CONSORTIUM OF
EUROPEAN
RESEARCH
LIBRARIES

Collection Security Summer School
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The Quick Audit Tool (QAT) & its Supporting Tool (ST)

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SECURITY
NETWORK

KBR · Where time is treasured

Topics	The QAT and its ST

The background

- ❖ The Security Working Group
- ❖ Systems-based approach

The main goals

- ❖ Raising awareness
- ❖ Providing advice & be a reference source
- ❖ Providing concrete and practical things

The QAT

- ❖ General outline
- ❖ The questionnaire
- ❖ The standard/reference grid: how to obtain it
- ❖ The Guidelines

The Supporting Tool

- ❖ Concept
- ❖ Implementation and timeline

Questions - answers

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The Background
The Security Working Group

Members of the Working Group

Chairman: **Jacqueline Lambert**, Koninklijke Bibliotheek van België – Bibliothèque royale de Belgique, Brussels

Núria Altarriba , Biblioteca de Catalunya, Spain

Greger Bergvall, Kungliga Biblioteket, Sweden

László Boka, National Széchényi Library of Hungary, Budapest

Anne Pasquignon, Bibliothèque nationale de France, Paris

Andrea Cappa, Biblioteca Nazionale Centrale di Roma (BNCR) and **Flavia Bruni**, Istituto Centrale per il Catalogo Unico delle biblioteche italiane e per le informazioni bibliografiche (ICCU)

Per Cullhed, Uppsala University Library, Uppsala

Adrian Edwards, British Library, London

Claudia Fabian and **Wolfgang-Valentin Ikas** , Bayerische Staatsbibliothek, München

Claus Friis and **Anna Magdalena Lindskog Midtgaard**, Det Kongelige Bibliotek, Copenhagen

Nina Korbu, National Library of Norway, Oslo

Eva Nylander, University Library, Lund **-** on behalf of the CERL Swedish group members

Brian O'Donnell, National Library of Ireland, Dublin

Wim Tromp and **Foekje Boersma**, Koninklijke Bibliotheek, The Hague

A diversity

- ❖ 12 nationalities
- ❖ National, regional, university libraries including one on behalf of a group of libraries
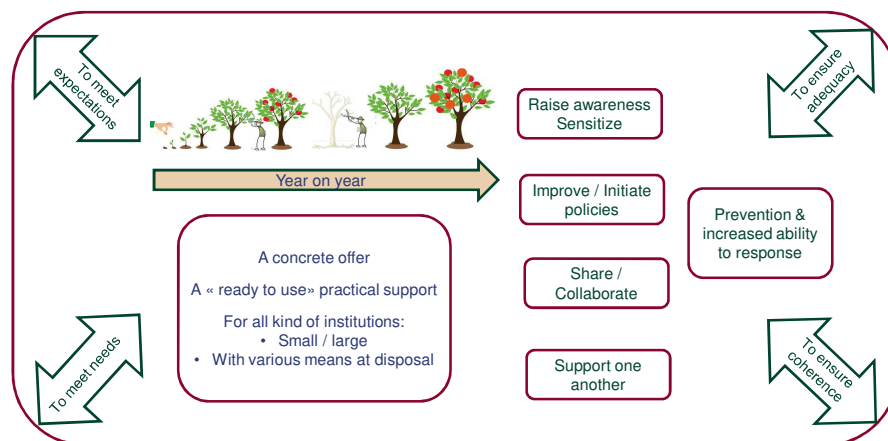- ❖ Representatives with various profiles (training, position)

Serving a cause by

- ❖ Helping libraries and archives, small and large, to enhance the security of their collections

- ❖ Offering concrete support for the risks management of depredation of collections

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The Background
Systems-based approach

Within a network which we would like to be the most active possible

To meet expectations

To ensure adequacy

Year on year

Raise awareness
Sensitize

Improve / Initiate policies

Prevention & increased ability to response

A concrete offer

A « ready to use » practical support

For all kind of institutions:
- Small / large
- With various means at disposal

Share / Collaborate

Support one another

To meet needs

To ensure coherence

2

The main goals

Raising awareness about

- ✓ Necessity to develop policies to minimize the risk of theft and vandalism from the smallest to the largest institutions
- ✓ Necessity to keep them constantly under review

