

19th June 2003

Dear Sir/Madam

I am writing to you on behalf of the CAVAL Risk Management Group (CRMG). The CRMG comprises representatives of each Victorian university library and the State Library of Victoria.

Following a recent survey of course coordinators in the TAFE sector and as a result of enquiries received through/by CAVAL, we have developed a package that could be used by library studies students. We are enclosing one of these packages and would appreciate receiving feedback on the usefulness of them for subjects/courses offered at your institution, please return the enclosed feedback form.

The student package comprises seven elements which cover the need for disaster response plans and handling disasters.

- Risk Audit
- Disaster Response
- Disaster Bins
- Digital Preservation
- Bibliography
- Training Courses
- Feedback form

Permission is given to copy and use this material provided acknowledgement is made as to the source. We anticipate making this material available through the CAVAL website in due course.

Finally, for courses conducted in Victoria, it may be possible to provide a guest speaker should this be of interest.

Yours sincerely

Rosemary Cotter
Chair, CAVAL Risk Management Group



RISK AUDIT

A risk audit involves conducting a survey of the area including the collections and the building itself. There should be ongoing and regular checks to ensure that all potential risks continue to be minimised. These surveys have close associations with environmental and/or occupational health and safety (OH&S) requirements as well as emergency procedures.

Inspections may include a survey of the following:

Location of site	Is the geographic area subject to fire/smoke/earthquakes/volcanism/pollution?
Site itself	Is the site subject to floods/pests/proximity to arterial roads (crashes with toxic materials)/industrial sites?
Building and plant	Walk through inspections should examine: stairs, lifts, ramp access, roof, walls, windows, basement, pipes and plumbing, water systems, ventilation, air conditioning, doors (self closing, fire compartments, security, heat and smoke)
Room	Security, lighting, windows facing the outside (preservation issue), ventilation, doors
Storage systems	Shelving, cabinets used, compactus
Handling	Shelving, trolleys, usage, cotton gloves, manual handling procedures, OH&S (anti-tilt device for cabinets if more than 1 drawer at a time open)
Procedures	Maintenance, policies, insurance, disaster response plan, OH&S including emergency evacuation plans.

Frequently the weak point of a risk audit uncovers lack of /an inadequate disaster response plan. Such a plan should be revised and updated regularly throughout the year.

Depending on the size of the organisation it could be useful to set up a committee of site representatives from all departments/units. Each area would then assume responsibility for maintaining their area or have a watching brief on a specific aspect. Having other representatives from the committee then doing,

say annual, check of department they are not involved in is a good way to carry out an independent check.

Reporting risks and recommended action to the executive level of management is critical. If this is not done, no changes may be made; this could potentially endanger the safety of staff and building occupants. Where action is taken this should be documented, signed and dated on the report and this information fed back to the relevant person/committee. Some institutions may also have incident report forms that must be completed and forwarded to the appropriate department in the institution.

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This information sheet has been produced for tertiary students by the CAVAL Risk Management Group.

Date produced: 8 May 2003.

For further information:

Contact: The CAVAL Risk management Group – caval@caval.edu.au

Website: www.caval.edu.au/wpr/rmg/



DISASTER RESPONSE PLAN

A Disaster Response Plan is a resource which gives all the contacts and information you may need (including which items or collections to work on first) to enable you to return your library, gallery or other cultural institution to full service as quickly and efficiently as possible after a fire, flood or any other situation which affects its operation

A '**Disaster**' is taken to be an occurrence significantly affecting the physical condition of the library (or other institution) and its collections.

Disasters don't have to be major to be called a disaster. A disaster can be anything that affects the safety of collection items.

Disasters may be classified as:

Class 1: although affected the operation it is still able to open for business,

Class 2: it is necessary for the operation to close its doors while the situation is rectified.

A Disaster Response Plan will assist with either class of disaster. It is essential to get the support of senior management before establishing a plan, ongoing funds may be necessary for purchase of disaster recovery bins and their upkeep and for training of relevant staff.

To develop a plan you will need some if not all of the following elements:

The Disaster Recovery Team comprises a controller and other members with defined responsibilities, for example - the disaster recovery controller - this is the person who will plan and coordinate the recovery and preferably has had disaster response training. Other Team members include someone to be the media liaison person, institution liaison person, someone to record what goes on, someone to ensure that adequate attention is paid to occupational health and safety issues, staff to pack and record details of the items, and someone to make phone calls.

