



KAMUZU UNIVERSITY
OF HEALTH SCIENCES

Standard Operating Procedure for Library Services Management

NOVEMBER 2023

KUHeS Library Standard Operating Procedures	
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Overall policy statement	A KUHeS Library Document Standardizing Library Operations Across Campuses
Policy principles	• Standardisation • Operating Procedures • Guidelines • Rules and Regulations
Effective Date	To be set by Council
Approval Date	8 December 2023
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Related Policies and guidelines	Library Services Policy, Electronic Data Repository Policy, ICT Policy, Intellectual Property Policy, Library Rules and Regulations
Responsible University Officer	University Librarian
Responsible Campus Officer(s)	Campus Librarians, Sectional Librarians

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AMENDMENT RECORD

These Standard Operating Procedures shall be reviewed regularly to ensure relevance to the systems and processes defined. A record of contextual additions or omissions is provided in Table 1.

Table 1: Amendment Record Sheet

Amendment Date	Issue No.	Revision No.	Page No.	The Subject of Review / Modification	Revised By	Approved By

ABBREVIATIONS

AL	: Assistant Librarian
CL	: Campus Librarian
CSL	: Client Services Librarian
DFI	: Director of Finance and Investments
DVC	: Deputy Vice-Chancellor
HOD	: Head of Department
ISBN	: International Standard Book Number
KUHeS	: Kamuzu University of Health Sciences
LA	: Library Assistant
LCCN	: Library of Congress Control Number
LCSH	: Library of Congress Subject Headings
LMS	: Library Management System
L.S	: Library Solution
OPAC	: Online Public Access Catalogue
PA	: Personal Assistant
SCL	: Scholarly Communications Librarian
SL	: Systems Librarian
SPEC	: Special Collection
TSL	: Technical Services Librarian
UL	: University Librarian
UR	: University Registrar
VC	: Vice Chancellor

DEFINITIONS

- Z39.50** : An international standard client service for searching and retrieving information from a database.
- Backfile** : An archived or saved file within the institutional library management system.
- External users** : Patrons from recognised institutions collaborating with KUHeS and others as approved by the University Librarian.
- Malawiana** : Information materials authored by Malawians or information materials authored by non-Malawians on Malawian.
- T.p. verso** : The back of the title page of a book.

1. GENERAL

Purpose

The Library Department provides access to an extensive range of information resources to enhance studying, teaching and research in support of University academic programmes and compliance with international standards.

Scope

These procedures describe the activities carried out by the KUHeS Libraries.

References

Current Library Policy

2. RESPONSIBILITY

The University Librarian (UL) has the primary responsibility of ensuring that these procedures are implemented and remain adequate for the intended purpose of providing the information from which the documentation for the processes and activities can be compiled. The UL is also responsible for initiating action to ensure that the procedures are kept up to date. All departmental staff members are responsible for implementing and ensuring that these procedures are followed. The SOPs will be implemented within the structure approved by the DHRMD and Management.

3. OPENING HOURS

KUHeS Library opening hours are as follows:

Monday to Friday :	8am -10pm
Saturday :	8am-12 noon
Sunday :	1pm- 4:30pm
Public holidays :	Closed

4. PROCESSES

Overview

The library is charged with the responsibility of providing students and staff access to an extensive range of information resources by carrying out the basic functions of acquiring, processing, organising, preserving and disseminating information within the Mission and Vision of the University. The library enforces security measures in the library and makes collection materials for Malawiana and special sections as well. The core activities of the Library Department are:

- a. Collection development
- b. Organisation of information materials
- c. Weeding of obsolete books
- d. Management of short loan circulation
- e. Management of long loan circulation
- f. Registration of new members
- g. Reference Services
- h. Preservation of books

4.1 Process for Collection Development

4.1.1 Source

Buying (request list from deans/faculty members, students), donations

4.1.2 Required inputs

Written requests from users/deans, programme coordinators.

4.1.3 Expected Output(s)

Acquisition of information resources.

4.1.4 Receivers

Library

4.1.5 Process Details

SN	Description	Output	Responsibility
1	Receive approved requests for titles of books from Executive Deans and other library users for acquisition purposes <i>Note: Catalogues from publishers and book-sellers are circulated to Staff to select titles of books</i>	School list of required books	Deans, University Librarian (UL)/Campus Librarian (CL)
2	Compile an acquisitions list of the selected books	Acquisitions list	Technical Services Librarian (TSL)
	Initiate requisition in R-Plus	Requisition	UL/Personal Assistant (PA)
	Endorse the requisition list	Requisition	UL/CL
3	Source for quotations	Quotation(s)	Procurement Officer (PO)
4	Approve quotations	Approval	UL/CL
5	Endorse payment	Endorsement	Registrar
6	Pay for requisitioned books	Payment	Director of Finance and Investments (DoFI)
7	Receive notice of shipping dates	E-mail	UL, CL, TSL, AA
8	Receive books from stores	Delivery note	Stores Clerks, TSL, AA
9	Check delivery notes against the acquisitions list	Acquisitions list and delivery note	TSL
10	Update delivery status on the acquisitions list	Delivery status	TSL

Gifts/Donations			
1	Receive information items	Information items	UL, CL
2	Review and select received information items as per Library Service Policy	Selected information items	TSL
3	Dispose of irrelevant information items as per Library Service Policy	Disposed of information items	TSL
Sourced donations			
1	Identify of donor	Donor	UL, CL
2	Apply for donation	Application form/ Proposal	UL, CL
3	Receive an invoice for shipping and or processing fee from a local agent	Invoice	UL, CL, TSL
4	Forward the invoice with a cover memo to the DoFI through the University Registrar's office	Invoice and cover memo	UL, CL
5	Forward receipt to donor/local agent (optional)	Receipt	AA
6	Receive donated library materials	Donated materials	TSL
7	List and cost the donation	List donated materials	TSL

4.2 Process for Organization of Information Materials

4.2.1 Source

Technical Services

4.2.2 Required Inputs

KUHeS Library Stamps, Accessioned books, Classification schedules, Library of Congress Subject Headings manuals.

