Australian National University

Scholarly Information Services (SIS)

Business Continuity Plan

Version 0.1 July 2024

This document should be reviewed and reissued within 12 months from the date of signing

If there is an emergency anywhere within the University, follow the Emergency Response Procedure on the Policy Library

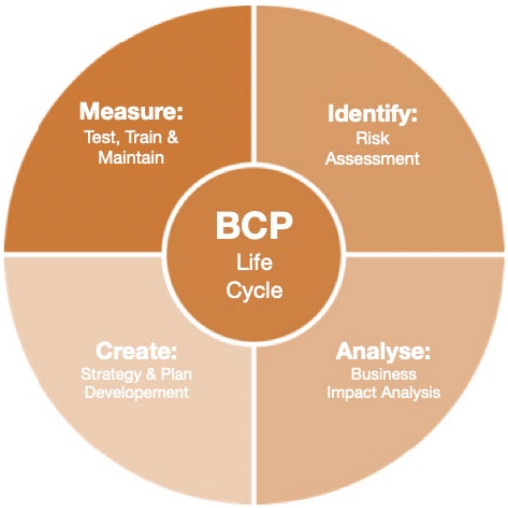
The actions described in this Business Continuity Plan must only be implemented with the approval of the University Librarian or in their absence the Associate Director, Libraries.

Authorised by NAME _Roxanne Missingham_ Signature Roxanne Missingham **Date** 26 November 2024

Monitored by NAME _Tom Foley_ Signature _____ Date _03 December 2024_____

Business Continuity Plan Contents

Business Continuity Plan Overview



Purpose and Objectives

The purpose of this Business Continuity Plan (BCP) is to provide the Scholarly Information Services (SIS) Business Continuity Team with guidance and information to enable the continuity of critical functions within an acceptable timeframe after a major disruptive event.

The BCP reflects the priorities that Scholarly Information Services (SIS) has assigned to the critical functions, resources and facilities in the event of a major disruptive event.

The key objectives of this BCP are:

1. To ensure the safety and welfare of personnel (students, staff, contractors, and visitors) during major disruptive events affecting the University.
2. To ensure that critical functions are continued or resumed on a timely and prioritised basis.
3. To minimise the impact of any disruptive event.
4. To meet the expectations of key stakeholders, the public and regulators.

Scope

The BCP identifies:

- Personnel responsible for leading the Scholarly Information Services (SIS) business continuity response.
- Procedures and timeframes for the resumption and continuity of critical functions.
- Details of resources and locations to support the continuity of critical functions.

This content of this BCP reflects an 'all-hazards' approach.

A worst-case disruption scenario has been identified (Section 2.3) and the Business Continuity Strategy for Scholarly Information Services (SIS) (Appendix B.1) is based on this scenario.

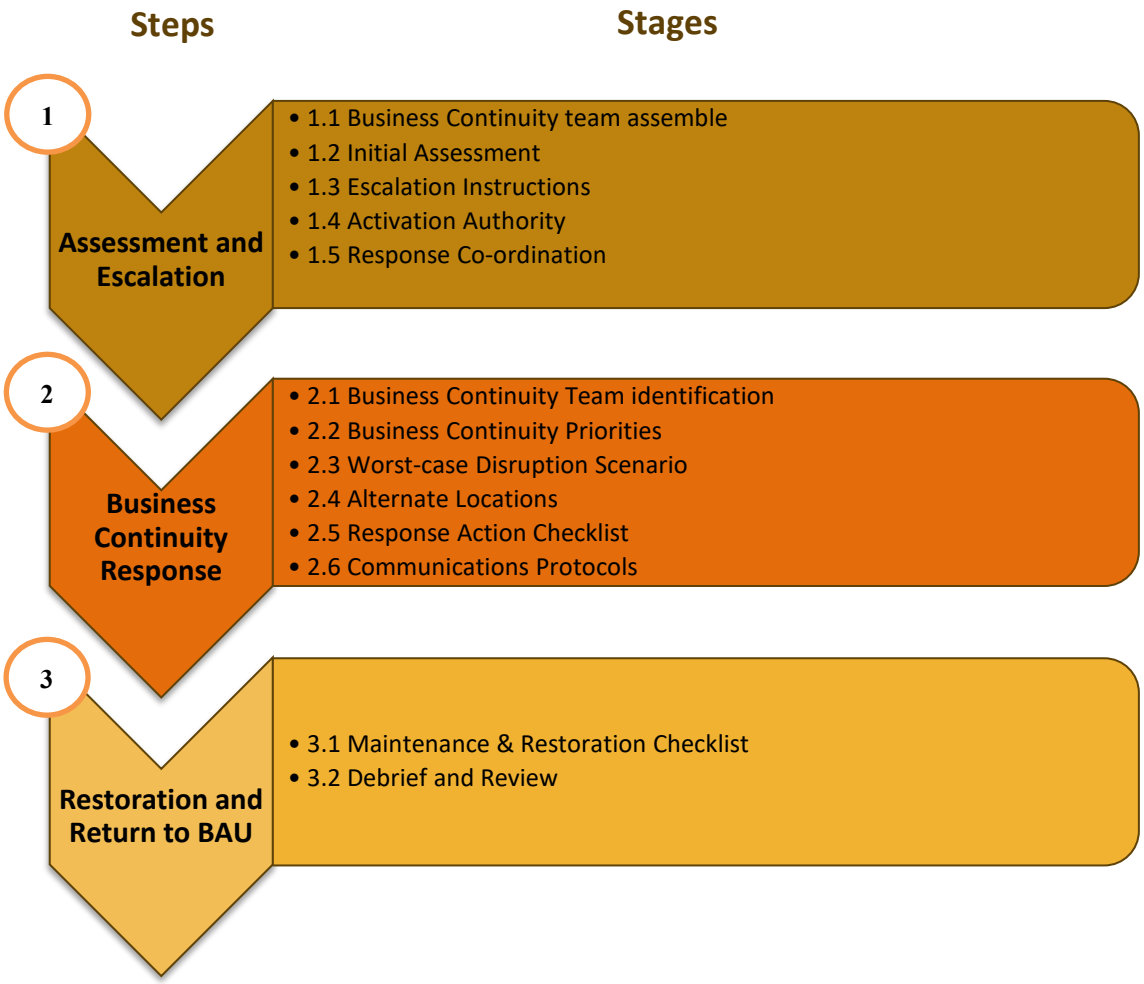
Note: Other response strategies required for other specific disruption scenarios (if relevant) are provided in the Appendices.

Assumptions

The development and use of this BCP has been based on the following underlying assumptions:

- ✓ Actual or potential loss of access to the Scholarly Information Services (SIS) operating environment and resources for a period of **more than 24 Hours**.
- ✓ That activities which are designated to operate from home can continue to do so until the disruption is resolved (e.g. return to the original place of work) or an alternative long-term continuity location is implemented.
- ✓ That the central ANU emergency response support / crisis management functions are available.
- ✓ That remote access to ANU and other IT applications and data is unaffected.