Providing advice & be a reference source

- ✓ To convince / encourage / help to take the steps
- ✓ To take stock of the situation / assess the level of achievement / improve the existing policies
- ✓ To articulate the importance of specific activities / projects
- ✓ To maintain vigilance / stay critical

Providing concrete and practical things

- ✓ Sample documents such as forms, checklists, procedures, ….
- ✓ Background discussions in all relevant areas which could help in the choice of specific equipment, techniques, strategic alternatives or other

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The QAT
General outline

THE QUICK AUDIT TOOL

A help proposed by the CERL Security Working Group in the fight against theft and vandalism

CERL Security Network
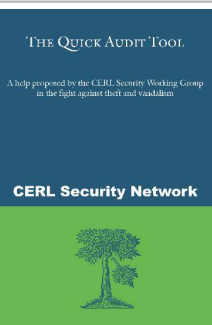
Quick assessment

Annually reviewed

1st edition available to all on CERL's website since November 2018

2nd edition is in preparation

https://www.cerl.org/publications/other_cerl_pubs

Based on:
A survey of about a hundred questions covering 6 key areas

- Governance & Policy
- Collection Management
- Physical Security
- Access & Use
- Exhibition & Transport
- Incident & Crisis Management

Provided with guidelines, based on:

Various relevant considerations related to your institution

The figures delivered by the survey, conducted among the SWG institutions, translated into a positioning/reference grid
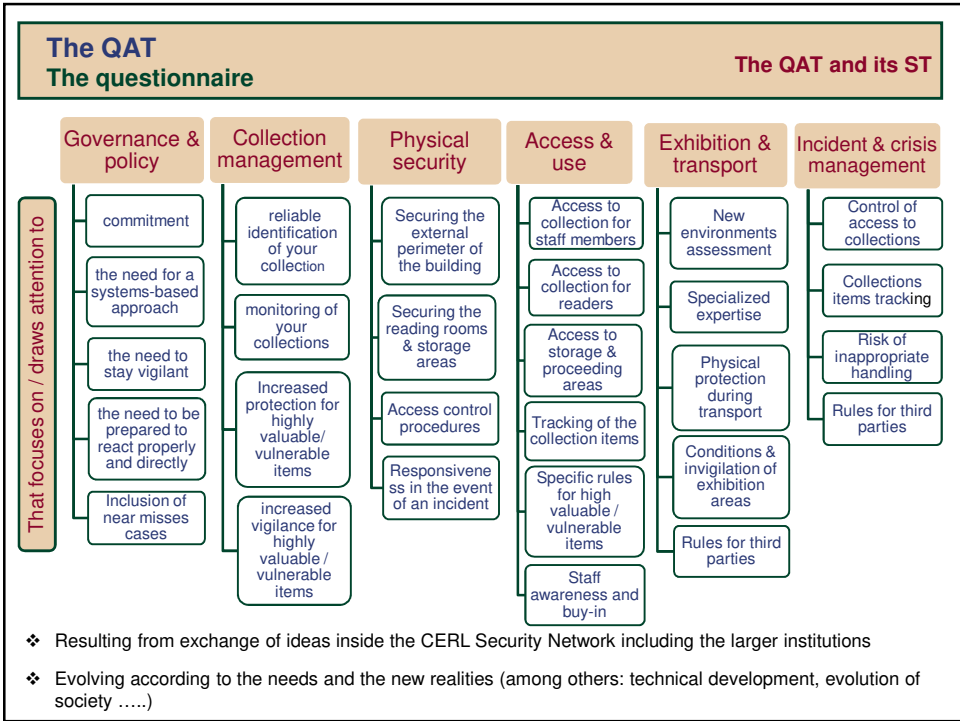
CERL SWG: "Reference grid" QAT version 2019