4.2.3 Expected Outputs

Processed books

4.2.4 Receivers

Client Services Librarian

4.2.5 Process Details

SN	Description	Output	Responsibility
1A	a. Affix ownership stamp b. Stamp call mark box c. Accession the books d. Paste date label e. Paste book card pocket	a. Stamped resource b. Accession number c. Date label d. Book pocket	TSL

SN	Description	Output	Responsibility
1B	a. If the record for the resource at hand is already available in the local database (Library Management System (LMS)) b. Edit the record to ensure that all bibliographic information is in tandem with the item in your hand in terms of control number (LCCN), if applicable, ISBN (both hardback and soft covers for possible multiple publishers for the respective edition) c. Add holdings data which includes: i. Accession number ii. Barcode (paste it on the title page (t.p) verso) iii. Call mark iv. Location v. Prefix (optional- applicable to theses and dissertations, reserved books, Malawiana, etc.) vi. Copy number if more than one copy. vii. Save the record	Catalogued and classified book	TSL

SN	Description	Output	Responsibility
2	a. IF Original Cataloguing i. Confirm that the record is not available online (Check at different intervals e.g., after every four hours or after a day) as some websites/databases do not allow simultaneous access to the same record. ii. Select an appropriate template from the system e.g. CD, book, report etc iii. Fill in the template according to relevant cataloguing standards & rules, e.g., AACR2, RDA. iv. Classify the resource using the LC classification schedule, • Analyse the subject of the resource at hand. • Assign relevant classification numbers using the LC schedule • Assign LC subject headings,		

SN	Description	Output	Responsibility
3	a. Copy cataloguing from an external database i. If the book is found either in the backfile or retrieved through a z39.50 protocol, edit it according to the copy at hand. ii. Ensure that the ISBN of the copy at hand is included on the record, if not, insert it in the appropriate field. iii. In cases where the record does not have an LC call mark, use the main subject heading or other callmark (Dewey, etc.) to search for the appropriate/alternative LC callmark. iv. Add holdings data as above	Catalogued item	TSL

SN	Description	Output	Responsibility
4	Classify information items using the Library of Congress (LC) classification Scheme (www.loc.gov/). Use the Library of Congress Subject Schedules (LCSH) to determine the subject headings for the item being catalogued. (Online version is accessible at www.loc.gov/) Use the main subject heading to find other items with similar subject headings to establish the call mark. (This can be done in the local database, backfiles, or the online LC catalogue).		Technical Services Librarian
5	Write the call mark on the t.p. verso of the book.	Details of call number on the title verso page of a book	TSL
6	Fill in the call mark in the holdings data form of the item record	Updated database	TSL
7	Forward processed books to the Client Services section for display if new, and for circulation if not new	List of processed books	TSL
8	Forward processed books to the Client Services section for display if new, and for circulation if not new	Display processed books	TSL

SN	Description	Output	Responsibility
9	Display new books a week before releasing them for circulation.	Displayed books	CSL

4.2 Process for Weeding Information Materials

4.2.1 Source

Client Services Librarian

4.2.2 Required Input

Identification of obsolete/unwanted information items.

List of information resources to be weeded.

4.2.3 Receivers

Various stakeholders.

4.2.4 Process Details

SN	Description	Output	Responsibility
1	Identify information resources to be weeded	Identification list	CSL
2	Prepare a list of identified information resources to be weeded.	Identified materials	CSL
3	Forward the identified information resources to be weeded to the UL.	List of weeded books	CSL
4	Forward the identified information resources to be weeded to the University Library Committee by the UL.	Proposed list for materials to weed	CSL

SN	Description	Output	Responsibility
5	Receive feedback from the University Library Committee on the weeded list.	Deliberation minutes	UL, CL
6	Remove identified information materials from circulation.	Weeded books	CSL
7	Delete the records of the weeded books from the LMS. (Library Solution)	Deleted records	TSL
	Note: Accession numbers of the weeded books should be recorded & reused.	Accession numbers	
8	Forward weeded information materials to the University Internal Procurement and Disposal Committee on recommendation by University Library Committee	Approved materials for weeding	University Library Committee

4.3 Process for Short Loan Circulation

4.3.1 Source

Library patrons

4.3.2 Required inputs

Library patrons, library item, client ID, and barcode scanner.

4.3.3 Expected outputs

Circulation report

4.3.4 Receivers

Library patrons

4.3.5 Process Details

SN	Description	Output	Responsibility
1	Identify information resources to be weeded	Identification list	CSL
2	Prepare a list of identified information resources to be weeded.	Identified materials	CSL
3	Forward the identified information resources to be weeded to the UL.	List of weeded books	CSL
4	Forward the identified information resources to be weeded to the University Library Committee by the UL.	Proposed list for materials to weed	CSL
5	Receive feedback from the University Library Committee on the weeded list.	Deliberation minutes	UL, CL
6	Remove identified information materials from circulation.	Weeded books	CSL
7	Delete the records of the weeded books from the LMS. (Library Solution)	Deleted records	TSL
	Note: Accession numbers of the weeded books should be recorded & reused.	Accession numbers	

SN	Description	Output	Responsibility
8	Forward weeded information materials to the University Internal Procurement and Disposal Committee on recommendation by University Library Committee	Approved materials for weeding	University Library Committee

4.4 Process for General Circulation

4.4.1 Source

Library patrons

4.4.2 Required inputs

Identified Information material(s) from the open shelves Circulation counter staff/Stamping of date due/time on book label

4.4.3 Expected outputs

List of circulated books

4.4.4 Receivers

Library patrons

4.4.5 Process Details

SN	Description	Output	Responsibility
1	The library staff on duty receives an information resource and user ID from the client.	Students' identity card	Library staff

