPUTS

- a) Letters
- b) Goods Received Note (GRN)
- c) Populated Institutional repository
- d) Delivery Notes
- e) Library materials

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer’s name	Date

PROCEDURE NUMBER 2: PROCESSING OF LIBRARY INFORMATION MATERIALS

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure efficiency and effectiveness in the processing of library information materials.

1.2 SCOPE

This procedure applies to cataloguing and classification of information materials for easy retrieval and use.

1.3 REFERENCES

- a) RU Quality Manual – RU/QMR/QM/002.
- b) CUE Standards and Guidelines for University Libraries in Kenya, 2012
- c) Anglo American Cataloging Rules 2.
- d) Library of Congress Classification Schemes.
- e) Cutter Tables.
- f) Any other relevant documents

1.4 TERMS, ABBREVIATIONS AND DEFINITIONS

- a) Catalogue-This is list of information materials in the library.
- b) LCC - Library of Congress Classification Scheme
- c) SRN – Stores Requisition Note
- d) OPAC – Online Public Access Catalogue
- e) UL- University Librarian

1.5 RESPONSIBILITY

- a) The DVC(ASA) is responsible for the supervision of this procedure
- b) The officer in charge of Library is responsible for implantation and adherence to this procedure.

2.0 PROCESS INPUT

- a) Stationery (Glue, Scissors, Pencil, Pens, papers)
- b) Ownership Stamps
- c) Online Library of Congress Classification Schedules
- d) Electronic Library Management System (ELMS).

3.0 METHOD

- 3.1 This procedure shall start with the UL putting RU ownership stamps on the information materials.
- 3.2 The UL shall assign accession numbers to the information materials and update the accession register.
- 3.3 The UL shall catalogue the information materials based on the latest Anglo-American Cataloging Rules.
- 3.4 The UL shall classify the information materials based on the Library of Congress Classification Scheme and the cutter tables using the ELMS Module.
- 3.5 The UL shall generate and attach the spine labels and due date slips on the processed information materials.
- 3.6 The UL shall shelve the information materials using LCC scheme.

4.0 PROCESS OUTPUTS

- a) Processed library materials
- b) Updated Library Catalogue
- c) Updated Accession registers.
- d) Updated ELMS OPAC

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer’s name	Date

PROCEDURE NUMBER 3: REGISTRATION AND CLEARANCE OF LIBRARY USERS

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure efficiency and effectiveness in registration process of the library users and termination of their membership upon expiry.

1.2 SCOPE

This procedure applies to registration and clearance of library users.

1.3 REFERENCES

- a) RU Quality Manual – RU/QMR/QM/002.
- b) University Library Rules and Regulations/Guidelines
- c) CUE Standards and Guidelines for University Libraries in Kenya, 2012
- d) Library Management Policy
- e) Any other applicable document

1.4 TERMS, ABBREVIATIONS AND DEFINITIONS

- a) Koha – Open source Integrated Library System.

1.5 RESPONSIBILITY

- a) The DVC(ASA) is responsible for the supervision of this procedure
- b) The officer in charge of Library is responsible for implantation and adherence to this procedure.

2.0 PROCESS INPUT

- a) New library users' details
- b) New user registration forms
- c) RU Clearance forms

3.0 METHOD

3.1 Registration of New Users

- 3.1.1 This procedure shall start with the UL receiving a duly completed library registration request form from new student(s) and/or RU identification document from a new staff member.
- 3.1.2 The UL shall consider the request and update the requisite details in the Koha User Module.
- 3.1.3 The UL shall induct the user(s) on the library and its resources and issue them with the University Library Rules and Regulations/Guidelines.

3.2 Clearance of Library Users

3.2.1 Upon expiry of membership, the user shall present a duly filled clearance form to the UL.

3.2.2 The UL shall check the user account to ascertain that the user has no unsurrendered library items and no outstanding fines.

3.2.3 If the user has unsurrendered library items, they shall be advised to surrender or be surcharged by filling Lost Items/Overdue Surcharge Form.