Make sure these people know they are on the Disaster Recovery Team and when an emergency evacuation happens where they should meet to plan their response and be ready to go back into the building as soon as the official all clear has been given. (this links the plan to other institutional plans, for example the Emergency Evacuation Plan). Incorporate Disaster Recovery into other institutional plans wherever possible.

List of persons with responsibility for the area – for example, Dean, Head of College, Building Emergency Controller (BEC), Librarian.

List of persons with subject knowledge – librarian, collection management person, academic staff.

Contacts – e.g. insurance, conservator or special needs contact e.g. that wonderful plumber you always use and who knows the building.

Location of key items – wet/dry vacuum cleaner (this should only be used according to the manufacturers specifications) disaster bin and its key, dehumidifier, tarp etc.

Map of the area with key items and locations marked e.g. loading bays and disaster response bins, (see separate sheet for contents list of the disaster recovery bins).

Signs and templates of forms . e.g. forms for recording new location of damaged items. Signs, e.g. A sign to isolate the recovery area - Authorised personnel only.

Disaster Recovery Controller's handbook. To include roles and responsibilities of staff and treatment options for material with differing formats.

Venues List – A list of venues to use to establish a control centre or an area to use to work on a large volume of damaged items or a venue from which to re-establish service. Who to contact (including an after hours contact) to make a venue booking.

Collection Priorities. Which items or collections should be salvaged before others. Categories can be useful, for example:

Category A - Items that are rare and valuable, items that are necessary for your service to continue, e.g. reserve collections.

Category B – Items that can be reordered.

Disaster Response bin – list of contents (see separate sheet for an example of the type of equipment placed in a disaster response bin) and location of keys if used.

Supply List – Which provides details of where you can purchase necessary items and locate service providers. Note that some firms offer a complete recovery service whilst others offer such services as freeze drying items. Check if your institution has a preferred provider and include after hours or mobile telephone numbers where possible.

Training – A list of institutions in your area or state that offer training. In Victoria it is CAVAL –www.caval.edu.au

Disaster prevention .: e.g. Building maintenance plans and Incidents reports– reports of all incidents, e.g. water leaks, fires etc. so that you can track any trends and deal with them appropriately.

Access to your plan – Web (not recommended – security and privacy of phone numbers and collection priorities), Intranet, edrive. It is advisable that all

controllers have two hard copies of at least the contacts lists (e.g. one in office and one in car or at home) It is also advisable to list your Disaster Recovery Controller on your frequently used phone list or in your internal phone directory.

DISASTER RESPONSE PLAN TEMPLATE

The following information is included in a Disaster Response Plan

Disaster Response Team

Persons with responsibility for the area

List of persons with subject responsibility

Contacts – institutional

Location of key items

Map or floor plans

Signs and templates

Disaster Response Controllers Handbook

Venues

Collection priorities

Disaster Recovery bin(s) location and location of keys

Supply list

Training providers

Disaster Prevention strategy

Access to plan

Disaster Recovery Store –contents - for larger institutions.

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DISASTER BINS

Disaster bins contain all of the items required to begin immediate response in the event of a disaster. They are not intended as the principal resource for large-scale disasters but rather as a 'first aid kit' to use until help arrives.

As a guide, libraries with a collection of over 50,000 volumes should consider one bin for every 50,000. For collections located over several floors there should be a disaster bin on each floor.

Quantity	Description	Quantity	Description
1	Bag of Rags	2	Twist Mops
50	Baggage labels (Tyvek)	500	Newsprint (Sheets)
1	Caution Tape (roll)	2	Overalls, disposable
20	Bin liners (74 litre)	2	Paint brushes
1	Bucket with lid	4	Paper towels (rolls)
2	Buckets (10 litre)	5	Pens, waterproof
1	Camera (Disposable with flash)	1	Polythene sheeting (roll)
1	Chalk, coloured (box)	1	Safety pins (box)
2	Clipboards	2	Scissors
10	Face masks	3	Sponges, large
1	First aid kit	2	Tape, masking (rolls)
500	Freezer bags	1	Tape, gaffa (roll)
4	Gloves, cotton (pairs)	2	Torches with batteries
25	Gloves, latex (pairs)		
2	Gloves, leather (pairs)		
2	Goggles, plastic safety	2	Whistles
3	Greaseproof "go-between" (rolls)	2	Writing pads

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DIGITAL PRESERVATION

Digital publications are items published in both physical form; (floppy disk, CD-ROM, and videos) and items not in physical form, (for example electronic papers and electronic books, emails and databases).