Yes ➔
No ➔
In part ➔

At a simple glance you get clear first visualization of your situation

The QAT
The questionnaire

That focuses on / draws attention to

Governance & policy	Collection management	Physical security	Access & use	Exhibition & transport	Incident & crisis management
commitment	reliable identification of your collection	Securing the external perimeter of the building	Access to collection for staff members	New environments assessment	Control of access to collections
the need for a systems-based approach	monitoring of your collections	Securing the reading rooms & storage areas	Access to collection for readers	Specialized expertise	Collections items tracking
the need to stay vigilant	Increased protection for highly valuable/ vulnerable items	Access control procedures	Access to storage & proceeding areas	Physical protection during transport	Risk of inappropriate handling
the need to be prepared to react properly and directly	increased vigilance for highly valuable / vulnerable items	Responsiveness in the event of an incident	Tracking of the collection items	Conditions & invigilation of exhibition areas	Rules for third parties
Inclusion of near misses cases			Specific rules for high valuable / vulnerable items	Rules for third parties	
			Staff awareness and buy-in		

❖ Resulting from exchange of ideas inside the CERL Security Network including the larger institutions

❖ Evolving according to the needs and the new realities (among others: technical development, evolution of society …..)

The QAT
The standard/reference grid: how to obtain it

✓ The booklet is accompanied by an Excel File consisting of 7 pages: one for each domain + the grid

✓ When you complete the right column for each question, the grid (the last page) is automatically and progressively highlighted according to the colour code

Yes →
No →
In part →

At a simple glance you get clear first visualization of your situation

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The guidelines / Based on the results to the questionnaire

Governance & Policy			
yes	no	in part	N. R.
1	83,33	8,33	8,33	0,00
2	91,67	0,00	8,33	0,00
3	33,33	41,67	25,00	0,00
4a	75,00	0,00	25,00	0,00
4b	58,33	0,00	41,67	0,00
5	58,33	16,67	25,00	0,00
6	66,67	8,33	25,00	0,00
7	66,67	8,33	25,00	0,00
8	66,67	0,00	33,33	0,00
9	50,00	25,00	25,00	0,00
10	50,00	33,33	16,67	0,00
11	75,00	0,00	25,00	0,00
12	50,00	8,33	41,67	0,00
13	75,00	8,33	8,33	8,33
14	75,00	8,33	16,67	0,00
15	66,67	8,33	25,00	0,00

■ Visualization given by the colours is a first help to highlight topics where there is a room for improvement

■ Focusing only on questions which you answered "no" or "in part" would be wrong. The questions answered positively also require analysis

■ When dealing with questions where you answered "in part" you can analyse the reason for incompletion, determine if the partial solution suffers from a lack of harmonization or, more difficult to admit, you have to recognize that the reason why you cannot apply a rule more broadly is because it is inadequate or inappropriate.

Collection Management			
yes	no	in part	N. R.
16	83,33	0,00	16,67	0,00
17	83,33	0,00	16,67	0,00
18	41,67	0,00	58,33	0,00
19	83,33	0,00	16,67	0,00
20	41,67	0,00	58,33	0,00
21	66,67	0,00	33,33	0,00
22	91,67	8,33	0,00	0,00
23	66,67	0,00	33,33	0,00
24	50,00	16,67	16,67	16,67
25	75,00	8,33	16,67	0,00
26	75,00	0,00	25,00	0,00
27	50,00	0,00	50,00	0,00
28	50,00	0,00	50,00	0,00
29	58,33	8,33	25,00	8,33
30	75,00	16,67	8,33	0,00

■ High % of institutions in which a rule is implemented → not too hard to implement or really more crucial

■ A question which you answered "no" with reference values of 83,33% "yes", 0 % "no" & 16,67% "in part" should likely be considered differently than a question you answered "no" with reference values of 50,00% "yes", 16,67% "no", 16,67% "in part" & 16,67% N.R.