Business Continuity Plan Process



STEP 1 - NOTIFICATION AND ESCALATION

1.1 BC Teams Meeting Locations

In the event of an emergency, staff and students may need to evacuate and if so, must follow the directions of Fire Wardens.

If safe to do so, **following a disruption,** the College Business Continuity (BC) Team should assemble in the following location to assess the situation and determine response options.

BC Team Meeting Locations	
Primary Location	Graneek room, Chifley library
Secondary Location	Largest library not affected by disruption
VC/Teleconference	Teams or Zoom – a Teams group could be setup in advance for the Scholarly Information Services (SIS) BCP Team.

1.2 Initial Assessment

- The BC Team should conduct an initial assessment of the disruptive incident and its impact on Scholarly Information Services (SIS) staff, students, operations, and resources as soon as possible.
- The table below provides a checklist to assess the impact of a disruptive incident. The results of this assessment should be recorded and used as the basis of any management reports/ updates.
- The BC status & log sheet templates in **Appendix C** can be used to complete the initial assessment.

Impact Assessment Checklist	✓
1. Location and status/welfare of students, staff, contractors, or other ANU stakeholders on site at the time of the incident.	
2. Do you know / can you determine the nature and cause of the disruptive event and the location where it occurred?	
3. Apparent impact on Scholarly Information Services (SIS) facilities. Consider damage to or loss of: a. Workspace – consider research, teaching or other work areas. b. Information – consider records or data stored on-site. c. Physical assets and facilities – consider PCs or research equipment.	
4. What current or pending activities have been disrupted by the incident? (*consider the time of the disruptive event and any imminent events or deadlines*)	
5. Who should be informed about the disruptive event that may not already be aware? (Consider staff or students who are not on campus today or contractors who may be likely to visit the campus who may not currently be aware).	

Following completion of the impact assessment checklist, the BC Team Leader (or alternative) should evaluate if the disruption represents a business continuity event.

An actual or potential BCP incident is likely to have **one or more** of the following characteristics:
1. Threat to **welfare or safety** of students, staff, contractors, or other ANU stakeholders.
2. Disruption to **critical functions** for **more than 24 hours**.
3. A significant, material impact on Scholarly Information Services (SIS) **buildings**, **facilities, or equipment.**

1.3 Escalation Instructions

In the event of a disruption or a potential **business continuity event**, the following escalation and notification procedure should be followed as soon as possible:

Level 1 – Local Incident

Incident can be managed using local resources within local area and/or ANU security

- ANU Security advised and manages incident (if safety or security of local area affected).
- No phone call to Incident Coordinator.
- Does not require the activation of the CIMT.
- BCP not activated as no impact to priority process, equipment or infrastructure.

Level 2 – Local Incident (with BCP activation)

Incident requires some monitoring or corrective action

- ANU Security advised, manages incident (if safety or security of local area affected) and notifies Duty Officer.
- No phone call to Incident Coordinator.
- Does not require the activation of the CIMT.
- BCP activated to restore operations.

Level 3 – Critical Incident (with CIMT activation)

'Watch and Act' where critical incident may become more widespread

- ANU Security advised, manages incident and notifies Duty Officer.
- Management coordination to address wider implications.
- Duty Officer must make a phone call to the Incident Coordinator.
- University CIMT activated.
- BCP or alernative emergency/incident respose likely to be initiated.

Level 4 – Critical Incident (with CIMT activation)

Situations which threaten the University's operations, reputation and viability

- ANU Security advised, manages incident and notifies Duty Officer.
- Duty Officer immediately escalates via phone call to the Incident Coordinator.
- University CIMT activated.
- BCP or alernative emergency/incident respose likely to be initiated.

** As severity of a disruptive event may escalate, timely notification will allow earliest response and close monitoring. If in doubt, the best approach is to escalate, rather than wait to see what happens. **See Appendix A for Key Stakeholder Contact Details.**

1.4 Activation Authority

Level 1 or level 2 incident (local level) - the **Executive of the local area** (College Dean, Service Division Director) **has the authority to approve activation of the area BCP**.

Each incident will be unique, however the Initial Impact Assessment reported by the BC Team using the Impact Assessment Criteria above will help inform the criticality of the disruption and response co-ordination.

Level 3 or level 4 incident (known to have a widespread impact on the University) - The **Chief Operating Officer will decide on an appropriate response.**

This may involve activation of either:

- The Critical Incident Management Team (CIMT);
- A Subject Matter Expert (SME) to address the disruption (e.g CIO if it is an IT related disruption, CISO for a cyber breach incident etc); and/or
- The Senior Management Group.

1.5 Response Co-ordination

Level 1 or level 2 incident - If BCP activation is approved (partially or fully), the BC Team Leader (or alternate) must notify all other BC Team members that the BCP has been activated and prepare to implement the response plans.

Level 3 or level 4 incident - The Group activated by the COO will nominate a **local or central Incident Co-ordination Point**, to liaise with the impacted College / Portfolio Group BC Team. The person designated as the Incident Co-ordination Point will:

- Provide confirmation to BC Teams whether to activate their respective BCPs.
- Provide confirmation to occupy alternate workspace / facilities not controlled by the College / Portfolio Group.
- Address requests for assistance or access to urgent resources.
- Resolve conflicts / issues about resource allocation or constraints.
- Request periodic status updates (frequency to be determined at the time of the incident), until the disruptive incident is resolved.
- Confirm the decision to stand-down a College / Portfolio Group BC Team and declare an incident as resolved to ensure that interdependent activities are co-ordinated across the University.

STEP 2 - Business Continuity Response

The BC Team should follow the guidelines below if the decision to activate the BCP is approved.

If activation is not approved, the Team should work with the Incident Co-ordination Point to implement other response / BaU procedures to address the situation.

