



## The quick Audit Tool



### Topics

The Quick Audit Tool  
QAT

#### The QAT's 3 main goals

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

#### The process philosophy

#### What we practically propose to meet our goals

- ✓ The foundation: an annually reviewed questionnaire
  - Addressed topics
  - The resulting standard for basic assessment/positioning : the grids
  - Annual review's importance
- ✓ The guidelines
  - Based on the results to the questionnaire
  - Based on complementary relevant elements
- ✓ The supporting tools

#### Questions / answers

## The QAT's 3 main goals

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### Raising awareness about

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

### Providing advice & be a reference source

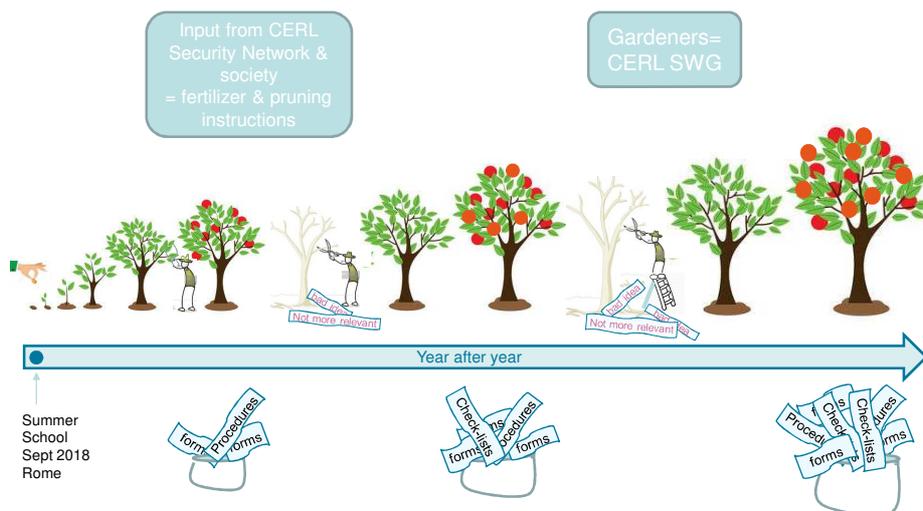
- ✓ To convince / encourage / help to take the steps
- ✓ To take stock of the situation / assess the level of achievement / improve the existing policy
- ✓ To articulate the importance of specific activities / projects
- ✓ To maintain vigilance / stay critical

### Providing concrete and practical things

- ✓ Forms, check lists, procedures, ....
- ✓ Sharing of selected experiences in all relevant areas (can concern equipment, techniques,...)

## The process philosophy

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**What we practically propose to meet our goals**  
 The foundation: an annually reviewed questionnaire

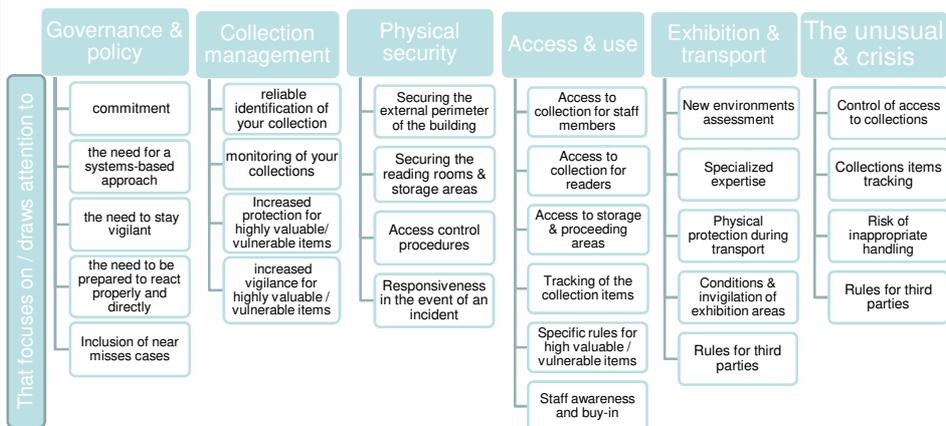
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- ✓ Covering all topics relevant for the prevention of theft and vandalism with a special focus on the differing needs across the whole range of member libraries
- ✓ Resulting from exchange of ideas inside the CERL Security Network including the larger national institutions
- ✓ Evolving according to the needs and the new realities (amongst others: technical development, evolution of society,...)
- ✓ With around 100 questions divided into 6 topics. The questions are formulated so as to obtain the answers "yes", "no", "in part" or "not relevant". The answer "yes" is positive for collection security.