SN	Description	Output	Responsibility
2	• Match the identity card with the user's account to ascertain ownership. (The Library Assistant verifies the document to make sure details are correct) • Stamps on the date slip the date the book is due for return (checkout).	Transaction report	LA
3	Desensitise to allow the user to take it out of the Library.	Desensitiser	LA
4	Verify whether the item has been duly borrowed.	Item due date stamped	Library Commissionaire
5	• Check in and confirm that the item has been cleared by the system when the user is done using the item • Recall a book on high demand from a user, to place it in the Reserve section. • Communicate to the user to return an item within four days, failing which the item accrues an overdue fine from the fourth day since its recall.	Transaction report	Client services staff
7	Move returned books to a sorting shelf/bay for distribution to respective shelves.	Books packed at the sorting bay	LA and Library commissionaires
8	Sort returned books according to class marks in readiness for shelving.	Sorted materials	Library Staff

4.5 Process for Reference Services

4.5.1 Sources

Library Patrons

4.5.2 Required Inputs

Information Request by Library Users

Patrons submit the request via email, phone, website forms or come in person

4.5.3 Expected Output(s)

Answered queries/Questions

4.5.4 Receivers

Library patrons

4.5.5 Process Details

SN	DESCRIPTION	OUTPUT	RESPONSIBILITY
1	Receive user queries at the Reference Desk or through e-mail or phone calls.	Filled Request Form	CSL
2	Conduct reference interviews to establish what the query is about.	Reference Interview	CSL
3	Respond to instant queries and/or record complex queries by information seekers on information request forms.	Filled Request Form	CSL
4	Take the contact information of the user during the time of the interview.	A record of the information seeker	CSL

SN	DESCRIPTION	OUTPUT	RESPONSIBILITY
5	Search for answers by consulting various sources of information including e-resources on the internet.	Info retrieved and recorded on the info request forms	CSL

4.6 Process for Registering New Members

4.6.1 Source

Library patrons

4.6.2 Required Inputs

Registration of Library patron

4.6.3 Outputs

KUHeS Library Registered patron

4.6.4 Receivers

Library patrons

4.6.5 Process Details

SN	DESCRIPTION	OUTPUT	RESPONSIBILITY
1	Librarian draws an orientation schedule and has it pinned on notice boards to notify various groups when to attend library orientation.	Library registered students	Campus Librarian (CL)

SN	DESCRIPTION	OUTPUT	RESPONSIBILITY
2	Notify students through the notice board, emails and other channels on the library orientation timetable.	Orientation Schedule	CL
3	Conduct library orientation during the University orientation week.	Orientation session	CL
4	Issue membership cards to new students.	Membership cards	CL, CSL
5	•Divide students into manageable groups and introduce them to the different sections of the library. •Refer students to the Library YouTube channel.	Orientation groups	CSL, LAs
6	Refer patrons to the Library website for the rules and regulations	Library Rules and Regulations	CL
7	Register eligible students who report late at the circulation desk.	Register of names of students	Client Services staff

4.7 Process for Preservation of Library Resources

4.7.1 Source

Client Services Librarian

4.7.2 Required Inputs

Good housekeeping practices

4.7.3 Expected Outputs

Appropriately preserved books

4.7.4 Receivers

Students, Library patrons

4.7.5 Process Details

SN	Description	Output	Responsibility
1.	Remove books showing signs of falling apart from circulation and take them to the Technical Services Section.	List of Damaged books	LA's, CSL, TSL
2.	Request the UL/CL for books to be bound.	Approved letter	UL/CL, CSL, TSL
3.	Bind loose covers for reinforcements.	Quotation	CSL, TSL
3.	Shelve books on appropriate shelves (Shelve them loosely for ease of removing and shelving).	Shelved books	CSL
4.	Ensure that the environment within the library is conducive for the books so that they are not damaged by moisture and direct sunlight.		CSL

4.8 Process for Producing Item Barcodes

4.8.1 Source

Technical Services Librarian

4.8.2 Required inputs

Barcode data, barcode software, barcode template, barcode labels, printer

4.8.3 Expected outputs

Printed barcode labels

4.8.4 Receivers

Technical Services Librarian

4.8.5 Process Details

SN	Description	Output	Responsibility
1	Request SL to print barcodes	Documented request	TSL
2	Identify the KUHES library that needs the barcodes	Name of specific library in need of barcodes	SL
3	Prepare the data and assigns 4 digits by location: Chileka (KUTH): 6101 Kameza: 6102 Lilongwe: 6103 Mahatma Gandhi: 6104 Mangochi: 6105 The data count is in multiples of 39 for a 39-label barcode sheet	Raw barcode data in CSV format	SL

SN	Description	Output	Responsibility
4	Edit the barcode template accordingly	Edited barcode template	SL
5	Set barcode dimensions	Digital file of the configured barcode	SL
6	Import the data into the barcode software	Imported data in the barcode software	SL
7	Print the barcodes and hand them over to TSL	Printed barcodes	SL
8	Receive the barcodes and records the first and last numbers in a hardcover kept in the Secretary's office	Printed barcodes and updated record of first and last printed numbers	TSL

4.9 Process for daily backup of the library database

4.9.1 Source

Systems Librarian

4.9.2 Required inputs

Server, database, backup folder, backup file, external storage media

4.9.3 Expected outputs

Externally backed up database

4.9.4 Receivers

Systems Librarian

4.9.5 Process Details

SN	Description	Output	Responsibility
1	Open the folder E:\DB_Backup\ on the server	Open folder	SL
2	Copy the file LSBackup-YYYY-MM-DD.7z to an external storage medium (where YYYY = year, MM = month and DD = date [representing that day's date], '7z' is the file	Externally backed up library database file	SL
3	Keep the external storage medium in a safe place	Secured storage medium	SL
4	Copy the backup file to other media to keep it in multiple locations (computers/laptops, external hard drives)	Externally backed up library database file on multiple storage media	SL

4.10 Process for reporting library system issues to the system vendor (The Library Cooperation)

4.10.1 Source

Systems Librarian

4.10.2 Required inputs

Erratic library system

4.10.3 Expected outputs

Error-free library system

4.10.4 Receivers

Systems Librarian

4.10.5 Process Details

SN	Description	Output	Responsibility
1	Test a few L.S modules to ascertain system failure	Erratic library system	SL
2	Notify all users of the system failure	Notice of system failure	SL
3	Log on to TLC's Online Help Desk on https://ww2.tlcdelivers.com/helpdesk/	Online Help Desk	SL
4	Report the error in a specific and concise manner	Active ticket	SL
5	Check the Help Desk from time to time for TLC's responses. They may need to work with the KUHES Library systems team	Trail of interaction between TLC and KUHES Library	SL
6	At the end of the troubleshooting, test the system to ensure it is working properly	Restored library system	SL

SN	Description	Output	Responsibility
7	Communicate with users as soon as the issues are resolved	Notice of system restoration	SL

4.11 Process for Thesis and Dissertation review

4.11.1 Source

Postgraduate students.

