



UGANDA MANAGEMENT INSTITUTE

**UGANDA MANAGEMENT INSTITUTE
LIBRARY AND NATIONAL
DOCUMENTATION CENTRE POLICY**

¹Policy Name:	UGANDA MANAGEMENT INSTITUTE LIBRARY AND NATIONAL DOCUMENTATION CENTRE POLICY	Policy Code Number #:	-----
Section #:	LIBRARY AND DOCUMENTATION	Section Title:	LIBRARY AND DOCUMENTATION
Approval Authority:	UMI GOVERNING COUNCIL	Date Approved:	-----
		Date of Effect:	-----
Responsible Executive:	Director General	Date Revised:	-----
Responsible Office:	Library	Contact:	H/LDD

Foreword

The Uganda Management Institute (UMI) Academic Library forms an integral part of the Institute and is set to meet the information needs of staff, participants and researchers by providing up to date reading resources and services. The Institute being a member of the Consortium of Uganda University Libraries engages in interlibrary collaborations with sister Universities as well as benefit from knowledge transfer and consortia procurements. Inter Library Loan does not only aid universities to share costs of hitherto expensive resources, but also allow users to access information materials that might not be available in one institution but available in a sister university. Through this arrangement, participants are able to access libraries of other Universities in their vicinity. For example, if a UMI library user is in Gulu, he/she will be able to use Gulu University Library. The resources and services of the library have been assembled to meet the specific needs of the Institute's community. Mission of the library is the dual goals of providing access to information while ensuring preservation of library resources and collections. In achieving these goals, the library shall ensure unlimited access to information for all users, while implementing appropriate standards for the preservation and conservation of the materials and resources. Participants will pay library fees as part of their tuition, and UMI shall commit to ring-fence the fees to enable acquire library resources and provide services. Researchers coming to use the library and documentation services will pay user charges.

Library services are very critical in the running of academic programmes of the Institute and therefore, the need to rationalise processes and procedures. The essence of a good library is its support to the achievements of the Institute and this can only be done to the extent that its resources and services support the Institution's mandate. Hence, management is committed to equipping the library with current resources and skilled staff who shall offer standard services that can effectively serve the information needs of all its users.

The Policy is legally binding and will facilitate management of the information resources and users. I therefore wish every user of this policy a nice and informed use of the Library and Documentation services.

For God and my Country

Dr James L. Nkata
Director General

Acknowledgement

The formulation of this policy was supported by multiple stakeholders.

We acknowledge the support of Dr. James. L. Nkata, Director General (DG) of Uganda Management Institute, Director of Programmes and Students Affairs (DPSA) and the Corporate Directorate for ensuring that the policy feeds into the Strategic Plan of the Institute. We thank all the teaching staff for their various inputs and the Consortium of Uganda University Library for its guidance on the formulation of the policy through Ms. Iryna Kuchma, the Open Access Programme Manager - Electronic Information for Libraries (eIFL).

Finally, we thank the Library and Documentation department team for their tireless efforts to have this policy ready, especially Dr. Elizabeth Lwanga, Mr. Henry Akra Ayias, Ms. Barbara Alago and Ms. Susan Mutesi that spear headed the process of crafting the document.

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Abbreviations and Acronyms

AACR2:	Anglo American cataloguing rules
AFLIA:	African Library & Information Associations & Institutions
AHILA:	Association for Health Information and Libraries in Africa
CUUL:	Consortium of Uganda Universities Libraries
DDC:	Dewey decimal classification Scheme
DFA:	Director Finance and Administration
DG:	Director General
DPSA:	Director Programs and Students' Affairs
DSpace:	Dura Space
H/LDD:	Head Library and Documentation Institute
IB:	Institute Bursar
ICT:	Information and Communication Technology
ICTD:	Information and Communication Technology Department
IFLA:	International Federation of Library Associations and Institutions
IR:	Institute registrar
ISO:	International Standards Organisation
IT:	Information Technology
KOHA:	Integrated Library Management System
LMS:	Library Management Systems
LIS:	Library and Information Science
MDI:	Management Development Institute
NDC:	National Documentation Centre
OPAC:	Online Public Access Catalogue
QA:	Quality Assurance
SCECSAL:	Standing Conference of Eastern, Central, and Southern African Library
ULIA:	Uganda Library and Information Association
UMI:	Uganda Management Institute
UOTIA:	Universities and other Tertiary Institutions