Collection Management

16 Collection security is taken into consideration in all collection management procedures

17 You produce and maintain catalogue records for your collection

18 You include copy specific information, such as the presence of bookplates or inserted maps, in new or enhanced catalogue records for heritage materials

19 You create and retain accession records for acquisitions that are especially valuable, vulnerable or controversial

20 You maintain knowledge of the physical features that characterise materials in your collection, such as typical ownership marks and typical binding styles

21 You place ownership marks in your collection items (e.g. ink stamps, blind stamps)

22 You place shelf mark labels on your collections items where appropriate

23 You assess the security requirements of collection items, so that highly valuable/vulnerable items are identified and given increased protection

24 You have an agreed and documented disposals policy: disposed items have a clear cancellation stamp in them

25 You have measures in place to prevent unauthorised changes to your accession and catalogues records

26 Readers are encouraged to use digital or microform facsimiles of heritage materials that are especially valuable or vulnerable, except where there is an approved research reason for consulting the original

27 You take a strategic approach to auditing/ checking your collection at shelfs against your catalogue(s)

The guidelines / Based on the results to the questionnaire

Governance & Policy			
yes	no	in part	N. R.
1	83,33	8,33	8,33	0,00
2	91,67	0,00	8,33	0,00
3	33,33	41,67	25,00	0,00
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8	66,67	0,00	33,33	0,00
9	50,00	25,00	25,00	0,00
10	50,00	33,33	16,67	0,00
11	75,00	0,00	25,00	0,00
12	50,00	8,33	41,67	0,00
13	75,00	8,33	8,33	8,33
14	75,00	8,33	16,67	0,00
15	66,67	8,33	25,00	0,00

Referring to the standard can induce a real dynamic

■ It offers an opportunity to boost project
■ It inevitably has an emulation effect
■ It's a valuable source for articulating the importance of specific activities

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The QAT
The guidelines / Based on complementary relevant elements

Overall Context
- ✓ Control on achievement?
- ✓ Means at disposal?
- ✓ Expertise within your institution?
- ✓ Prerequisites such as plans…..?

State of mind
- ✓ Culture of questioning
- ✓ Realistic approach
- ✓ Positive attitude

Human factors
- ✓ Are there internal brakes/obstacles
- ✓ How to ensure buy-in?
  - ❖ Involvement of all who may be concerned
  - ❖ Information
  - ❖ Training

Link with Security and Health & Safety policies

Similar objectives
- ✓ Maximum protection through optimal prevention
- ✓ Ability to deal with unforeseen

Similar needs
- ✓ Reliable documentation
- ✓ Basic facilities and devices
- ✓ Buy-in from staff including hierarchical line

Similar approach – Dynamic risk management

Plan · Do · Check · Act — Continuous improvement

Interaction/link between the ≠ risks
- ✓ Example: the order

The Supporting Tool

Aim?
Beyond helping you to take stock and to plan and/or refine measures, we also intend to bring you more concrete support.

Why?
We feel that many of the resources which are available on-line often require a lot of time, before anything concrete can be derived from them

What?
A tool dedicated to made available both sample documents such as forms, procedures, checklists, etc. and background discussions in all relevant areas which could help in the choice of specific equipment, strategic alternatives or other.

Welcome to the Quick Audit Tool (QAT) Support Pages

Purpose of the tool
• Beyond helping you to take stock and to plan and/or refine measures , the SWG also
concrete support.

• Closely aligned to the points raised within the six topics of the QAT, this tool aims to
simple way, both sample documents (forms, checklists, procedures …) and background
areas (for instance relating to equipment and techniques).

A few guidelines

• Click on the selection boxes to access relevant documents

• By clicking on this you will return to this home page

• Clicking on this symbol will take you back to the previous page

Click on one of the 2 sections

①

**Sample
Documents**

Backg

To implement a policy, you will often need forms,
checklists, procedures and other practical documents.
Many useful documents have already been developed
within different institutions and/or by reference
organisations. Use these examples as templates to
make your own institution more effective sooner and
optimize resources.