4.11.2 Required inputs

Thesis or dissertation

4.11.3 Expected outputs

Thesis / Dissertation Approval Certificate

4.11.4 Receivers

Postgraduate Students, Director of the Institute of Postgraduate Studies and Research

4.11.5 Process Details

SN	Description	Output	Responsibility
1	Receive finalised thesis / dissertations from student after addressing internal and external examiners' comments through email	UL acknowledges receipt of the thesis / dissertation	UL/CL
2	Delegate thesis / dissertation to another librarian, copied to the candidate	emailed thesis / dissertation to delegated librarian	UL/CL

SN	Description	Output	Responsibility
		copied to the candidate	
3	The delegated librarian: a. acknowledges receipt of the email and attached thesis / dissertation. b. records details of the thesis / dissertation (title, author, programme, candidate's email address, date received and reviewer's name) c. reviews the thesis, i.e., does basic editing, checks the format, in-text citations and references as prescribed by the Postgraduate student's handbook and referencing style as prescribed by specific Schools. d. ensures that required appendices are included, such as a draft manuscript, and KUREC Ethics Approval Certificate, if applicable.	Thesis / dissertation	Librarian (as delegated by the UL/CL)

SN	Description	Output	Responsibility
	e. runs the thesis / dissertations through a text-matching software (e.g., Turnitin) f. emails the reviewed thesis / dissertation in both MS Word and pdf, including feedback to the candidate, pointing out areas to concentrate on.		
4	Librarian receives corrected copy from student through email.	Corrected thesis / dissertation	Librarian
5	The librarian: a. does further review and sends back the thesis / dissertation for correction if there are outstanding issues. b. writes the Library Thesis Approval Certificate (on behalf of the UL) when the thesis / dissertation meets requirements. c. affixes a KUHeS Libraries stamp on the approval certificate	Corrected/final thesis / dissertation and Library Thesis Approval Certificate	Director of the Institute of Postgraduate Studies and Research

4.12 Process for Thesis Submission into Institutional Repository

4.12.1 Source

Postgraduate students

4.12.2 Required inputs

Thesis or dissertation, policy documents, reports, journal articles. Preprints (journal articles or open access), audio clips, video clips.

4.12.3 Expected outputs

Submission into the institutional repository (IR)

4.12.4 Receivers

Postgraduate Students, School Postgraduate Coordinator, Librarian, Director of the Institute of Postgraduate Studies and Research.

4.12.5 Process Details

SN	Description	Output	Responsibility
1	A patron submits an electronic copy of the item, which will become the property of the University.	UL acknowledges receipt of the thesis / dissertation	UL
2	- Click on the LOGIN link to begin submission (the submitter should be able see his/her name when the login is successful on the header) - If new user, click on the REGISTER link to open an	Submitter registers an account	Candidate/Postgraduate School Coordinator

SN	Description	Output	Responsibility
	account.		
3	To Start a new submission 1. Choose a Community you wish to submit to. If the chosen community has Subcommunities, you can navigate to the desired Subcommunity 2. Navigate to the collection you wish to submit to under the chosen Community/Subcommunity and click on Submit a new item to this collection button.	The submitter chooses a community by following the established KUHeS Schools	Candidate/Post graduate School Coordinator
4	Steps to the submission success 1. Follow each step filling out appropriate fields. Any fields with a * next to them are mandatory (Title and Date of Issue). Most fields have a hint underneath to help with completion 2. Please move about the submission steps using the NEXT link button of each page. You can also save and	The submitter fills up all mandatory fields such as title of the thesis, date of issue, etc	Candidate/Post graduate School Coordinator

SN	Description	Output	Responsibility
	comeback to your submission later using SAVE & EXIT button.		
5	The Submission process is divided into 4 steps a. The description stage This step has two parts, the essential fields of the first part are: Authors, Title, Date of Issue Publisher, Type and Language. The essential fields of the second part are: Subject Keywords and Abstract b. The upload stage Here you upload file by clicking the CHOOSE FILE button and enter description details if appropriate under File Description c. The review stage Here you review all the information you have entered. Click "CORRECT ONE OF THESE" button if there is a need to correct anything from	The submitter follows the 4 stages of submission carefully, etc	Candidate/Post graduate School Coordinator

SN	Description	Output	Responsibility
	any of the steps. d. License Last step is to read/grant license by checking the GRANT THE LICENSE box. Complete the submission by click the COMPLETE SUBMISSION button.		
6	You will a message letting you know that your submission is complete. You can get a detailed look at your submission by accessing the submission and workflow tasks page. This can be accessed under MY ACCOUNT in the left-hand menu > My Account > Submissions	The submitter completes the submission	Candidate / Postgraduate School Coordinator / Librarian

4.13 Library Instruction

In general, all librarians teach literacy programmes. Teaching assignments should be made in consultation with the Client Services Librarian. Librarians are assigned to work with the various academic programmes in the University. They are responsible for conducting library instruction within their assigned

liaison disciplines. Library training may be offered through face-to-face and online, instruction.

4.14 Procedures

Library instruction may be pre-scheduled. Other sessions may be assigned by the Scholarly Communications Librarian in consultation with the Schools.

Before the session, the SCL shall interact with Programme Coordinator to set the goals of the session.

When offering library instruction, librarians may:

- Prepare an electronic handout, library guide, or paper handout (or uses one on file) that lists sources appropriate for research assignment.
- Use appropriate instructional aids.
- Interact with students
- Consider different learning styles in preparing the session.
- Use active learning, especially in First-Year sessions.
- If possible and appropriate to class objectives, develop ways to provide students with hands-on experience in all sessions;
- Encourage students' questions.
- Encourage students to seek further assistance.