2.1 Business Continuity Team Members

The members of the **Business Continuity Team are:**

BC Team Role	Primary Member	Alternate Member
BC Team Leader	University Librarian	Associate Director, Libraries
BC Team Member 1	University Archivist	Senior Archivist
BC Team Member 2	Associate Director, Library Services	Senior Manager, Collection Access and Discovery
BC Team Member 3	Senior Manager, Client Services	Information Services and Spaces Coordinator
BC Team Member 4	SIS Facilities and Services team leader	
BC Team Member 5		
BC Team Member 6		

2.2 Business Continuity Priorities

- The table below provides a summary of the **Critical Functions** based on the defined **Maximum Acceptable Outage** (MAO) time periods.
- For detailed response strategy, IT Systems and resource requirement refer to the links below:

  Business Continuity Response Strategy – refer to Appendix B.1

  IT System Continuity Requirements – refer to Appendix B.2

  Other Continuity Resource Requirements – refer to Appendix B.3

#	SIS Critical Functions*	MAO**	Ability to Work From Home	WFH Resources Required *(if any)*
1	**Provide access to ANU physical and digitised collections - library and archives**	24 hours	No	Digital collections can be accessed remotely. Hardcopy collections cannot.
2	**Provide physical Library Access for Students and Staff**	24 hours	No	
3	**Manage access to cross-institution Collections to support research and teaching**	24 hours	No	
4	**Provide Compliance Services - ERMS, Records, FOI, Privacy & Copyright**	24 hours	Yes	
5	**Provide Library & Scholarly Information Services - ANU Press, Digital Scholarship, CartoGIS, Academic Integrity**	48 hours	Yes	Some tasks require physical resources
6	**Library Operations - Finances, Administration**	48 hours	Yes	
7	**Provide Research, Teaching and Learning and Reference Services**	48 hours	Yes	Some tasks require physical resources

* **Critical Function** – a function for which the College or Portfolio Group is responsible, which if it were interrupted for a period of up to 1 week would cause an impact rated as Modest or higher in the ANU Risk Assessment Matrix.

** **Maximum Acceptable Outage** - the time it would take for adverse impacts, as a result of not providing a product/service or performing an activity, to become unacceptable.

2.3 Worst-case Disruption Scenario

The Worst-case scenario as identified by Scholarly Information Services (SIS) is:

Loss of IT/Data/Comms
The following scenarios are also significant for SIS: ***Loss of Access to Physical Library and Archives Services.***

2.4 Alternate Locations

Work from Home (WFH) will be the first continuity response option for Scholarly Information Services (SIS) activities where this is a feasible working option. It is expected that these activities will operate from home until the disruption is resolved (e.g. return to the original place of work), an alternative long-term continuity location is implemented, or as advised otherwise by ANU management.

The BC Team members will be notified by the Team Leader if an alternate site is to be activated. There are no formal agreements in place for alternate sites, however during an incident 'best efforts' will be made to relocate staff or students to an alternate site.

2.5 Response Action Checklist

The checklist below outlines the business continuity response actions to be implemented by the BC Team. The Team Leader (or alternate) is responsible for all actions unless otherwise noted.

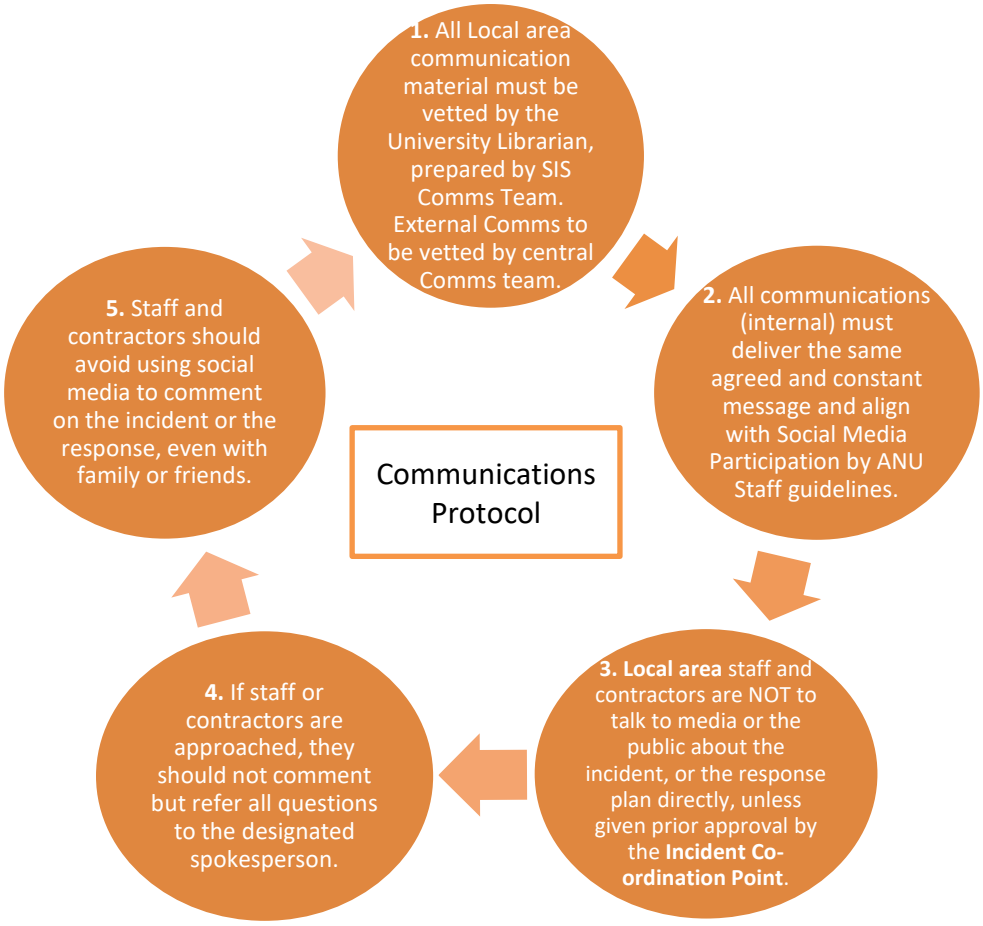
Period	Response Actions	✓
1-24 Hrs	**Reconfirm Incident Status** 1. Convene Business Continuity Team and establish the Team's operations at the designated Meeting Location - refer to Section 1.1	
	2. Reconfirm and monitor the safety and welfare of students, staff, contractors, and any other ANU stakeholders impacted by the incident.	
	3. Review the initial impact assessment of Scholarly Information Services (SIS) operations and facilities and update as required. refer to Section 1.2	
	Confirm BC Strategy & Implement Response Actions – refer to Section 2.2 and Appendix B.1 for further information. 4. Ensure the Team reviews the business continuity process priorities and timeframes before they develop and confirm the BC strategy and allocate detailed response actions.	
	5. Notify relevant Scholarly Information Services (SIS) staff and contractors of the agreed business continuity strategy / response actions to implement and any alternate locations that are available for use. 6. If alternate locations are to be used, advise relevant staff of the timing and arrangements to relocate to these locations, access and security arrangements on site and allocation of workspace and facilities on arrival - refer to Section 2.4 for further information. 7. Reinforce the use of the WFH strategy by staff where it is feasible, to minimise demands on on-campus resources.	