**What we practically propose to meet our goals**

The foundation: Annually reviewed questionnaire  
 Addressed topics

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## What we practically propose to meet our goals

The foundation: Annually reviewed questionnaire

The resulting standard for basic assessment / positioning: the grids

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CERL SWG - "Resulting Standard" QAT version 2018

Governance & Policy				
	yes	no	in part	N.R.
1	58,85	18,18	27,27	0,00
2	90,91	0,00	9,09	0,00
3	36,36	45,45	18,18	0,00
4	81,82	9,09	9,09	0,00
5	72,73	18,18	9,09	0,00
6	45,45	18,18	36,36	0,00
7	72,73	9,09	18,18	0,00
8	72,73	9,09	18,18	0,00
9	45,45	36,36	18,18	0,00
10	45,45	27,27	27,27	0,00
11	72,73	0,00	27,27	0,00
12	54,55	0,00	45,45	0,00
13	81,82	0,00	18,18	0,00
14	90,91	0,00	9,09	0,00
15	72,73	9,09	18,18	0,00

Physical Security				
	yes	no	in part	N.R.
31	100,00	0,00	0,00	0,00
32	63,64	9,09	27,27	0,00
33	90,91	0,00	0,00	0,00
34	81,82	9,09	9,09	0,00
35	81,82	0,00	9,09	0,00
36	36,36	18,18	36,36	0,00
37	81,82	0,00	9,09	0,00
38	54,55	9,09	36,36	0,00
39	72,73	0,00	27,27	0,00
40	81,82	0,00	18,18	0,00
41	63,64	0,00	36,36	0,00
42	100,00	0,00	0,00	0,00
43	81,82	0,00	18,18	0,00
44	81,82	0,00	18,18	0,00

Access & Use				
	yes	no	in part	N.R.
45	100,00	0,00	0,00	0,00
46	90,91	0,00	9,09	0,00
47	100,00	0,00	0,00	0,00
48	100,00	0,00	0,00	0,00
49	36,36	54,55	9,09	0,00
50	45,45	9,09	45,45	0,00
51	90,91	0,00	9,09	0,00
52	100,00	0,00	0,00	0,00
53	45,45	9,09	45,45	0,00
54	9,09	45,45	36,36	9,09
55	90,91	0,00	9,09	0,00
56	45,45	0,00	45,45	9,09
57	100,00	0,00	0,00	0,00
58	100,00	0,00	0,00	0,00
59	100,00	0,00	0,00	0,00
60	90,91	0,00	9,09	0,00
61	81,82	0,00	18,18	0,00
62	100,00	0,00	0,00	0,00
63	72,73	27,27	72,73	18,18
64	63,64	9,09	0,00	27,27
65	54,55	9,09	27,27	9,09
66	72,73	27,27	45,45	0,00
67	45,45	9,09	45,45	0,00
68	36,36	9,09	54,55	0,00
69	9,09	54,55	36,36	0,00
70	72,73	9,09	18,18	0,00
71	36,36	27,27	36,36	0,00
72	36,36	45,45	9,09	9,09
73	81,82	9,09	9,09	0,00
74	54,55	9,09	18,18	18,18

Exhibition & Transport				
	yes	no	in part	N.R.
75	90,91	0,00	9,09	0,00
76	81,82	0,00	18,18	0,00
77	63,64	9,09	27,27	0,00
78	90,91	0,00	9,09	0,00
79	54,55	18,18	27,27	0,00
80	90,91	0,00	9,09	0,00
81	45,45	9,09	36,36	9,09
82	100,00	0,00	0,00	0,00
83	100,00	0,00	0,00	0,00
84	90,91	0,00	9,09	0,00
85	100,00	0,00	0,00	0,00
86	90,91	9,09	0,00	0,00
87	54,55	9,09	36,36	0,00
88	36,36	0,00	54,55	9,09
89	72,73	9,09	18,18	0,00
90	81,82	9,09	0,00	9,09

Collection Management				
	yes	no	in part	N.R.
16	81,82	0,00	18,18	0,00
17	90,91	0,00	9,09	0,00
18	45,45	0,00	54,55	0,00
19	90,91	0,00	9,09	0,00
20	54,55	0,00	45,45	0,00
21	63,64	0,00	36,36	0,00
22	90,91	0,00	9,09	0,00
23	63,64	0,00	36,36	0,00
24	81,82	0,00	18,18	0,00
25	63,64	9,09	27,27	0,00
26	63,64	0,00	36,36	0,00
27	36,36	0,00	63,64	0,00
28	36,36	9,09	54,55	0,00
29	63,64	36,36	0,00	0,00

Unusual & Crisis				
	yes	no	in part	N.R.
91	90,91	0,00	9,09	0,00
92	36,36	0,00	63,64	0,00
93	45,45	9,09	45,45	0,00
94	45,45	72,73	27,27	0,00
95	45,45	18,18	36,36	0,00

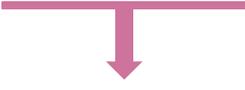
N.R. = not relevant  
11 participating institutions  
Lund University Library - Bibliothèque nationale de France - Paris - British Library, London - National Library of Norway - National Library of Ireland - Dublin - National Science Library of Hungary - Koninklijke Bibliotheek van België / Bibliothèque royale de Belgique, Brussels - Bayerische Staatsbibliothek, München - Koninklijke Bibliotheek, The Hague - Uppsala University Library - Royal Danish Library