5. RISK MATRIX

The risk matrix shows risks that may affect the smooth flow of operations and processes.

Note under monitoring, the following responds: What = risk described. Why = prevent/correct consequence. How = mitigations/controls. Who = risk owner.

Risk = Likelihood * Impact. Both Likelihood and Impact are scored on a scale of 1-5. A maximum risk score is therefore 25

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
Failure/delay by teaching staff in proposing titles of books to be procured	Delay in procuring required titles of books	3	2	6	Intervention by Management by way of issuing Memo /circulars to teaching staff	Deans of respective Faculties	HODs fail to submit lists of books required for procurement after the deadline specified annually. UL, Library. Minutes of Library Staff meetings

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
Delay in delivery of requisitioned books by	Delay in delivery of requisitioned books by book suppliers	3	2	6	Regular follow-ups by Acquisition Librarian/UL, HoD, and Library with the Procurement Department.	Procurement Officer	Delayed requisition cases. Annually.
							HoD, UL, Library, Acquisition Librarian, Requisition book.
							Letter of approval for the procurement of books
Delivery of poor-quality books	Books easily get damaged	1	2	2	Inspection of newly acquired books on delivery	UL, Library Acquisition Librarian	Poor quality books delivered by University Inspectors.
	High cost of repair of books						Continuous.
							Delivered books inspection reports
Weeding relevant useful information materials	Under-stocking KUHfS Library	2	2	4	Library Weeding to be done by competent Staff	UL, Library SAL	List of weeded relevant info materials.

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
						SLA	Annually. UL Library staff.
							Library Weeding Policy.
Delay in weeding obsolete info materials	Irrelevant information materials on	2	1	2	Have and adhere to a Library weeding policy	UL, Library Staff	Minutes of library meeting(s). Annually.
	library shelves						UL, Library Staff.
							List of weeded books.
Delay in reviewing Weeding Policy	Lack of up-to-date Library Weeding Policy	2	1	2	Review the Library Weeding Policy every 5 years or as the need arises	UL, Library staff	Date of Library Weeding Policy Annually
							UL, Library staff
							Minutes of library meeting(s)
Terrorism/Crime	Loss of lives Injury	2	2	4	Installation of CCTV Improves Security Intelligence	Top Management Security	No security breaches were reported. Continuous.

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
	Loss of library property					Officer/Police	Library Security Personnel. Report/incident book.
Library Users Stealing books	Loss of library resources	3	1	3	Improvement of Security (CCTV)/ Integrity. Vigilance by Security personnel	UL, Library Staff, Library Security Personnel	The number of theft cases reported/detected Continuous.
							Library Security/Staff. Report/incident book.
Loss of books in the Library	Corruption by Library Staff colluding with	1	3	3	Adherence to Ethics and Integrity Code by Library Staff.	UL, Library staff	Stock-taking exercise. Annually.
	Library Users				Institute discipline		UL, Library Staff.
							Report of lost books annually
Failure by users to pay overdue fines	The decline in Library Service Delivery	2	2	4	Enforcement of Library rules and regulations	UL, Library Staff	List of Overdue fine defaulters. Continuous.

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
							UL, Library staff
							Overdue fine reminders
Wrong answers to library users' queries	Unskilled library staff. Lack of communication facilities to aid in	1	3	3	Employment of skilled competent Library Staff Acquisition of required facilities such as	University management UL, Library Staff	Several Library patron complaints recorded.
	info searching and retrieval				computers and internet connectivity		Biannually. UL
							Librarian for reader's services. Complaints register
Misfiling of Information request forms	Carelessness by Library Staff	2	1	2	Proper filing	Librarian for the Reference Section	Number of forms misfiled Biannually
							Librarian for Reference Section information request file

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
Library Management	Loss of data	3	5	15	Data backup	ICT Manager UL, Library Staff	System breakdowns are experienced Continuous.
System breakdown					Use of Install UPS		Library Staff and ICT Staff, Report/Incident book.
Theft of Information Communication Technology facilities	Insufficient Information service delivery	1	2	2	Improvement of security	University Management Security Officer.	A number of theft cases reported. Continuous.
					Vigilance by Library Security personnel	UL Library Staff	Security Personnel. ICT Staff.
							Library Staff. Report/Complaints register
Loss of library users' property particularly in the luggage bay/area	Complaints by library users	3	3	9	Improvement of security and use of numbered tags in the luggage storage area of	Library Security Personnel. UL, Library	A number of complaints reported. Continuous.

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
					the Library		Library Security Personnel. Report incident book.
Fire outbreak	Loss of lives, Destruction of books and other library items	3	3	9	Install smoke detectors, fire extinguishers, emergency exits Regular inspection of electric facilities	Estates Manager UL, Library	Faulty electric cases were reported. Continuous.
							UL, All Library Staff.
							Library meeting minutes. A survey report by Estates Department of Library fire safety
Registration of wrong details of a prospective library user	Lack of Library services/info sources for users	1	2	2	Staff to be careful when registering Library Users to ensure that they don't key or upload in the System wrong data.	UL, All Library Staff	Several Library Users wrongly registered.
							Continuous. UL, All Library Staff.
							Records in Koba Library Management System

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
External library user(s) submitting fake identification card(s) to access library services	Loss of information materials	2	2	4	Adherence to Library Rules and Regulations Registration of Library users	Librarian for Circulation Section	A number of fraud cases reported. Continuous. UL, Library staff, Security Officer Occurrence book
Vandalism of computer parts	Loss of data Computer System failure	3	3	9	Training on integrity Operating computers daily	Security Officer	The number of vandalism cases is Continuous.
						HoD, Library	Library Security Personnel ICT Staff
							Library Staff, Report/Incident Register.
Computer breakdown System	Loss of data	3	3	9	Regular Maintenance of Computer Systems	ICT Manager UL	Number of systems breakdowns reported in the Library Continuous.
						Library, Librarian for Computer	ICT Manager, UL

