### The quick Audit Tool

#### Topics

<table>
<thead>
<tr>
<th>The QAT’s 3 main goals</th>
<th>The QAT: Quick Audit Tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Raising awareness</td>
<td></td>
</tr>
<tr>
<td>✓ Providing advice &amp; be a reference source</td>
<td></td>
</tr>
<tr>
<td>✓ Providing concrete and practical things</td>
<td></td>
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</tbody>
</table>

#### The process philosophy

- **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**

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

- **Questions / answers**

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The Quick Audit Tool (QAT)

The QAT’s 3 main goals

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

Year after year

Input from CERL Security Network & society
- fertilizer & pruning instructions

Gardeners=
CERL SWG

Summer School
Sept 2018
Rome
What we practically propose to meet our goals
The foundation: an annually reviewed questionnaire

✓ 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.
**The Quick Audit Tool (QAT)**

What we practically propose to meet our goals

The foundation: Annually reviewed questionnaire

The resulting standard for basic assessment / positioning: the grids

For each question you answered:

- **Yes**
- **No**
- **In part**
- **N.R.**

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

<table>
<thead>
<tr>
<th>First column</th>
<th>Number of the question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Column “yes”</td>
<td>% of participating institutions which responded “yes”</td>
</tr>
<tr>
<td>Column “no”</td>
<td>% of participating institutions which responded “no”</td>
</tr>
<tr>
<td>Column “in part”</td>
<td>% of participating institutions which responded “in part”</td>
</tr>
<tr>
<td>Column “N.R.”</td>
<td>% of participating institutions which responded “not relevant”</td>
</tr>
</tbody>
</table>

Annual review’s importance

- 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
What we practically propose to meet our goals

The Guidelines

Based on the results to the questionnaire

### 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.

<table>
<thead>
<tr>
<th>Governance &amp; Policy</th>
<th>_yes</th>
<th>no</th>
<th>in part</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>90,91%</td>
<td>0,99%</td>
<td>88.40%</td>
</tr>
<tr>
<td>2</td>
<td>9,09%</td>
<td>99,01%</td>
<td>11,60%</td>
</tr>
<tr>
<td>3</td>
<td>36,36%</td>
<td>45,45%</td>
<td>18,18%</td>
</tr>
<tr>
<td>4</td>
<td>90,91%</td>
<td>0,99%</td>
<td>88.40%</td>
</tr>
<tr>
<td>5</td>
<td>9,09%</td>
<td>99,01%</td>
<td>11,60%</td>
</tr>
<tr>
<td>6</td>
<td>36,36%</td>
<td>45,45%</td>
<td>18,18%</td>
</tr>
<tr>
<td>7</td>
<td>90,91%</td>
<td>0,99%</td>
<td>88.40%</td>
</tr>
<tr>
<td>8</td>
<td>9,09%</td>
<td>99,01%</td>
<td>11,60%</td>
</tr>
<tr>
<td>9</td>
<td>36,36%</td>
<td>45,45%</td>
<td>18,18%</td>
</tr>
<tr>
<td>10</td>
<td>90,91%</td>
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<td>88.40%</td>
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<tr>
<td>11</td>
<td>9,09%</td>
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<tr>
<td>12</td>
<td>36,36%</td>
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<tr>
<td>13</td>
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<tr>
<td>14</td>
<td>9,09%</td>
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</tr>
<tr>
<td>15</td>
<td>36,36%</td>
<td>45,45%</td>
<td>18,18%</td>
</tr>
</tbody>
</table>

- 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”
What we practically propose to meet our goals

The Guidelines
Based on complementary relevant elements

- 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

- 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

Overall Context

State of mind

- 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.

Human factor

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 evaluation, intervention of rescue, clearing, spotting of anomalies in the collection
### What we practically propose to meet our goals

**The supporting tools**

<table>
<thead>
<tr>
<th>Aim?</th>
<th>Bringing you more concrete support with practical things that can be rapidly put in practice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why?</td>
<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>
</tr>
<tr>
<td>What?</td>
<td>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.</td>
</tr>
<tr>
<td>How?</td>
<td>Through a presentation allowing an operating mode as simple as “one glance one click”</td>
</tr>
<tr>
<td>Who?</td>
<td>Based on a dynamic collaboration</td>
</tr>
</tbody>
</table>

Inputs → Security Network
Processing/outputs → Security Working Group

More details on Friday afternoon

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### Questions / answers

**The Quick Audit Tool**

| Thank you for your attention |

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