Period	Response Actions	✓
1-24 Hrs	8. Advise staff and contractors to postpone non-critical functions that cannot be conducted from home with available resources.	
	Communications – refer to Section 2.6 for further information. 9. Ensure Scholarly Information Services (SIS) staff and contractors staff provide their current contact details and are aware of the arrangements for regular status updates. 10. Ensure any communications to internal and external parties are in line with message content and protocols, as confirmed by the **local or central Incident Co-ordination Point**. 11. Provide periodic status updates on recovery progress to all staff. (i.e. at the alternate sites or working from home). Ensure critical Scholarly Information Services (SIS) stakeholders are included in status updates.	
Post 24 Hrs	**Situation Update** 12. Review and update the location and status of all students, staff & contractors. 13. Continue to monitor welfare and morale (e.g. need for counselling) of BC Team members and staff at home. 14. Review and monitor progress with the planned continuity strategy. 15. Consider and confirm: • Critical process priorities and strategies – refer to Section 2.2 and Appendix B.1 • Technology requirements – refer to Appendix B.2 • Other Continuity Resource requirements - refer to Appendix B.3. 16. Provide progress updates to **local or central Incident Co-ordination Point,** as per agreed schedule. 17. Record keeping tool/template – refer to Appendix C.	
	Implement Response Actions 18. Liaise with local or central **Incident Co-ordination Point** to confirm access to further alternate sites if they become available. 19. Prepare a roster (if shift working is to be used). 20. Remind staff of any changed operating requirements / procedures to be implemented whilst working at the alternate sites or WFH. 21. Confirm arrangements for redirection of mail.	
	22. Monitor activity at alternate sites (including WFH) to ensure teams are able to re-establish critical functions within agreed timeframes.	
	23. Periodically review and reconfirm all BC team roles and responsibilities (including alternates and support teams) to ensure understanding of business continuity procedures. 24. Agree ongoing team meeting times and locations to monitor recovery progress.	
Post 24 Hrs	25. Maintain contact with staff at home or alternate sites to provide regular updates on business continuity status. 26. Confirm ongoing communication strategy to be used with the staff and advise BC Team members – refer to Section 2.6 for further information.	

Period	Response Actions	✓
	27. Maintain regular contact with staff advising them of overall recovery progress and their involvement in business continuity activities. 28. Maintaining records of the status of the business continuity response in order to provide periodic reports to the **local or central Incident Co-ordination Point**.	

2.6 Communications Protocols

The following communication procedures must be shared and regularly reinforced by the BC Team Leader during a business continuity event.



The BCP Team Leader (or alternate) must provide the **local or central Incident Co-ordination Point** (or other relevant member of the CIMT) with periodic status updates (frequency to be determined at the time of the incident), until the disruptive incident is resolved.

For a Level 1 or Level 2 Incident, a nominated BCP Team member (Director SIS-University Librarian) and SIS Comms Team should coordinate with BCP team members to send appropriate comms to affected staff and students.

For a Level 3 or Level 4 Incident, a nominated BCP Team member (Director SIS-University Librarian) will vet SIS Comms Team communications and consult with ACE to ensure messaging is consistent.

Initial messaging to staff and/or students should identify a clear point of contact for all enquiries and information. This could be a member of the BCP team for staff enquiries, and an alternative member of the BCP team for student enquiries.

STEP 3 - Restoration and Return to BaU

This section sets out actions by the Scholarly Information Services (SIS) BC Team to maintain continuity operations at the alternate site (including BC Team members working at home) and plan for the progressive return of the business back at the primary location or an alternate permanent location.

3.1 Maintenance & Restoration Checklist

The checklist below outlines the ongoing continuity and restoration actions to be considered by the BC Team. All actions are directed at the Team Leader (or alternate) unless otherwise noted.

Recovery Actions	✓
Maintain Continuity Response 1. Maintain and expand critical business continuity functions if more space and resources become available. 2. Regularly review continuity strategy / response actions to confirm if they are still effective and appropriate. 3. Confirm planned business continuity objectives are being achieved. 4. Monitor workloads and productivity for the BC team at staff homes or alternate site(s) and adjust resources / rosters if required. 5. Verify if BC Team can increase workload commitments as facilities and operational capability improve.	
Welfare & Communication 6. Maintain regular communication with the BC Team and all affected staff. Continue to monitor welfare of students, staff and contractors as appropriate. 7. Consider ongoing resourcing of the BC Team, and the need for breaks, rest periods and replacement team members. 8. Seek feedback from students, staff and contractors. Consider impacts to external stakeholders and their concerns. 9. Provide periodic reporting to the **local or central Incident Co-ordination Point**.	
Plan for Restoration 10. Work with BC Team to plan arrangements, resource requirements and timing to return to normal functionality. 11. Consider WH&S requirements before any refurbished or new facility is occupied. 12. Liaise with the **local or central Incident Co-ordination Point** to confirm the timeframes and procedures to return to Business-As-Usual (BaU) strategy.	
Return to BaU 13. The **local or central Incident Co-ordination Point** will confirm the decision to stand-down the BC Team and declare an incident as resolved to ensure that interdependent restoration activities are co-ordinated across the University. 14. Implement restoration strategy and timetable to resume normal operations in the refurbished or new facility. 15. Initiate progressive close-down of operations at staff homes or alternate site(s). 16. Resume normal operations at the refurbished or new facility.	

3.2 Debrief and Review

For level 2 – level 4 incidents, where a BCP is likely to be activated, all members of the Business Continuity Team should participate in a formal debrief **within one week** of the incident being declared resolved.

The format for the debrief will be determined by the BCP leader (for a local incident) or the Incident Co-ordination Point (for widespread incidents), based on the number of staff and other participants involved in the response.

The Team Leader will confirm the objectives, format and content of any written post incident review which are likely to:

- Identify the causes of the business continuity event so they may be avoided again.
- Assess the effectiveness of the Business Continuity Team's response.
- Identify learning points from the event to be incorporated into the Business Continuity Plan and supporting procedures.

Provide a formal summary and assessment of the business continuity event to the Incident Co-ordination Point, and the Corporate Governance and Risk Office.

Appendix A: Contact Information

BCP Team Contacts

University Librarian

University Archivist - Back up Senior Archivist

Associate Director, Library Services - Back up Senior Manager Collection Access & Discovery

Senior Manager Client Services - Back Up Information Services and Spaces Coordinator

SIS F&S team leader

https://anulib.anu.edu.au/about/key-library-personnel

https://library-admin.anu.edu.au/intranet/useful-contacts-for-SIS-staff/index.html

Stakeholders

Chair and members of Library Advisory Committee

https://services.anu.edu.au/planning-governance/governance/library-advisory-committee

Deputy Vice-Chancellor (Research and Innovation)

Deputy Vice-Chancellor (Academic)

Appendix B. Business Continuity Reference Information

The following sections set out details of the Critical Functions, business continuity strategy, IT and other resources and external dependencies, as identified in the Scholarly Information Services (SIS) BIA completed in April 2022 and revised in June 2024. These details should be used to support implementation of the BCP.