For each question you answered :

Yes → 

No → 

In part → 



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

- First column → number of the question
- Column "yes" → % of participating institutions which responded "yes"
- Column "no" → % of participating institutions which responded "no"
- Column "in part" → % of participating institutions which responded "in part"
- Column "N.R." → % of participating institutions which responded "not relevant"

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## What we practically propose to meet our goals

The foundation: an annually reviewed questionnaire

Annual review's importance

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- Risk management's dynamic approach
- Policy continuously evaluated



- Changes consideration
- Of all sorts
- Internal as external

Forced by annual review

- Reduces the risk that a security policy gradually loses its relevance
- Acts as a tool to reinforce the vigilance and buy-in
- Ensures the sustainability of the two practical tools

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## What we practically propose to meet our goals

### The Guidelines

Based on the results to the questionnaire

## The Quick Audit Tool QAT

Governance & Policy				
	yes	no	in part	N. R.
1	54,55	18,18	27,27	0,00
2	90,91	0,00	9,09	0,00
3	36,36	45,45	18,18	0,00
4	81,82	9,09	9,09	0,00
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14	90,91	0,00	9,09	0,00
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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 incompleteness, 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	81,82	0,00	18,18	0,00
17	90,91	0,00	9,09	0,00
18	45,45	0,00	54,55	0,00
19	90,91	0,00	9,09	0,00
20	54,55	0,00	45,45	0,00
21	63,64	0,00	36,36	0,00
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25	63,64	9,09	27,27	0,00
26	63,64	0,00	36,36	0,00
27	36,36	0,00	63,64	0,00
28	36,36	9,09	54,55	0,00
29	72,73	9,09	18,18	0,00
30	63,64	36,36	0,00	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 90,91% "yes", 0% "no" & 9,09% "in part" should likely be considered differently than a question you answered "no" with reference values of 36,36% "yes", 9,09% "no" & 54,55% "in part"

collection management	
16	Collection security is taken into consideration in all collection management procedures
17	You 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
22	You place shelf mark labels on your collection 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 disposal policy: disposed items have a clear cancellation stamp in them
25	You have measures in place to prevent unauthorised changes to your accession and catalogue 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 audit / check your collection in the stacks to provide assurance on its security
28	You make and retain copies of high value items
<small>Where a high resolution copy of a rare or vulnerable item exists,</small>	

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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

## What we practically propose to meet our goals

The Guidelines

Based on complementary relevant elements

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### Overall Context

- Is the achievement 100% within your control or not?
- What about the means at your disposal, whether budgetary or human resources?
- Do you have the expertise within your institution?
- What about the prerequisites of all sorts
  - plans of the premises including their numbering
  - varied inventories related to technical equipment and devices that could be necessary to achieve a measure

### State of mind

- **Culture of questioning**  
At a certain moment, it becomes healthy to accept errors and failure
- **Realistic approach**  
Opting for less ambitious but sustainable measures is preferable to adopting measures that cannot be properly achieved  
When you start a 500km journey, you don't try to put at the outset the second foot at the finish point.
- **Positive attitude**  
Any decrease in terms of risks has to be considered as a victory so do not undervalue small actions

## What we practically propose to meet our goals

The Guidelines

Based on complementary relevant elements

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### Human factor

- What about possible internal brakes / obstacles?
- How do you ensure buy-in and adherence to new measures?
- It is important to involve as soon as possible, in one way or another, all who may be concerned /affected.
- Plan time to raise awareness, to ensure that everybody understands what is going on. Providing training in the proper use of all the measures is essential. If staff understand the rules and feel comfortable and confident with them they are more likely to comply with rules.

### Link with the general Security and Health & Safety policies

#### Similar objectives

Maximum protection through optimal prevention

Ability to deal with unforeseen events: from the mini crisis to the disaster

#### Similar needs

Reliable documentation (complete, up-to-date)

- Basic facilities and devices
- ✓ Fire Detection, Extinguishing means
  - ✓ Information signs, locating means .....

Adherence and participation of staff including hierarchical line

#### Similar approach

Dynamic risk management through knowledge of both the environment and the human factor

#### Interaction / link between the different risks

Example: the order → necessary to guarantee

- ✓ evacuation
- ✓ intervention of rescue
- ✓ cleaning
- ✓ spotting of anomalies in the collection

## What we practically propose to meet our goals

The supporting tools

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Aim?

Bringing you more concrete support with practical things that can be rapidly put in practice

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?

2 tools: one dedicated to standards (forms, procedures, check lists or other documentation) and the other one to the sharing of selected experiences in all relevant areas.

How?

Through a presentation allowing an operating mode as simple as "one glance one click"

Who?

Based on a dynamic collaboration

Inputs → Security Network

Processing/outputs → Security Working Group

More details on Friday afternoon

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Questions / answers

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**Thank you for your  
attention**

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