Machine-dependent nature of digital publications requires particular preservation strategies to ensure that they remain accessible.

Media instability and changes in technology are the two main threats to the continued accessibility of digital publications.

The system requirements of this material, including digital media accompanying printed publications, needs to be recorded in a way that allows efficient searching and retrieval of this information.

Storage and environmental conditions can have a significant impact on the life of digital media. It is important that the material is stored where possible in individual boxes, dust free and that the temperature is stable and humidity relative (as a guide – temperature should be below 20 degrees C , relative humidity 40 per cent). Keep tapes and diskettes away from magnetic fields and other electrical equipment where possible.

Sharp marking instruments should not be used. Where possible labels and security tags should only be applied to the boxes. Observe manufacturers' recommendations.

Theft is a problem with physical format digital items, CD-ROM and videos, and all precautions should be taken to ensure they are traceable.

The most up to date antivirus programs should be employed.

Back up copies should be kept wherever possible and preferably at a separate location (and in another building for major databases such as the library catalogue).

Copyright. The latest copyright laws should be observed (<http://www.agps.gov.au/circ>)

Long term options include:

- Refreshing,

- Transfer to a more stable carrier,

- Emulation – this may provide access to programs across different platforms.

- Migration, for example, from one hardware/software configuration to another or from one generation of computer technology to a subsequent generation.

The National Library of Australia: <http://www.nla.gov.au/> have several publications on digital preservation. Contact the Director, Preservation Services Email digitalpres@nla.gov.au / Phone (02) 62621278.

Or contact your local State Library Preservation Department.

Reference

First Steps in Preserving Digital Publications by the National Library of Australia. (Pamphlet)

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TRAINING COURSES

Preparing a Disaster Response Plan

- Can you lay hands on all the contact details you may need if your organisation experiences a disaster?
- Do you know the name of your insurer?
- Have you decided which items should be saved at all costs?

This workshop is not about planning disasters, but about preparing in case a disaster occurs. Participants will be led through all aspects of Disaster Response Plan development, including format, structure and content.

Duration: ½ day

Disaster Response Issues for Senior Management

What's at risk? – assets? services?
Understanding threats and consequences
Disaster prevention and preparedness
Effective recovery techniques

Designed to raise management awareness of what is involved in disaster preparedness and response. Aimed at senior management the issues covered will be relevant whether or not the institution has a current disaster plan.

Duration: ½ day

Disaster Preparedness: Are you still ready?

A workshop to revise response procedures and review disaster plans

Participants will leave with clear ideas on what is necessary to have up to date plans, procedures and training and a prioritized action plan to achieve this.

Topics covered include:

- Simulated disaster and walkthrough response, salvage and recovery
- Review of plans against a model plan
- Raising awareness and competency
- Action planning for each participant

Duration: 1 day

Disaster Preparedness: Be ready to manage disaster response.

The workshop features a simulated library or archive disaster.

Participants will go into a disaster site, retrieve wet and burned books, electronic equipment and computer software etc., decide what action should be taken, set up an air drying process, learn how to compile a disaster response manual and how to manage disaster recovery effectively.

The workshop is relevant to staff from all cultural collecting institutions, including museums and galleries, as well as libraries and archives.

Duration: 2 days

Risk Management

An examination of risk analysis, mitigation and the application of the Australian/New Zealand standard and other tools, particularly in relation to libraries and other organisations whose services depend in part on collections.

Participants will leave with an understanding of how to look at risks to their operations more objectively and take reasonable action to minimise them. They will also leave with an action plan so that what has been learnt can start to be put into practice.

Enrolment includes training materials, lunch and morning and afternoon teas.

The course is suitable for managers in libraries, archives, museums and other similar bodies and risk managers in their parent bodies.

Duration: 1 day

Disaster Preparedness: Salvage Techniques.

A hands on workshop to learn and practice salvaging collection materials, particularly wet ones in the aftermath of a disaster. The workshop will be very experiential in approach to give participants a memorable experience of how vulnerable or forgiving materials can be and thus how to prioritise salvage work when resources are scarce. Broad theory will also be treated to give a basic understanding of the nature of collection materials and of the principles of cleaning and drying.