A four steps interactive
file/interface

Sample Documents
Click on one of the 6 topics

②

Governance & Policy

Lorem ipsum dolor sit amet, consectetur adipiscing
elit. Nam pellentesque vel tortor quis aliquam.
Aliquam imperdiet, magna sed viverra rutrum, orci
justo hendrerit nulla, efficitur ut nunc et, tempor
condimentum est. Etiam facilisis egestas cursus.

Collection Management

Lorem ipsum dolor sit amet, consectetur adipiscing
elit. Nam pellentesque vel tortor quis aliquam.
Aliquam imperdiet, magna sed viverra rutrum, orci
justo hendrerit nulla, efficitur ut nunc et, tempor
condimentum est. Etiam facilisis egestas cursus.

Physical Security

Lorem ipsum dolor sit amet, consectetur adipiscing
elit. Nam pellentesque vel tortor quis aliquam.
Aliquam imperdiet, magna sed viverra rutrum, orci
justo hendrerit nulla, efficitur ut nunc et, tempor

Access & Use

Lorem ipsum dolor sit amet, consectetur adipiscing
elit. Nam pellentesque vel tortor quis aliquam.
Aliquam imperdiet, magna sed viverra rutrum, orci

Sample Documents > **Access & Use**
Click on one of the topics

**Reading
Room(s) Rules** | ... | ... | ...

Lorem ipsum ... | Lorem ipsum ... | Lorem ipsum ... | Lorem ipsum ...

③

... | ... | ... | ...

Sample Documents > **Access & Use**
Click on one of the topics

③

**Reading
Room(s) Rules** | ... | ... | ...

Sample Documents > Access & Use > **Reading Room(s) Rules**

Convenient for: small, medium, large, all institutions
EN: English, NL: Dutch, DE: German, FR: French, DA: Danish, NO: Norwegian, IT, Italian …

④

Basic Rules		Rules for Manuscripts & Rare Books	
Procedure	Form	Procedure	Form
Check list	Reminder	Check list	Reminder
RRRBRR Example1	EN	RRRRMRBR Example1	EN
From British Library		*From Bayerische Staatsbibliothek*	
Invigilating of Special Material		Access to Special Material	
Procedure	Form	Procedure	Form
RRRISMP Example 1	EN		RRRASMF Example 1	EN
From KB			*From Bayerische Staatsbibliothek*	

Opening Times | Handling the Collection | Reading Room Copying Services | Reading Room Do's and Don'ts

BSB Bayerische StaatsBibliothek

**Application for the permission
to read classified material**

BSB Bayerische StaatsBibliothek

Reading Room for Manuscripts and Rare

INFORMATION FOR USERS

• Please show your reader's ticket **when entering the reading room through the t**
Please note that certain objects must not be brought into the reading room. Please
and **turn off** the **sound of your mobile.**

• Please order **manuscripts, rare and old printed books** (Rar., Res, L.sel., EBlg e
completing a separate yellow order slip. No more than **10 order slips** may be sub
day. The items ordered will then be available for a period of two weeks (10 working

• Due to legal or conservation reasons some items may not be available for consulta

• The objects issued must be **handled with great care:**
  ○ **Pencils only** are to be used for writing. Laptops are also
    allowed.

The Supporting Tool
Implementation & Timeline

Based on dynamic collaboration

Who ?

Inputs → Security Network

Call to Action!

- ✓ Summer Schools
- ✓ CERL's Newsletters
- ✓ CERL website
- ✓ SWG's members
- ✓ Others

Processing/outputs

Security Working Group

For who?

Will exclusively be available to CERL members via the CERL's website (members area)

When?

By the end of 2019 we will be able to present you a first version with, we hope, 30 relevant items:

Annually, will be advertised in the QAT booklet- section "The QAT Supporting Tool – Timeline"

Topic	Sample documents	Background discussions
Governance & policy	XX items within X points	
Collection management		
Physical security		
Access & use		
Exhibition & transport		
Incident & crisis management		

Questions / answers

Thank you for your attention

SECURITY NETWORK

KBR Where time is treasured