### The Quick Audit Tool (QAT) & its Supporting Tool (ST)

**Chairman CERL’s Security Working Group**

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#### Topics

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**Questions - answers**
The Background
The Security Working Group

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

A diversity

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

The QAT and its ST

A systems-based approach

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

Year on year

- Raise awareness
- Sensitize
- Improve / Initiate policies
- Share / Collaborate
- Support one another
- 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
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

The QAT
General outline

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

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

Quick assessment
Annually reviewed
1st edition available to all on CERL’s website since November 2018
2nd edition is in preparation

At a simple glance you get clear first visualization of your situation
The QAT and its ST

The QAT

The questionnaire

Governance & policy
- commitment
- the need for a systems-based approach
- the need to stay vigilant
- the need to be prepared to react properly and directly
- Inclusion of near misses cases

Collection management
- reliable identification of your collection
- monitoring of your collections
- Increased protection for highly valuable/vulnerable items
- Increased vigilance for highly valuable/vulnerable items

Physical security
- Securing the external perimeter of the building
- Securing the reading rooms & storage areas
- Access control procedures
- Responsiveness in the event of an incident
- Specific rules for high valuable/vulnerable items
- Staff awareness and buy-in

Physical security
- Securing the external perimeter of the building
- Securing the reading rooms & storage areas
- Access control procedures
- Responsiveness in the event of an incident
- Specific rules for high valuable/vulnerable items
- Staff awareness and buy-in

Access & use
- Access to collection for staff members
- Access to collection for readers
- Access to storage & proceeding areas
- Tracking of the collection items
- Specific rules for high valuable/vulnerable items
- Staff awareness and buy-in

Exhibition & transport
- New environments assessment
- Specialized expertise
- Physical protection during transport
- Conditions & invigilation of exhibition areas
- Rules for third parties

Incident & crisis management
- Control of access to collections
- Collections items tracking
- Risk of inappropriate handling
- Rules for third parties

That focuses on / draws attention to:
- the need to stay vigilant
- the need to be prepared to react properly and directly
- Inclusion of near misses cases

- 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 and Its ST

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

Yes
No
In part
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.

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.

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
### The QAT and its ST
**The guidelines / Based on complementary relevant elements**

<table>
<thead>
<tr>
<th>Overall Context</th>
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<tbody>
<tr>
<td>✓ Control on achievement?</td>
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<td>✓ Means at disposal?</td>
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<tr>
<td>✓ Expertise within your institution?</td>
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<tr>
<td>✓ Prerequisites such as plans.....?</td>
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<table>
<thead>
<tr>
<th>State of mind</th>
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<tbody>
<tr>
<td>✓ Culture of questioning</td>
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<td>✓ Realistic approach</td>
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<td>✓ Positive attitude</td>
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<table>
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<tr>
<th>Human factors</th>
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<tbody>
<tr>
<td>✓ Are there internal brakes/obstacles</td>
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<tr>
<td>✓ How to ensure buy-in?</td>
</tr>
<tr>
<td>❖ Involvement of all who may be concerned</td>
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<tr>
<td>❖ Information</td>
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<td>❖ Training</td>
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<table>
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<tr>
<th>Link with Security and Health &amp; Safety policies</th>
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<tr>
<th>Similar objectives</th>
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<tr>
<td>✓ Maximum protection through optimal prevention</td>
</tr>
<tr>
<td>✓ Ability to deal with unforeseen</td>
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<table>
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<tr>
<th>Similar needs</th>
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<tbody>
<tr>
<td>✓ Reliable documentation</td>
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<tr>
<td>✓ Basic facilities and devices</td>
</tr>
<tr>
<td>✓ Buy-in from staff including hierarchical line</td>
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<table>
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<tr>
<th>Similar approach – Dynamic risk management</th>
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<th>Interaction/link between the # risks</th>
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<td>✓ Example: the order</td>
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### The Supporting Tool
**The QAT and its ST**

<table>
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<th>Aim?</th>
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<tr>
<td>Beyond helping you to take stock and to plan and/or refine measures, we also intend to bring you more concrete support.</td>
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<tr>
<th>Why?</th>
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<tr>
<td>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</td>
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<table>
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<th>What?</th>
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<tr>
<td>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.</td>
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Welcome to the Quick Audit Tool (QAT) Support Pages

Purpose of the tool
- Beyond helping you to take stock and to plan and to refine measures, the QAT also provides support.
- Closely aligned to the points raised within the six topics of the QAT, this tool assists in a simple way, both sample documents (forms, checklists, procedures, ... and background notes) 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

A four steps interactive file/interface

The Supporting Tool
Concept

The QAT and its ST

The Supporting Tool
Concept

The QAT and its ST

The Supporting Tool
Concept

The QAT and its ST
The QAT and its ST

Implementation & Timeline

Based on dynamic collaboration

Who? 

Call to Action!

Inputs → Security Network
- 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"

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<thead>
<tr>
<th>Topic</th>
<th>Sample documents</th>
<th>Background discussions</th>
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<tbody>
<tr>
<td>Governance &amp; policy</td>
<td>XX item within X points</td>
<td></td>
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Questions / answers

Thank you for your attention