B.1 Business Continuity Strategy Summary

The strategies documented below provide the focus of recovery efforts and resources for the College or Portfolio Group.

#	Function Name	MAO	Business Continuity Strategy Summary *(for those functions that cannot work from home)*
1	**Provide access to ANU physical and digitised collections - library and archives**	24 hours	**Loss of Key IT Systems** Manually locate physical collections within the Library. Implement a manual signout process. Wait until IT systems are restored. Consider workarounds if the IT outage is expected to continue past the stated IT. RTO. For archives and records - institute nominated staff to access collection for urgent retrieval; scanning if feasible Refer to the 'BCP – ILMS goes down but network is up' and 'BCP - Wifi goes down'. **Loss of Access to Physical Library Services** For digital collections - access online from alternate locations. For hardcopy collections - where library staff are able to access the Library but it is closed to other staff and students, institute a click and collect process. For loss of access caused by no electricity or water – refer to the 'BCP – no electricity' and 'BCP – no water'. For impacts on physical storage - implement 'ANU Archives disaster plan'.
2	**Provide physical Library Access for Students and Staff**	24 hours	**Loss of Key Personnel** Refer to BCP -Insufficient Staffing levels to open buildings. **Loss of Utility Supply** Refer 'BCP- No Water' and 'BCP - No Electricity'

#	Function Name	MAO	Business Continuity Strategy Summary *(for those functions that cannot work from home)*
3	**Manage access to cross-institution Collections to support research and teaching**	24 hours	**Loss of Key IT Systems** Manually locate physical collections within the Library. Implement a manual signout process. Wait until IT systems are restored. Consider workarounds if the IT outage is expected to continue past the stated IT RTO. Some needs may be met using National Bibliographic Database and Trove **Loss of Access to Physical Library Services** Relocate function to home or other ANU location
4	**Provide Compliance Services - ERMS, Records, FOI, Privacy & Copyright**	24 hours	**Loss of Key IT Systems** Wait until systems restored **Loss of Access to Physical Library Services** Relocate services to home or another location. Keep regulatory agencies informed.
5	**Provide Library & Scholarly Information Services - ANU Press, Digital Scholarship, CartoGIS, Academic Integrity**	48 hours	**Loss of Key IT Systems** Wait until IT systems are restored. Consider workarounds if the IT outage is expected to continue past the stated IT RTO. **Loss of Access to Physical Library Services** Relocate function to home or other ANU location
6	**Library Operations - Finances, Administration**	48 hours	**Loss of Key IT Systems** Wait until IT systems are restored. Consider workarounds if the IT outage is expected to continue past the stated IT RTO. **Loss of Access to Physical Library Services** Relocate function to home or other ANU location
7	**Provide Research, Teaching and Learning and Reference Services**	48 hours	**Loss of Key IT Systems** Wait until IT systems are restored. Consider workarounds if the IT outage is expected to continue past the stated IT RTO. Some needs may be met using National Bibliographic Database and Trove **Loss of Access to Physical Library Services** Relocate function to home or other ANU location.

B.2 IT Systems Continuity Requirements

The table below lists the IT systems used by Scholarly Information Services (SIS). This data can be used to manage expectations for recovery timeframes during system outages, and to help determine whether workarounds need to be implemented in the event that RTO's exceed MAO's. *(See definitions after table)*

Tier	System/Application Name	Maximum Acceptable Outage (MAO)	IT Recovery Time (RTO)	ITS Contact (refer to website for name and email)
Tier 1	ANU Data Integration Hub	TBC	24 Hours	TBC
	ARIES	TBC	6 Hours	Value Stream Lead, Research
	ERMS (Oracle Webcentre)	24 Hours	24 Hours	Value Stream Lead, Research
	Extended Door Locking (Cardax)	<1 hour	<1 Hour	Security
	Fire Monitoring (IRIS)	TBC	1 Hour	TBC
	PeopleSoft Campus Solutions (incl. ISIS)	TBC	6 Hours	Value Stream Lead, Student Experience
	PeopleSoft Financials	TBC	24 Hours	Value Stream Lead, University Services
	PeopleSoft HCM (Including HORUS)	TBC	24 Hours	Value Stream Lead, University Services
	UDS	TBC	<1 Hour	TBC
	Wattle (Moodle)	TBC	2 Hours	Value Stream Lead, Learning and Teaching
Tier 2	Avaya Telephone System	TBC	24 Hours	TBC
	ANU Gateway - Web Hosting (Drupal)	1 Week	4 Hours	Value Stream Lead, University Services
	ANU Insight (COGNOS)	48 Hours	24 Hours	Value Stream Lead, University Services
	Central ANU Drupal Websites	12 Hours	4 Hours	Value Stream Lead, Student Experience
	Concur	48 Hours	24 Hours	Value Stream Lead, University Services
	Data Commons	TBC	48 Hours	TBC
	Intellidox Infiniti (eForms)	TBC	24 Hours	Retiring
	Microsoft Teams	TBC	6 Hours	Value Stream Lead, University Services
	Office365	TBC	6 Hours	Value Stream Lead, University Services
	Open Research (Dspace)	24 Hours	24 Hours	Value Stream Lead, Research
	Oracle Identity Manager	TBC	48 Hours	Value Stream Lead, University Services

Tier	System/Application Name	Maximum Acceptable Outage (MAO)	IT Recovery Time (RTO)	ITS Contact (refer to website for name and email)
	ServiceNow	TBC	6 Hours	Value Stream Lead, University Services
	Zoom	TBC	6 Hours	Value Stream Lead, University Services
Other	AtoM (Archives catalogue and location management)	12 Hours	TBC (derive from ITS recovery plans)	Value Stream Lead, Research
	Xibo	24	TBC (derive from ITS recovery plans)	TBC
	ePress Mgmt System	24	TBC (derive from ITS recovery plans)	Value Stream Lead, Research
	EZProxy	12	TBC (derive from ITS recovery plans)	TBC
	Inter-Library Loans System (OCLC VDX)	12	TBC (derive from ITS recovery plans)	Value Stream Lead, Research

Definitions used in the Table

- **MAO - Maximum Acceptable Outage** (for an IT System). The time frame required by the Business Continuity Team for the IT system to be recovered in the event of a major IT outage.
- **RTO – Recovery Time Objective** – The timeframe for recovery of the IT system / data by IT following the outage. The RTO is determined by the IT System Provider.

Definition of Tier's (provided by ANU ITS)

Tier 1

- supports the core business of the ANU, i.e. research, teaching and learning
- allows the ANU to meet statutory reporting requirements
- authoritative source of information across the ANU
- critical to business process

Tier 2

- critical to an individual area but the effect of its failure will not jeopardise the ANUs core business
- data stored in the system requires controls around it such as security or data integrity

Other

- these are IT systems that a College or Portfolio Group has identified in addition to the systems provided by ITS as Tier 1 and 2.