Definitions of Key Concepts

Collection Development: Is the process of continuously identifying and collecting information materials that are in tandem with the information needs of the users of UMI library services.

Dspace: An Open Source Institutional Repository software, typically used for creating repositories for scholarly and/or published digital content.

Dublin Core Metadata: The Dublin Core Metadata Element Set consists of 15 elements, which address the most basic descriptive, administrative and technical elements required to uniquely identify a digital resource across domains.

KOHA: An Open Source Integrated Library Management System (LMS) used world-wide by public, school and special libraries.

Library: A physical (building or room) and online environment containing collections of information materials (books, periodicals, and sometimes films and recorded music, etc.) for use or borrowing by the public or the members of an institution. Can also refer to an electronic collection of reading resources.

Participant: Student who takes part in the learning process at UMI

Researcher: a person who carries out academic or scientific research. These may be faculty, administrative staff, participant and or outside user of the UMI library services

Applicability

The Library and Documentation Policy shall apply to staff and users (participants, faculty, researchers) and the community of the library services

1. Situational Analysis and Policy Challenge

1.1 Introduction

In fulfilling Uganda Management Institute (UMI)'s mandate of the provision of teaching, research, consultancy services and community engagement, the requirement for scholarly materials to support this mandate became imperative. The Audit Report of 2017 section 3.2 (page 11) under "weakness in the management of the library", bullet (a) also proposed that an overarching Library and Documentation Centre Policy be drafted in order to harmonise the various Library and Documentation Department processes and procedures.

Therefore, the policy outlines the unique library services offered in UMI and provides explicit guidelines on how these services are to be implemented. The policy considers collection development, organisation, access, discoverability, collaboration, conservation and preservation, administration and management of the UMI library resources in all the branches. In tandem with the National Security Policy (2014) and the Computer Misuse Act (2011), user information shall be protected. In addition, the National Imprint shall be collected and preserved under the Deposit Library and Documentation Centre (DLDC) Act, 1969. The Act mandated UMI to collect and preserve the national imprint that supports public administration. The DLDC is part of the preservation and conservation system that was set up alongside Makerere Deposit Library of 1958 (to collect and preserve the national imprint that supports higher education) and the National Library of Uganda (2003) to collect and preserve information of general nature. While DLDC and Makerere University Deposit Library are governed by the Ministry of Education, the National Library of Uganda is governed by the Ministry of Gender, Labour and Social Development and it is in charge of preserving Uganda's documented heritage. Therefore, the DLDC was set up to collect statutory instruments and Hansards; documents from local governments; Ministries, Departments and Agencies (MDAs); Non-Governmental Organisations and other public management documents.

1.2 Background and Policy Challenge

UMI has a Library and Documentation Department that has never been guided by any policy, but loose procedures and guidelines. The ad hoc operation has led to many irregularities and unprofessional manner in which the overall library resources are managed and services are delivered. As a result, the following challenges were faced by the department: (i) collection management depended on the staff manning the

branches without unified guidance, resulting in several procedural and professional flaws; (ii) there were instances when collection development has not been user driven. For example, the branch libraries sometimes do not get suggestions from their users, which limits the scope of the collection; (iii) the stock is not well organised because of shortage of shelves and journal display cabinets, hence making accessibility and use of the information sources difficult to users; (iv) Routine preservation and conservation of materials in order to ensure provenance and continuity has not been regular as required, (vi) there is no guidance on how the library engages with the community.