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
						Resource Centre	ICT systems break down reports
Ltd ICT services Lack of Integrity by Computer Resource Centre	Lack of equity in the usage of the Computer Resources Centre	2	1	2	Adherence to ethics and integrity act	Library Staff in the E-Resources Centre	Number of Complaints Continuous.
users/staff	facilities						In charge, Computer Centre, Timing CRC Users.
							Application of a Timing Software
The decline in Library stock	Damaged Books	1	2	2	Repair of damaged books	UL All Library Staff	The number of damaged books Continuous.
					Inspection of borrowed books returned by users		UL
							Librarian for Circulation Section. Record of repaired books

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
Inadequate reading space in the Library	Overcrowding in the Library	2	2	4	Decentralizing Library Services	University Management UL	Regular surveys on the number of students lacking seats.
							Continuous. UL
							Observation/survey reports
Poor housekeeping e.g. sweeping, dusting and clearing bushes outside	Destruction of books by pests (such as Rodents, Insects such as termites, silverfish)	2	3	6	Train in good housekeeping Regular inspection of library materials.	SLA, Library Estates Manager	The number of books destroyed Continuous.
					Application of rodenticides		UL Preservation of books Survey reports.
Power Outage/Blackout	Damage of Library and Information Services	4	3	12	Power Backup	University Management, UL	The number of power outages Monthly.
							UL, Library, Estates Manager Surveys reports.

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
Malfunctioning/missing fans for air conditioning	Excessive heat in the Library	3	2	6	Regular repair/servicing of fans for air conditioning	Estates Manager, UL	Fans malfunctioning Continuous.
							UL, Library, Estates Manager.
							Observation reports.
Under-staffing	Poor library services	2	2	4	Staffing	Top Management	Requisition staff Annually.
							HR, Library.
Laxity by library staff	Poor library services	2	2	4	Staff Motivation Workshops/Seminars	UL, Library Staff	Customer complaints. Biannually.
							HoD, Library.
							Library User satisfaction survey reports Complaints register.
Internal conflict	Poor working	2	2	4	Effective and efficient	UL, HR	Internal conflict-reported cases

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Opportunities source)	Risk Owner	Monitoring
		Likelihood	Consequence	Raw Risk			
		(L)	(C)	(L x C)			
by library staff	relationship				library human resource		Continuous.
					management		HoD, Library.
					guidance and		Complaints register
					counselling services		
Poor health of	Sick offs	1	3	3	Regular library staff	HR,	Sick offs.
library staff.					medical check-ups	UL	Continuous
							Library Staff
							Number of sick offs received

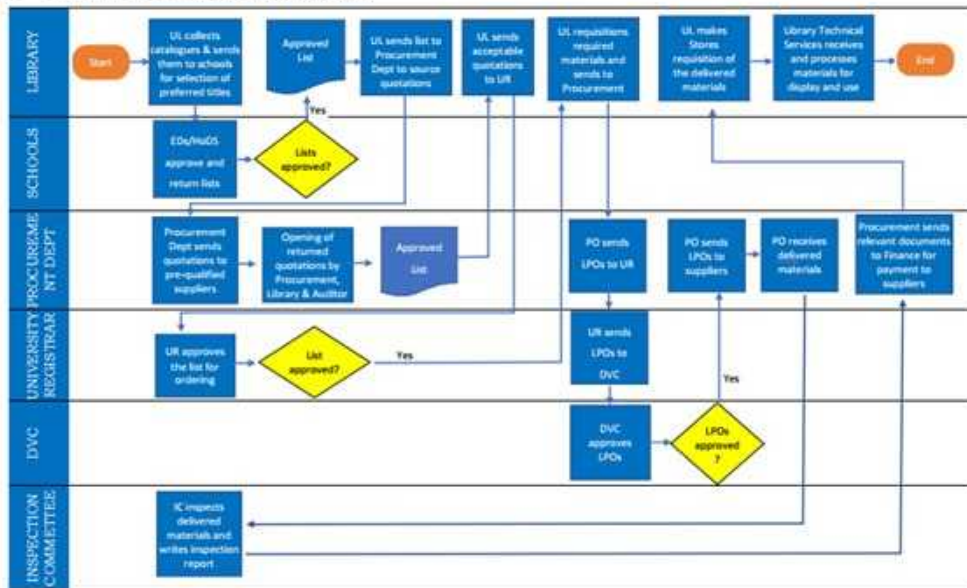
Likelihood Score

1	Rare. 0-5% Extremely unlikely or virtually impossible
2	Possible. 6-20% Low but not impossible
3	Likely. 21-50% Fairly likely to occur
4	Very likely. More likely to occur than not
5	Almost certain. >80% Almost certainly will occur

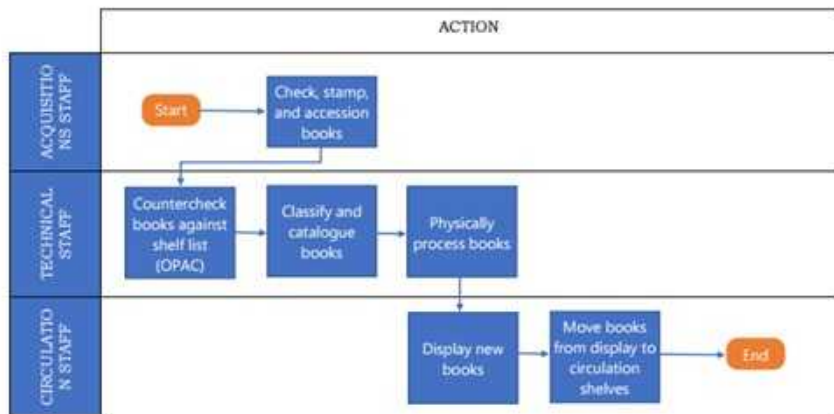
Impact Score	Description
1	The financial net impact of less than 1% of turnover. No other significant impacts.
2	The financial net impact of 1-2% of turnover. No regulatory consequences. Adverse publicity locally. Minor injury.
3	The financial net impact of 3-5% of turnover. Addressable regulatory consequences. Adverse publicity in national papers. Major injury.
4	The financial net impact of 6-20% of turnover. Substantial regulatory consequences. Major international adverse publicity. Death of an individual or several major injuries.
5	University forced to cease business or loss a substantial part of the University (net > 20% turnover). Multiple major injuries or deaths.