B.3 Other Continuity Resource Requirements

1. Staff Requirements

Function	Alternate Location	Day 1	Day 2	Day 3	Day 5	1 Week	2 Weeks	Normal Staff Number (FTE)
Provide access to ANU physical and digitised collections - library and archives	WFH if digital. No alternative if physical	*2 (Archives and library staff)*	3 ()	3	6	*6*	*6*	6
Provide Compliance Services - ERMS, Records, FOI, Privacy & Copyright	WFH	*3*	4	4	4	*6*	*6*	6

2. Other Continuity Resources

Equipment	Quantity	Required Within (Timeframe)	Resource used by	Comments / Details of Resource Provider
PC/Laptop	TBC	TBC	TBC	TBC
Mobile	TBC	TBC	TBC	TBC
Self-checkout machines	TBC	TBC	TBC	TBC
Library building (desks, rooms, chairs)	TBC	TBC	TBC	TBC
HVAC	TBC	TBC	TBC	TBC
Info screens	TBC	TBC	TBC	TBC
Barcode equipment	TBC	TBC	TBC	TBC
Scanners	TBC	TBC	TBC	TBC
Storage space	TBC	TBC	TBC	TBC
Information screens,	TBC	TBC	TBC	TBC

Equipment	Quantity	Required Within (Timeframe)	Resource used by	Comments / Details of Resource Provider
General AV equipment (projects, screens)	TBC	TBC	TBC	TBC
Sound equipment,	TBC	TBC	TBC	TBC
Exhibitions equipment	TBC	TBC	TBC	TBC
Multi Function Devices	TBC	TBC	TBC	TBC

B.4 External Dependencies

The following external parties have been identified as critical by SIS.

Name of External Party	Product / Service Provided	Maximum Acceptable Outage	Continuity Options / Workaround *(e.g. if Ext Party is disrupted)*
Clarivate	Alma, Leganto, Primo, Rapido, Rialto, EndNote	2 hours for Primo	
OCLC	Worldcat, Ezyproxy	2 hours for ezyproxy	Our version of Ezyproxy is locally hosted so ITS can apply fixes, TBC what (if any) workaround exists
Shibboleth Consortium	Shibboleth identity management	12 Hours	
Artefactual	AtoM - Open Source	24 hours	
Publisher and vendor sites	Large databases where the Library's electronic collections are housed	24 hours	Pre-prints, OA resources, Document supply, print collection
Springshare	Libguides, LibAnswers, LibStaffer, LibWizard, LibCal, LibInsights	24 hours	Manual bookings
Team Informatics	Oracle Webcentre (ERMS)	24 hours	
National Library	Libraries Australia	48 Hours	OCLC as a discovery

B.5 Pandemic Response Plan References

The ANU Pandemic Response Plan dated 12 March 2020 contains several references to Communicating Changes to Campus Practices for Staff and Students. A number of them are included below. Scholarly Information Services (SIS) should confirm which sections of the Pandemic Response Plan, if any, are to be included in this BCP.

Suggested Actions	
Initial Response	
	**Implement social distancing protocols** • Communications to all staff, VaHA and students on key social distancing practices on campus • Consider defer/cancel all events, concerts, public mass gatherings (more than 500 people)
	**Reduce travel risk and support the safe return of staff and students** • Outbound travel risk - communications regarding future travel for staff, VaHA or students for the purposes of University business • Inbound travel risk - support staff, VaHA or student repatriation back to Australia (where possible) including funding of expenses not covered by insurance.
	**Continue hygiene management** • Share regular hygiene reminders to all staff via email and/or text as sensible precautions to guide behaviour; steps to take after touching surfaces, cough/sneeze etiquette, disposal of tissues and rubbish, discourage touching of face/eyes/nose/mouth without sanitised hands • Recommend no handshaking or touching between persons, and no sharing of food or drink or catering • Portable hand sanitizers at all building entrances, inside/outside toilets, at communal spaces
Targeted Response	
	**Communications of changes to work practices for staff** • Each Division and College to develop a roster of critical staff and support staff to be rotated in fortnightly cycles (if required) due to illnesses • Each Division and College to develop a list of essential activities and services to be performed, and assign to rostered staff • All staff meetings replaced with virtual methods (i.e. zoom, videoconferencing etc.). • Remaining on campus staff utilise open sheltered spaces where people are at least 1.5 metres apart and the duration of the contact is to be less than 2 hours • Each College to prioritise research activities and coordinate with funding bodies, staff and students – **refer to the end of this table.** • Property services to review the cleaning and disinfection of high touch surfaces and removal of rubbish and waste

Suggested Actions	
	• Assess reduction of or closure of child-care facilities and commercial services
	**Communications of changes to campus practices for students** • Students who have travelled overseas in past 14 days and returning to campus to report to supervisor to sign checklist that they not ill nor showing/feeling symptoms of the pandemic virus. • Reduction in or closure of some campus-based amenities including libraries, lecture theatres, University House, University Union, Sports and Recreation Association and commercial businesses. • New virtual/online teaching and study practices in place • Research, laboratory and workshop activities reduced or closed temporarily • Roll-call/attendance practices for class type. • Encourage use of email/social media/zoom etc. for group activities/assignments to minimise proximity of group members • Stagger student attendance during laboratory activities/ tutorials or other small group activities to reduce class size, ask students to sit 1.5 metres apart, minimise class length to 2 hours by setting preparation and follow up activities to be done at home where possible • Encourage students to take their breaks outside in an open sheltered space at least 1.5 metres away from another person.

Appendix C. BC Team Support Templates

The templates on the following pages should be used by the BC Team to record information about Scholarly Information Services (SIS) business continuity activities and to support consistent reporting to the Incident Co-ordination Point if required.

NOTE – Good record keeping is an essential responsibility of all BC Team members

C.1 BC Team Meeting Agenda

- The BC Team Leader should use this template as the guideline agenda for the first BC Team meeting. It can then be adapted for all subsequent BC Team meetings and updates, until the incident is resolved.
- Ensure that an appointed Team administrator maintains a record of all meetings.

C.2 Business Continuity Log Sheet

The Business Continuity Log Sheets are to provide:

- A record of decisions made.
- A source of data for subsequent analysis.
- Management information e.g. resource use, elapsed time.
- The method of use is as follows:
- Make an entry on the sheet for each significant action, decision or event, noting the date and time.

The BC Team Leader is responsible for ensuring that all Team members use the sheets, although they can delegate the management of this task to members of their Team

C.3 BC Team Status Report

- The Business Continuity Team may be asked to submit periodic status reports to the Incident Co-ordination Point if required, providing brief details of the progress of the business continuity operations and raising any problems that may be impeding continuity activity. The table provides a standard format for these status reports.
- The table can be modified if required, although the core information categories must be retained.