The multiple procedures and guidelines in the department now requires systematic approach, hence the need to develop a comprehensive Library and National Documentation Policy to support administration at all levels. The Policy formulation process was guided by the different levels of decision-making at the Institute as follows:

- a) The department held several meetings to draft the first working policy that clearly spelt out the objectives and strategies,
- b) The first draft was submitted to the Standing Committee of ICT for review and improvement,
- c) The second draft was submitted to the Directorate of Programmes and Students Affairs for discussion,
- d) The third draft was submitted to the Directorate of Corporate Affairs for discussion, and
- e) The fourth draft will be presented, discussed and approved by Senate.

2. Policy Statement and Scope of Application

The policy statement covers the commitment of the Institute in providing information resources, collection and management of legal deposits and states the key stakeholders' involvement and participation.

2.1 Policy Statement

The Library and Documentation Department is committed to working with the key stakeholders in the process of materials identification, acquisition and processing, and continuous improvement to provide cutting-edge information resources to support the core mandate of the Institute. The department shall

ensure that current and appropriate materials are purchased in hard and electronic formats, in addition to providing a conducive environment and facility to use them.

2.2 Scope of the policy application

The Library and Documentation Centre Policy covers:

- a) Collection development,
- b) Organisation,
- c) Access,
- d) Discoverability,
- e) Collaboration,
- f) Conservation and Preservation,
- g) Administration, and
- h) Management.

2.3 Guiding Principles

The department upholds the following values; service philosophy, privacy of users, intellectual freedom, research and learning, conservation and preservation, and innovation and adaptability.

- a) **Service philosophy:** The Institute shall adopt a service philosophy that supports equitable access to information materials to all users
- b) **Privacy of users:** The privacy of users shall be ensured
- c) **Intellectual freedom:** Materials shall contain information representing different aspects of knowledge
- d) **Research and learning:** The Institute shall train and assist users in the identification, evaluation and utilisation of the information resources
- e) **Conservation and preservation:** The Institute shall ensure that cultural and intellectual legacy is conserved and preserved for posterity
- f) **Innovativeness and adaptability:** The Institute shall adapt technologically-led strategies to support training, research, consultancy and community engagement

2.4 Purpose of the Policy

The policy shall ensure equitable provision and appropriate use of the scholarly materials, services and facilities that support learning, training, research and consultancy for participants, faculty and researchers and community engagement in the Library and National Documentation Centre.

2.4.1 Specific Policy Objectives

The specific objectives of the policy are to:

- 1) Guide and standardise the identification (selection) and acquisition procedures for information resources required to support training, research, consultancy and community engagement.
- 2) Provide framework to manage all the procured and donated materials, and the legal deposits according to accepted international standards in the Library.
- 3) Guide on the physical and virtual access to information materials.
- 4) Provide a framework on systems to support both on and off-campus accessibility of information resources.
- 5) Strengthen collaboration amongst national, regional and international Library and Information Science bodies to bolster inter library exchanges and knowledge transfer
- 6) Provide framework to conserve and preserve collections in the Library and National Documentation Centre.
- 7) Streamline administration and management processes of the department

2.5 Policy Provisions

Objectives

2.5.1 Guide and standardise the identification (selection) and acquisition procedures for information resources required to support training, research, consultancy and community engagement.

The Institute shall:

- a) Identify information resources based on teaching, research and consultancy priorities determined by the requirements of the curriculum and individual information needs of the participants, faculty and researchers
- b) Acquire information resources in formats that meet user needs
- c) Promote preservation of works by Ugandans, published in Ugandan and about Uganda through the legal deposit, donation or procurement.

2.5.2 Provide framework to manage all the procured and donated materials, and the legal deposits according to accepted international standards in the Library.