Participants will leave with experience in salvaging the range of collection materials and the likely results, and an awareness of how much leeway there is when decisions must be made on what to salvage and when.

Enrolment includes training materials, lunch and morning and afternoon teas.

Duration: 1 day

Preserving Digital Information: Challenges and Solutions

Because digital information is being produced so much more rapidly than other forms, libraries and archives of the future will inevitably be libraries and archives

of digital content. Just to keep pace with the flood of new digital information, the library and archive of the near future will require the means to collect, describe, make available, store and preserve digital information in the digital domain. Primarily due to their dependence on a rapidly changing technological infrastructure, digital resources are significantly less permanent than their paper-based equivalents. Their enduring accessibility into the future is far from assured. The challenge is too large and complex for any one institution or country to solve on its own, although excellent cooperative work is taking place on this issue around the world - particularly in Australia. However, if we fail to meet this challenge then there will be a permanent hole in our cultural and documentary heritage.

This course will provide:

- Raised awareness about the preservation of digital information
- Clarification of the issues that cause digital resources to be inherently impermanent
- A roadmap to the emerging solutions in libraries and archives
- Discussion of practical recommendations to avoid the 'technological quicksand'
- Information and tools to keep in touch on this issue.

This course is designed for librarians, archivists, curators and records managers with responsibility for digital collections and ICT professionals seeking an awareness of digital preservation issues

Duration: 1 day

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www.caval.edu.au/wpr/rmg/ and www.caval.edu.au/pdt/courses/riskman/

CAVAL RISK MANAGEMENT GROUP
STUDENT PACKAGE

FEEDBACK FORM

Name _____

Position _____

Institution _____

Email _____ Telephone _____

Please rate the usefulness of the Student Package by circling the appropriate rating below -

	1 Not Very Useful	2 Useful	3 Extremely Useful
Information Sheet			
Disaster Plan	1	2	3
Risk Audit	1	2	3
Training	1	2	3
Disaster Bins	1	2	3
Digital Preservation	1	2	3
Bibliography	1	2	3
Entire package	1	2	3

If you rated any of the components at 1 – *Not Very Useful* --- can you suggest ways in which we could make this/these component/s more useful? (Please add a separate page if necessary)

What would you like to see included in the packages that isn't already included?

Would you like to make any suggestions that would improve the way in which the packages are presented?

THANK YOU FOR PROVIDING THIS FEEDBACK

PLEASE RETURN THE COMPLETED FORM TO :
CAVAL Collaborative Solutions, 4 Park Drive, Bundoora, VIC 3083
Australia (caval@caval.edu.au) or fax to (03) 9459 2733.



SELECTED RESOURCES: Disaster Management

WEBSITES/DISCUSSION LISTS

www.nla.gov.au/policy/disaster.html

Large number of pages broken down into manageable chunks.

1. Disaster preparedness and Prevention Policy
2. Disaster Actions

Note: the National Library of Australia also produces a pamphlet entitled "First Steps in Preserving Digital Publications".

<http://www.drj.com/special/wtc/>

Disaster Recovery Journal – topical articles/links

This site also has a link to a glossary of terms.

The following page, <http://www.drj.com/new2dr/samples.htm> gives sample Disaster Recovery plans and outlines.

<http://www.ala.org/acrl/resnov02.html>

ACRL: Crisis, disaster, and emergency management - Web sites for researchers

<http://amol.org.au/craft/publications/hcc/beprepared/Beprep.pdf>

Australian Museum Online

'Be Prepared' - Guidelines for small museums for writing a disaster plan

<http://www.lib.washington.edu/Engineering/photos.html>

Pictures of earthquake damage to University of Washington Engineering Library

Check also the web site at your local State Library for contacts dealing with conservation and preservation.

JOURNAL ARTICLES AND BOOKS

Kahn, Miriam B. Disaster response and planning for libraries, 2nd ed. Chicago : American Library Association, 2003.

Disaster in libraries: prevention and control. J. Baillie, J. Doig and C. Jilovsky, 2nd edition, CAVAL, Melbourne, 1994.

Library Life (Library and Information Association of New Zealand Aotearoa) Issue 257, 13-24, June 2001. Special section on disaster preparedness.

Baillie, Jeavons. The place of disaster preparedness in library risk management. *Library Life* (LIANZA), September, 2002.

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