APPENDIX I: PROCESS MAPS

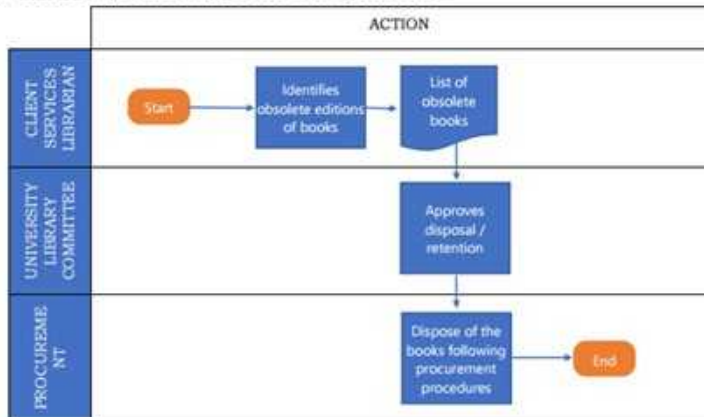
I. Process Map for Collection Development



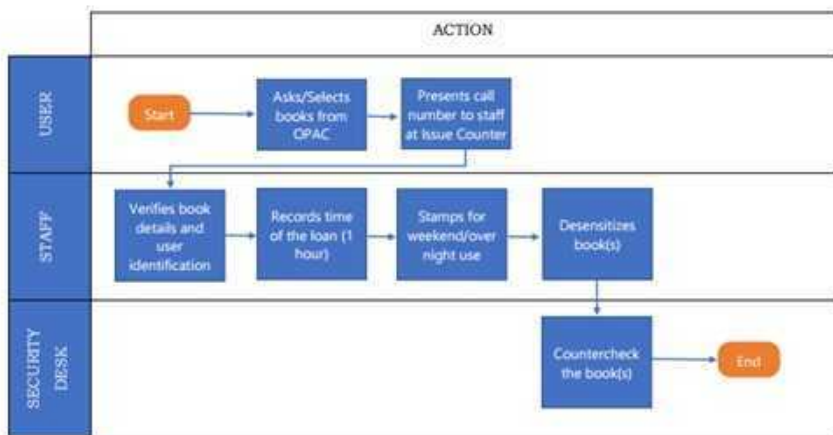
II. Process Map for the Organization of Information Materials



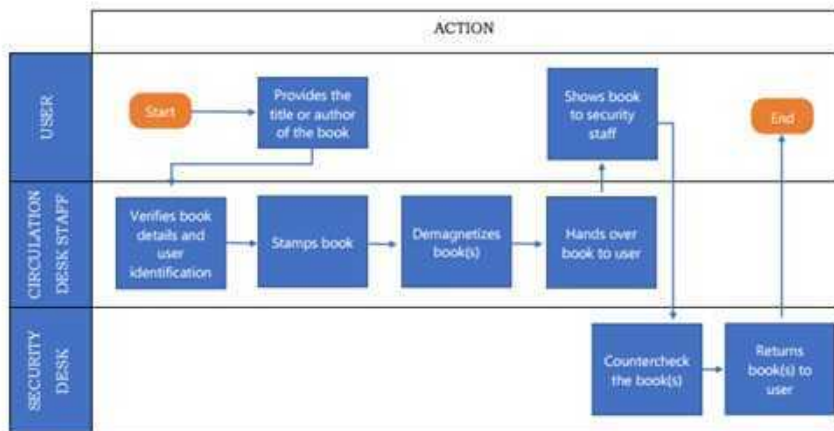
III. Process Map for Weeding Obsolete Library Resources



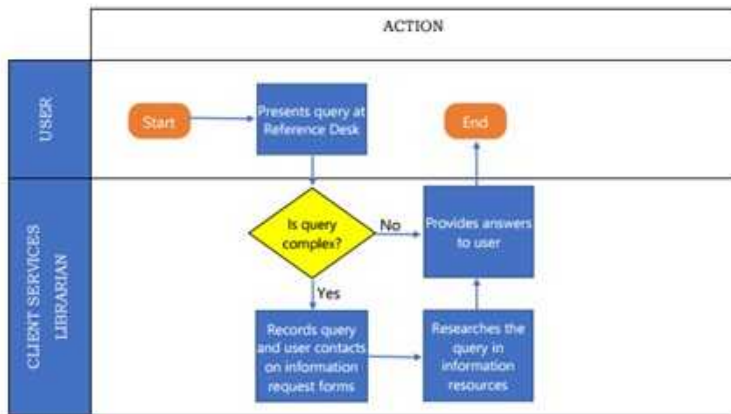
IV. Process Map for Short Loans Circulation of Books



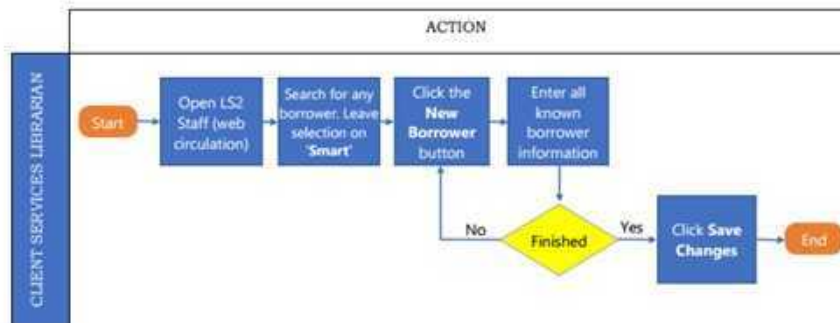
V. Process Map for General Circulation of Books