The Institute shall:

- a) Provide a comprehensive record of Library and Documentation holdings
- b) Promote and offer first class institutional repository services
- c) Preserve and conserve hardcopy formats
- d) Collect legal deposits as mandated by the Deposit Library and Documentation Act, 1969 through the National Documentation Center
- e) Acquire rare information materials
- f) Provide access to an annual compilation (compendium) of legal deposit
- g) Provide access to ICTs that support online access to e-resources (e.g. journals, e-cases, e-books and online databases)

2.5.3 Guide on the physical and virtual access to information materials.

The Institute shall:

- a) Provide an archive for not often used but still relevant information materials
- b) Provide a Students' Resource Centre to support academic research and lifelong learning
- c) Provide appropriate environment and facility for the use of information resources
- d) Ensure that persons enabled differently have access to the library and documentation services (including but not limited to computers, assistive technologies, braille, shelves, seats/tables, materials, and toilets)
- e) Enforce compliance to the Library and Documentation Policy and procedures
- f) Provide signage to shelves, aisles and stacks based on acceptable international standards
- g) Provide trainings to equip users with information literacy skills to optimally access information resources in physical and electronic formats
- h) Ensure digital and physical access to information resources
- i) Improve discoverability of scholarly works, market academic social media tools and reference management skills (Mendeley)
- j) Ensure equitable access by bona fide users of the library services

2.5.4 Provide a framework on systems to support both on and off-campus accessibility of information resources.

The Institute shall:

- a) Acquire Library Management Systems (LMSs) to facilitate federated search and access to the collections
- b) Avail access to the research outputs of the faculty and students such as articles, dissertations and theses through the Institutional Repository (IR); (UMISpace)
- c) Subscribe to an annual unique identifier (handle) to support discoverability of the scholarly outputs of the institute
- d) Promote utilization of Information Communication Technology (ICT) tools to support the library services

- e) Acquire software that supports off campus access for patrons.

2.5.5 Strengthen collaboration amongst national, regional and international Library and Information Science bodies to bolster inter library exchanges and knowledge transfer

The Institute shall:

- a) Subscribe to the memberships of National, Regional and International LIS bodies
- b) Engage and support activities of National, Regional and International LIS bodies
- c) Encourage its members to seek public offices in National, Regional and International LIS bodies

2.5.6 Provide framework to conserve and preserve collections in the Library and National Documentation Centre.

The Institute shall:

- a) Conduct regular backup for e-information resources in the LMS and IR for preservation and conservation purposes
- b) Periodically preserve and conserve hardcopy information resources by dusting, cleaning and occasional fumigation when necessary
- c) Decongest by comprehensive weeding and downgrading of redundant information resources every after 5 years

2.5.7 Streamline administration and management processes of the department

The Institute shall:

- a) Facilitate Continuous Professional Development (CPD) for Staff
- b) Fund Library and the National Documentation Center activities
- c) Manage the day-to-day operations of the department