3.2.4 If the user account is clear, the UL shall sign the Clearance Form.

4.0 PROCESS OUTPUT

- a) Users accounts
- b) Duly filled Lost Items Surcharge Form
- c) Duly filled Library Registration Forms.
- d) Duly filled Student Clearance Form
- e) Duly filled Staff Clearance Form

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer’s name	Date

PROCEDURE NUMBER 4: CHARGING AND DISCHARGING OF INFORMATION RESOURCES

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure efficiency and effectiveness in circulating information resources in the library.

1.2 SCOPE

The procedure applies to all activities involved in charging and discharging of information materials in Rongo University Library.

1.3 REFERENCES

- a) RU Quality Manual – RU/QMR/QM/002.
- b) University Library rules and regulations.
- c) Library management policy
- d) Any other relevant document

1.4 TERMS, ABBREVIATIONS AND DEFINITIONS

- a) Circulation desk - This is where issuing and returning of information materials is done.
- b) Charging -This is lending of information materials in the Library.
- c) Discharging-This is returning of information materials to the Library.
- d) OPAC – Online Public Access Catalogue
- e) E-resources - information materials in electronic format

1.5 RESPONSIBILITY

- a) The DVC(ASA) is responsible for the supervision of this procedure
- b) The officer in charge of Library is responsible for implantation and adherence to this procedure.

2.0 PROCESS INPUT

- a) Student identification document
- b) OPAC
- c) Electronic Library Management System (Koha).

3.0 METHOD

3.1 Charging of Physical Information Materials

- 3.1.1 This procedure starts when the user presents item(s) and identification card (Student's, Staff or National) to the librarian at the circulation desk.

3.1.2 The librarian confirms the eligibility of the user to borrow as per the Library Policy.

3.1.3 Upon confirmation of identification and eligibility to borrow, the Librarian issues the information material(s) using the Koha circulation module.

3.1.4 The UL stamps the due date and hands over the information material to the user.

3.2 Discharging of Information Materials

3.2.1 This process will start when the user returns the information material(s) to the librarian at the circulation desk.

3.2.2 The UL shall return the item(s) using the Koha Circulation Module and cancel the due date.

3.2.3 The UL shall inspect the returned item(s) for unreasonable wear and tear and overdue charges (if any).

3.2.4 In case of overdue or unreasonable wear and tear, the UL shall surcharge the library user in accordance with the Library Rules and Regulations by filling the overdue/surcharging form.

3.3 Access to e- Resources

3.3.1 The library shall organize the e-resources and provide information discovery tool(s) to enhance easy retrieval and use.

3.3.2 The UL shall ensure internet access for the users to access the e-resources.

4.0 PROCESS OUTPUT

- a) Updated circulation library Koha database.
- b) List of interlibrary loan information materials from other institutions.
- c) Receipt book for overdue fines.
- d) Defaulters' register.
- e) List of mutilated/damaged information materials.
- f) Article request form.
- g) Reference request form.
- h) Evidence of communication

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer's name	Date

RONGO UNIVERSITY– ISO 9001:2015 BASED QUALITY MANAGEMENT SYSTEM

ISSUED FOR USE ON:

LIBRARY PROCEDURE MANUAL

REF: RU/ASA/LIB/021(4)