C.1 Business Continuity Team - Meeting Agenda Template

AGENDA

1. Business Continuity Team member role call (Primary or Alternates).
2. Appoint note taker to record actions and decisions made.
3. Opening statement and incident status overview.
4. Confirmation of each Team Member's role and responsibilities.
5. Urgent actions and timeframe for next BC Team meeting / update.

Business Continuity Team Objectives:

- BC Team Leader to make an opening statement (important)
- Gather facts – ask each BC member for an update
- Establish incident context, identify and evaluate risks, identify and prioritise urgent issues
- Agree and prepare BC Team for subsequent actions after the meeting

Who:

- All BC Team members required (confirm if Primary or Alternates)
- Appointed Team administrator
- Other Support Teams (optional at this stage)

Duration:

- 1 hour maximum

Outcome:

- Confirmed Status update
- List of urgent issues and deadlines
- Priorities and direction for BC Team members
- Urgent issues and information gathering tasks assigned
- Timeframe for next BC Team meeting

C.2 Business Continuity Team Log Sheet Template

Date _____ **Location** _____ **Log Keeper Name** _____ **Sheet No** _____

#	Time *(am/pm)*	Outline Description of Event / Decision / Action / Issue

C.3 Business Continuity Team Status Report Template

This template should be used to provide the Incident Co-ordination Point with initial and periodic status updates.

Frequency to be determined at the time of the incident, until the disruptive incident is resolved.

Completed By		**Date / Time**	
Welfare (Staff, Students, Visitors, others)			
External Parties Involved			
Operational Impact / Status			
Estimated Commercial / Financial Impact			
Current Operating Conditions / Capability			

Other Comments / Details

Appendix D. Document Control

The BCP should be reviewed and reissued within 12 months of the Approval Date listed below.

D.1 Document Owner & Version Control

The owner of this BCP is responsible for ensuring:

- The content of the BCP is accurate and appropriate for the College or Portfolio Group;
- The BCP is tested at least annually, and
- The results of BCP testing are recorded and reported to ensure any material recommendations are implemented.

Document Control	Title	Review / Approval Date
BCP Owner / Approver	Director, SIS (University Librarian)	
BCP Coordinator	Associate Director Library Services and University Archivist	

Version	Dated	Key Changes

D.2 BCP Distribution

The Business Continuity Plan must be distributed to all members of the Business Continuity Team. Business Continuity Team members must securely store two printed copies of the BCP (on campus and external copies e.g. at home, or on a digital device).

D.3 BCP Testing and Maintenance

College and Portfolio groups are required to:

- test recovery strategies of their BCP over **a two-year cycle** to ensure the BCP is current and reliable any new functions/processes are updated.
- The College and Portfolio groups BCP must also be reviewed every 12 months for any major operational or system changes that will have a material effect on the recovery strategy of local area. (change to operations, change to legislation/compliance, restructure etc).
- Integrated into the existing BCP the outcomes of these reviews and testing activities, with an updated version control of the document.

Business Continuity Plan – Australian National University

Business Unit Information

Business Area/Unit or Faculty	Scholarly Information Services/The Library
Critical Business Function	Provision of a suite of services for research, teaching and learning which enhance the communication of ANU's research to the world.

Summary Information

Disruptive Incident	***Wireless (WiFi) Network not available***
Impact on Critical Function	Library clients and Library staff unable to access services via wireless devices
Potential Causes	Hardware/software failure, infrastructure failure. May be localised or campus-wide.
Max Acceptable Outage	Four hours
Estimated Average Outage	Half a day, once or twice per annum

Proposed treatment actions to preserve business continuity

Short Term (First 24 hours)	Medium Term (First Week)	Long Term (1 Week +)
• Contact other Library locations to confirm if the problem is local or library system-wide • Mon-Fri 08:00-:17:00 - Contact Information Technology Services (ITS) to see if the problem is campus-wide, or if services are available in other university buildings Outside these hours, contact ANU Security to contact the ITS on-call officer. • Communicate with clients via building announcements, signage, and online communication channels (website + social media). • Direct affected users to information commons machines around campus.	• Establish possible work-arounds and priority areas for restoration of services with ITS. • Continue to communicate with clients using the established mechanisms. • Continue to take all possible steps to ensure water services are restored	• Direct all queries and communication to ITS. • Pursue priority list for restoration with ITS.

Implementation triggers

Triggering Events	Who within the Business Unit can enact the BCP?
Loss of WiFi, to the Branch Library's for any reason, for longer than four hours. • Commence communication from the start of the incident • Undertake the remainder of the plan if the incident lasts four hours	University Librarian Associate Director, Library Services Branch Manager(s) for non-library wide/campus wide outages

Additional resources required (human, information, facilities, transportation, financial, technical, other)

Human Resources	Information	Facilities	Technical	Other
	Library Communications team		Information Technology Services (ITS)	

Interdependencies

Internal service providers	External service providers	Plant and equipment
Library locations are dependent on ITS for the troubleshooting, reports of where the situation is at and resolution of this issue.	May be involved (for example, telecommunications companies), but liaison would be via ITS.	Plant and equipment would need to be tested, restored or replaced by ITS and its supplier/s

Communications plan

Key stakeholders	Message	Distribution platform	Frequency
Library & Archive users	Currently experiencing technical difficulties – list of alternatives for WiFi, or direction to closest information commons machines.	Signage and announcements in affected building(s) Email/Websites/Social Media	Immediately upon activation of plan, then updates as appropriate until system fixed.
Library/Archive/Press (all SIS) staff (including CAUL)	Currently experiencing technical difficulties. Identify Library contact for communication with ITS. Direct people to the alternative locations as identified in the Library Users communication.	Face-to-face meetings Email/Website	Immediately upon activation of plan, then updates as appropriate until system fixed.