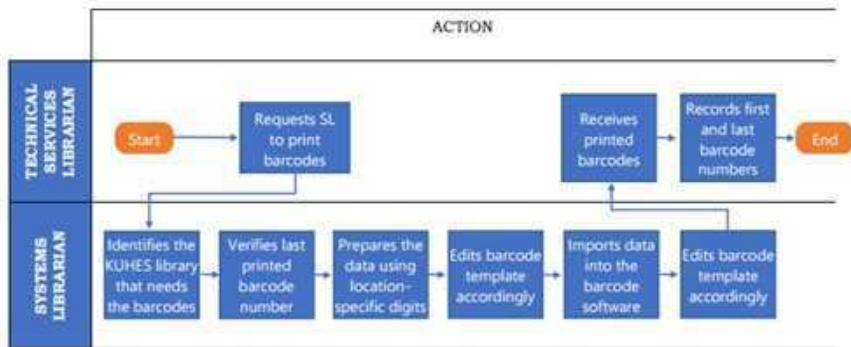
VI. Process Map for Reference Services



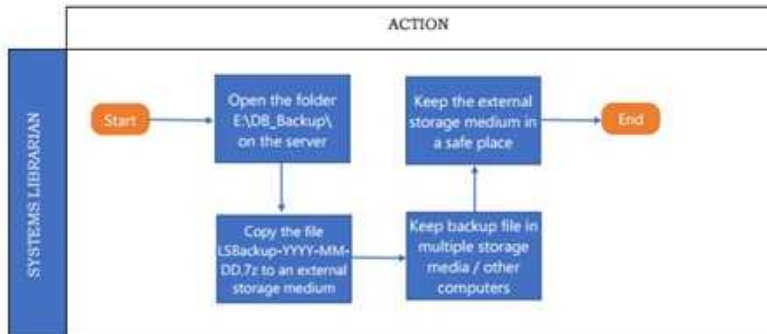
VII. Process Map for Adding Borrowers in the Circulation Module



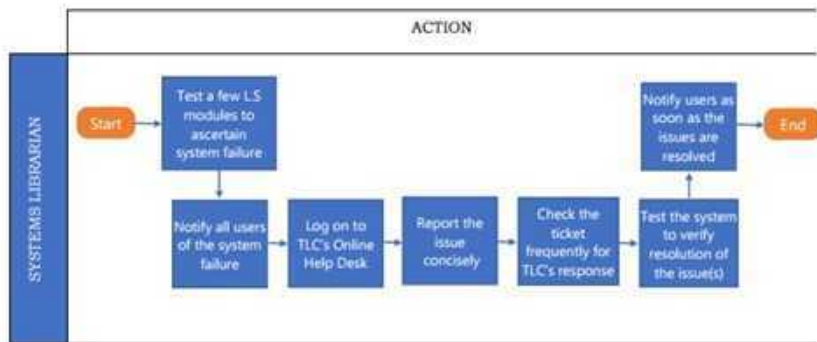
VIII. Process Map for Printing Item Barcodes



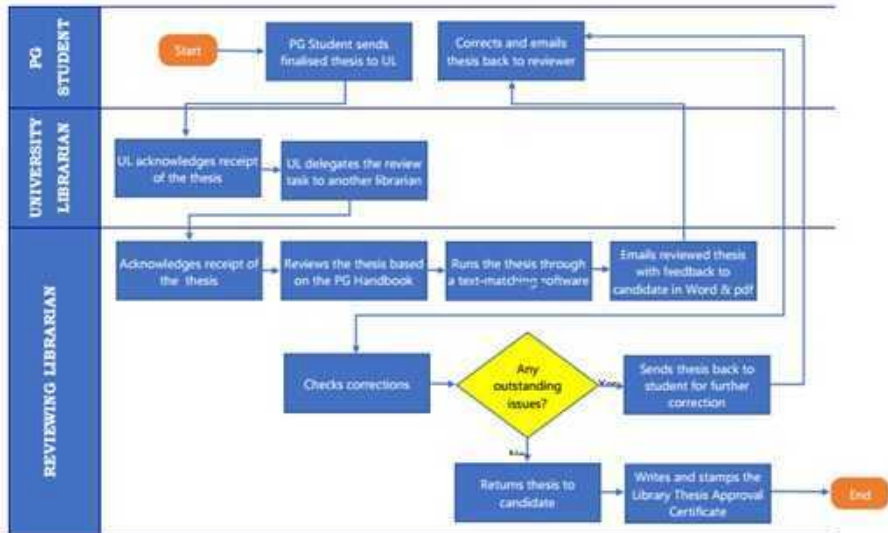
IX. Process Map for Daily Backup of the Library Database



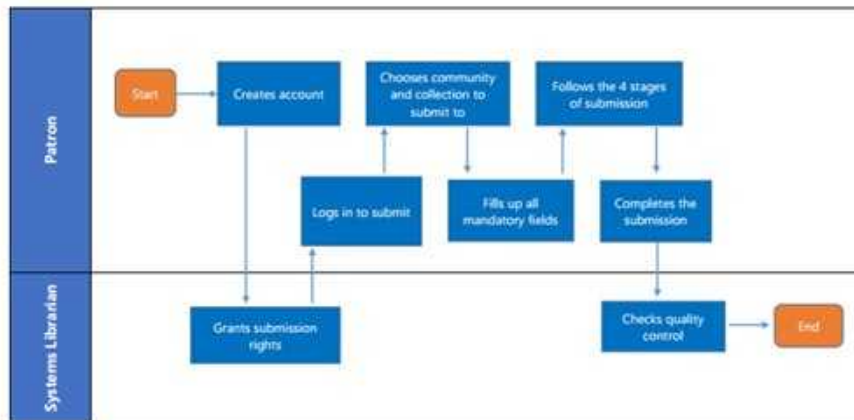
X. Process Map for Reporting Library System Issues to the Library Software Vendor (TLC)



XI. Process Map for Thesis and Dissertation review



XII. Process Map for Thesis Submission into Institutional Repository



APPENDIX II: FORMS**I. Library Information Literacy Form (Staff)**

LIBRARY INFORMATION LITERACY FORM (STAFF)					
DATE:.....					
SN	ADMISSION No.	NAME	MOBILE No.	SIGN	DATE
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

II. Library Information Literacy Form (Students)

LIBRARY INFORMATION LITERACY FORM (STUDENTS)					
DATE:.....					
SN	ADMISSION No.	NAME	MOBILE No.	SIGN	DATE
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					