RISK REGISTER FOR UNIVERSITY LIBRARY

Department: University Library												
Issue Date:												
Created By:		Reviewed By:					Approved By:					
S.No	Process	Risk	Causes	Existing Controls	Probability	Impact	Risk Rate	Risk Level	Additional Controls	Frequency of M & E	Opportunity	Responsibility
	Acquisition of library materials	Acquiring wrong/outdated/duplicate/inadequate titles	Budgetary constraints; poor record keeping	Acquisition budget appropriation by Library Advisory Committee; Updated Catalogues; involving the users	2	4	8	Medium	Periodic audits of library collection;	Continuous	Automation of library management	DVC (ASA)
	Processing of library materials	Poor or delayed processing	Inadequate staff capacity. inadequate ICT infrastructure; lack of workplans; inadequate reference materials; incompetent staff	Use of Koha and use of the online schedules	2	3	6	medium	Computerized and online cataloguing	Continuous	Online schedules and shared catalogues	DVC (ASA)
	Registration of Customers	Non registration	Lack of required identification documents	Guidelines for registration	1	2	2	low	Monitor the registration process to identify those who have failed to register and issue them with required documents	Continuous	Automation of library management	DVC (ASA)
	Clearing of customers	Wrongful clearance	Incompetence, poor record keeping; integrity; negligence	Existing Guidelines for clearance; clearance form	1	4	4	low	Strict monitoring of clearance process; Audit of the clearance process	Continuous	Automation of library management	DVC (ASA)
	Information resources Circulation	Loss of library data on users and resources in circulations	crash of databases; theft;	continuous synchronizing of print and electronic records; backup; physical security	2	4	8	Medium	Regular updates; CCTV	Continuous	Automation	DVC (ASA)

RONGO UNIVERSITY– ISO 9001:2015 BASED QUALITY MANAGEMENT SYSTEM

ISSUED FOR USE ON:

LIBRARY PROCEDURE MANUAL

REF: RU/ASA/LIB/021(4)

OBJECTIVES REGISTER FOR UNIVERSITY LIBRARY

OBJECTIVES REGISTER FOR UNIVERSITY LIBRARY										
Department:	University Library									
Rev. Status										
Issue Date:										
Created By:				Reviewed By:			Approved By:			
S.No	Key Result Area	Strategic Objective	Objective	Strategies	Key Performance Indicator	Resources Required	Timeline	Deliverable	Frequency of M & E	Responsibility
	Academic Excellence	To produce Quality and Innovative graduates	To facilitate remote access to e-resource by the users out of Library by December 2019	system integration; purchase of license; issuance of passcodes; demonstration; training; Create awareness for Open access and Institutional repository monitoring and reporting	Accessible e-resources	ICT infrastructure; budget; staff;	Dec-19	e-resources; license; passcodes; reports from training and demonstration; monitoring and evaluation reports	Quarterly	University Librarian
2	Research and Community Service	To Strengthen Research, Innovation and Community Service	To confirm compliance of all journal articles, term papers and theses with the University Anti-plagiarism policy with effect from December 2019	Select suitable software; Ensure that all thesis and other scholarly works are checked in antiplagiarism SW; Train users on information retrieval, citation, referencing, plagiarism; avail appropriate information resources; harvest, organize, share, preserve and archive RU scholarly works; ; sensitize departments and schools on the use of anti-plagiarism SW	All journal articles, term papers and theses checked for anti-plagiarism	ICT infrastructure staff; Antiplagiarism software	With effect from December 2019	Training reports; Antiplagiarism software reports; compliance certificate	Continuous	University Librarian

APPLICABLE FORMS



RONGO UNIVERSITY LIBRARY
A NEW PURCHASE SUGGESTION FORM

Please fill out this form to make a purchase suggestion. You will receive an email when the library processes your suggestion. *Only the title is required, but the more information you enter the easier it will be for the librarians to find the title you're requesting.*

Title:	
Author:	
Copyright date:	
Standard number (ISBN, ISSN or other):	
Publisher:	
Collection title:	
Publication place	
Item type (<i>Book, Journal, Others</i>)	
Reason for suggestion:	
Notes:	

Submit your suggestion by dropping the form at the circulation desk, through the library OPAC or through Email: librarian@rongovarsity.ac.ke



RU/ASA/LIB/302

**RONGO UNIVERSITY LIBRARY
REGISTRATION FORM**

S/No	DATE	NAME	REG. NO.	SCHOOL	SIGNATURE



**RONGO UNIVERSITY LIBRARY
CLEARANCE REGISTER**

DATE	NAME (S)	REG. NO	SCHOOL	PHONE NO	REASON FOR CLEARING	SIGNATURE