3. Implementation, Roles and Responsibilities

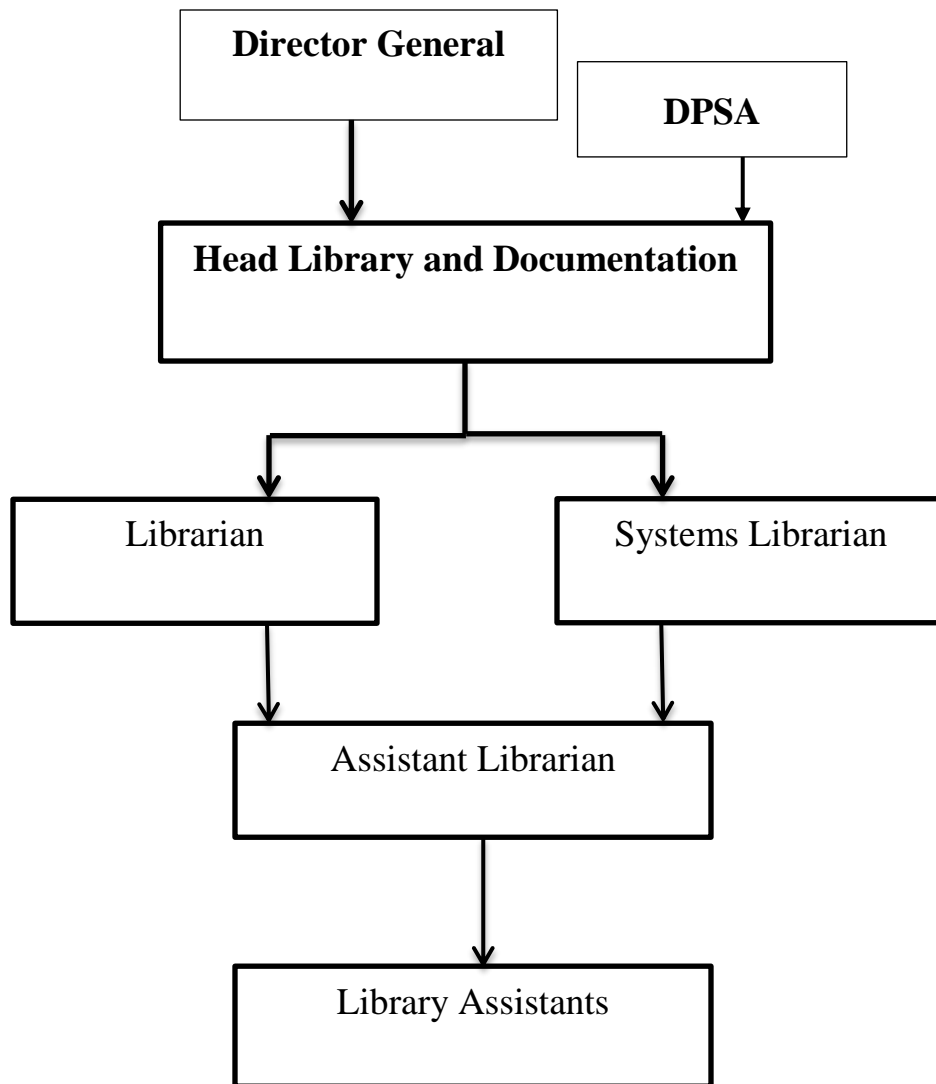
3.1 Policy Implementation and Coordination

The following offices shall be responsible for the implementation of this policy.

No	Organ/Office/Individual position	Interpretation/Resolution/Problems
1.	Governing Council	To approve the Library and Documentation Policy, Budgets, Fees, Penalties and charges
2	Chairperson Senate	To oversee policy implementation
3	Director Programmes and Students Affairs (DPSA)	To oversee operationalization of activities
4	Institute Registrar (IR)	To provide participant details and status of their registration
5	Head Library and Documentation department (H/L&DD)	To operationalize the policy

3.2 Positions and Reporting Structure

As provided for in the Human Resource Manual 2019, the Library and Documentation Department positions and reporting structure is as follows:



The following tools shall be used:

- a) Dewey Decimal Classification (DDC) Scheme
- b) Anglo-American Cataloguing Rules, Second Ed. (AACR2)
- c) Sears List of Subject Headings
- d) KOHA LMS
- e) Dublin Core Metadata Element Set 1.1

3.3 Monitoring, Review and Evaluation of Policy

Monitoring and evaluation shall be carried out by the following functions:

No	PERSON/SECTION/INSTITUTE	ROLE
1	Management	Oversight role
2	Senate	Ensure that policy, guidelines are drafted and implemented in tandem with the Institute mandate
3	Top Management Team (TMT)	Establish policies, guidelines and strategic objectives as well as for providing leadership and direction for quality management in the department
4	Directorate	Oversee and provide guidance on collection development and management of the facility
5	Deans & Heads of Institute	Select and provide information materials to be procured in consultation with their constituents
6	Procurement Office	Procure resources for the department
7	ICT Department	Support the Library Management Systems (KOHA, Dspace & RemoteXs)
8	Internal Audit	Certify validation of stock and operations
9	Library	a. Coordinate the selection and acquisition of information materials b. Technically process information materials c. Ensure proper circulation of information materials d. Ensure the security of information materials e. Archive information materials f. Ensure discoverability of the information materials

		<p>g. Ensure preservation and conservation of information materials</p> <p>h. Conduct quarterly stock taking of library and Documentation resources</p> <p>i. Generate reports of departmental operations</p>
10	Library and Documentation Committee	<p>j. Guides, promotes the Library and Documentation department development by recommending and securing necessary funds from appropriate sources</p> <p>k. Recommend and review policies departmental policies, with specific attention to collection development and distribution of resources in the Institute</p>

4. Policy Violation

The following actions shall be taken in case a user violates the policy:

- a) In case of loss of book, a user will either replace the book with the latest edition of the lost book, or pay for the book at the prevailing cost. In addition, the user will pay a surcharge of 50% of the cost of the book for administrative purposes
- b) In case of non-compliance, users will be requested to pay for books that they would have mutilated or lost. Extreme negative behaviour shall attract banning from the library premises
- c) If a user is found misusing computers, he/she will be discontinued from using the library (the UMI Computer Misuse Guidelines will be invoked)
- d) If a user is found to be violating copyright by either photographing or scanning materials that is beyond 10% of the total books, the Copyright and Neighbouring Act, 2006, section 50 will be invoked

5. Monitoring, Reviewing and Evaluation of the Policy

The Institute shall review the policy every after three years to accommodate new developments in the profession and technology.

6. Cross References

This policy shall cross-reference:

- a) The UMI Human Resource Manual (2018)
- b) The UMI Library and Documentation Procedures (2019)
- c) The Copyright and Neighboring Act (2006)
- d) The UMI Innovations and Research Policy (2009)
- e) The Deposit Library and Documentation Centre Act (1969)
- f) UMI ISO Guidelines (2019)
- g) UMI ISO Standard Operating Procedure (2019)
- h) The Library and Documentation Department ISO Operation Procedure (2019)
- i) Complaints Register
- j) The Quality Assurance Policy

7. Funding Sources

The Institute shall

- a) Lobby for more funding under supplementary budgets
- b) Write fundable proposals for specific projects

7.1 Resources

The following resources will be mobilized:

- a) Dedicated server to host the LMSs
- b) Dedicated computers for LMSs (KOHA & DSpace)
- c) Open Access Software (KOHA & DSpace)
- d) Staff

- e) Sufficient bandwidth
- f) Metadata tools (Dublin Core, Anglo American Cataloguing Rule 2 (ACCR2), Library of Congress Subject Heading Lists, Sears List of Subject Headings, Dewey Decimal Classification Scheme (DDC))
- g) Budget
- h) Core collection shall include but not limited to the following hard and soft copy materials:
 - i. Rare books
 - ii. Monographs
 - iii. Serials:
 - a. Journals,
 - b. Magazines,
 - c. Newspapers,
 - d. Newsletters, etc.
 - iv. Reference Sources such as Bible, Quran, dictionaries, almanac, encyclopedia, directories, and year books
 - v. Photographs
 - vi. Audio Visual Media
 - vii. Collection for persons with special needs:
 - a. Braille
 - b. Talking Books/Audiobooks
 - viii. Online databases
 - ix. Maps and globes
 - x. Statutory Instruments,
 - xi. All documents that support public administration and management

7.2 Due Diligence

In case of contravention, the UMI Risk Management Policy will be invoked. The Policy does not contradict any previous policies.

7.3 References

- a) The UMI Library and Documentation Procedure (2019)

- b) The Copyright and Neighboring Act (2006)
- c) The UMI Innovations and Research Policy (2009)
- d) The UMI Computer Use Policy
- e) The UMI Human Resource Manual (2018)
- f) The Library and Documentation Department ISO Operation Procedure (2019)