Key personnel and responsibilities

Personnel Name	Key Responsibilities	Contact Details
Roxanne Missingham	• Central point of contact and as the disseminator of information • Acts as a Disaster Recovery Coordinator • Receives information on the situation from the Associate Director, Branch Managers, SIS Facilities or ITS • Overall management of the Library's plan and of liaison with ITS. • Conducts post incident review for dispersal to SIS Executive, the Chief Operations Officer, Library Advisory Committee and all interested stakeholders	Work: 6125 20003 Home: 6213 7188 Outside Hours: 0423023158
Heather Jenks	• If University Librarian is uncontactable, acts as a Disaster Recovery Coordinator • Receives information on the situation from the Branch Managers, SIS Facilities or ITS • Pushes information through to the University Librarian • Overall management of the Library's plan and of liaison with ITS if University Librarian is uncontactable. • Collates information for a post incident review for dispersal to the University Librarian	Work: 6125 2988 Outside Hours: 0481 006 967

Branch Managers/University Archivist	• Initial communication with ITS. • Gathering information regarding the scale and likely duration of the problem. • Providing alternative accommodation in Library locations not affected by the outage.	Art and Music: Refer to Chifley Chifley: Meredith Duncan Work: 6125 7161 Hancock: Samantha Jackson Work: 6125 2983 Law: Joanna Longley Work: 6125 4068 Menzies: Diane Humphery Work:6125 0082 Outside Hours: See Appendix A
Patrick Byrnes	Communications within University/ Communications with external stakeholders.	Work: 6125 6707 Outside Hours: See Appendix A

Key assumptions

Critical underlying assumptions
• This document is a localised extension of the ANU Procedure: Emergency response https://policies.anu.edu.au/ppl/document/ANUP_000699 • All issues with WiFi (localised or campus-wide) are reliant on action by ITS. • This plan dovetails with the ITS plan for this scenario, and communication strategies will need to be coordinated. • The plan attempts to provide alternate services and an additional communication portal to Library clients.

Plan Maintenance

Next Planned Test/Review Date	Next Planned Update to Contact List

Version Control

Date Prepared	Author	Date Reviewed	Reviewer	Date Audited	Audited By
December 2017	Samantha Jackson Heather Jenks				

Next Steps

When the BCP is complete, please send to the Corporate Governance and Risk Office at head.governance@anu.edu.au
When the CGRO returns the plan, please circulate amongst the business unit and ensure all staff are familiar with the details of the plan, in particular, those with roles within the BCP.
Please ensure you retain both a current hard and soft copy of the BCP and email any changed versions to the CGRO.

Attachment

DRAFT Notice for social media

Unfortunately XXX library/libraries does not have WiFi at present and will not be able to support study that requires access to WiFi. We will advise when WiFi is restored.
(OPTIONAL You may wish to move to another facility – list which other libraries are operational – to continue your study.)

Audio announcement in libraries affected:
Unfortunately the library does not have WiFi at present. We will advise when WiFi access is restored.

Restoration notice
Thank you for your patience all libraries/library X now has had WiFi restored.

Business Continuity Plan – Australian National University

Business Unit Information

Business Area/Unit or Faculty	Scholarly Information Services/The Library
Critical Business Function	Provision of a suite of services for research, teaching and learning which enhance the communication of ANU's research to the world...

Summary Information

Disruptive Incident	***Damage to, or loss of, Integrated Library Management System***
Impact on Critical Function	Clients are unable to borrow or renew print material without staff intervention or access electronic resources including document delivery services, ArticleReach and BONUS+. Library staff are unable to work within the various modules to order, check-in or invoice resources.
Potential Causes	Failure of suppressant systems, electrical fault (fire) , failure of drainage (flood) software/hardware failure (system)
Max Acceptable Outage	1 hour once or twice per annum
Estimated Average Outage	In previous situations the loss of access to servers has been between 2-4 days

Proposed treatment actions to preserve business continuity

Short Term (First 24 hours)	Medium Term (First Week)	Long Term (1 Week +)
• Establish if the issue is with on-site equipment, or a failure unable to be solved without vendor assistance. • Work with ITS to correct hardware issues. • Contact the service provider to correct software issues. • Send emails and update the Library's online communication channels (ie website and social media) advising of the problem, the impacts as relevant to the given client group, and the likely recovery time. Impacts include: • Inability to locate material via the Library catalogue • Inability to borrow print material when the Library desks are unstaffed. • Inability to view or renew existing loans online – both self service and by Library staff • Inability to access Document delivery services, ArticleReach and BONUS+ • Delays to new print material being made available. • Notify users of alternatives for tracking material (eg SuperSearch). • Enact manual loan protocols for as long as practicable considering staffing levels. • Take all possible steps to ensure ILMS services are restored	• Notify suppliers and ask for extensions as appropriate to ensure access to online resources is maintained. • Speak to ANU Finance regarding options for manual invoice processing. Continue to take all possible steps to ensure electricity services are restored • Temporary changes to the website to drive search traffic to alternate resources rather than to non-working portals. • Continue t take all possible steps to ensure ILMS services are restored	• Work with ANU Finance to pay high priority suppliers, with invoices to be post-processed in the ILMS once functionality is returned. • Undertake manual processing of high priority print material required by the University community. • Pursue priority list for restoration of this service with the vendor

Implementation triggers

Triggering Events	Who within the Business Unit can enact the BCP?
Loss of access to the ILMS not able to be immediately corrected by SIS/Library staff.	University Librarian Associate Director, Library Services Library Systems and Web Coordinator

Additional resources required (human, information, facilities, transportation, financial, technical, other)

Human Resources	Information	Facilities	Technical	Other
• Additional staffing/reprioritising of tasks may be required to assist with manual loans. • After the issue is resolved, additional staff may be required to assist with backlogs of shelving.	Update via direct emails to academic areas, Library website, and social media accounts.	Some staff space may need to be repurposed to store loaned/returned print material.	Assistance from ITS as required.	Assistance from ILMS vendor

Interdependencies

Internal service providers	External service providers	Plant and equipment
F&BS may be able to assist with manual payments for urgent invoices. ITS to assist with hardware and/or networking issues.	Innovative Interfaces Inc (iii) are the service provider responsible for this service.	On-site hardware and software (if affected)

Communications plan

Key stakeholders	Message	Distribution platform	Frequency
All ANU staff and students	Unable to access the Library catalogue or undertake self-check loans. Delays in processing new print material.	Email/Website/Social Media	Immediately upon activation of plan, then updates as appropriate until system fixed
Finance and Business Services	Currently experiencing technical difficulties – payments delayed	Email	After the first week
Suppliers	Currently experiencing technical difficulties – payments delayed	Email	Within the first 72 hours for invoices close to due.

Key personnel and responsibilities

Personnel Name	Key Responsibilities	Contact Details	Alternate Person	Alternate Contact Details
Roxanne Missingham	• Central point of contact and as the disseminator of information • Enacting the BCP and managing coordinated communication to internal units and external suppliers • Receives information on the situation from Library Communications Manager, Associate Director Library Services and, Branch Managers ITS and the vendor iii may also be in the information loop. • Conducts post incident review for dispersal to SIS Executive, the Chief Operations Officer, Library Advisory Committee and all interested stakeholders	Work: 6125 2003 Outside Hours: 0423023158		

Heather Jenks	• If University Librarian is uncontactable, acts as central contact point and as the disseminator of information • Enacting the BCP and managing coordinated communication tointernal units and external suppliers • Receives information on the situation from the Branch Managers, • Pushes information through to the University Librarian • Collates information for a post incident review for dispersal to the University Librarian	Work: 6125 2988 Outside Hours: 0481 006 967		
Mark Huppert	Overall Management of BCP critical incident' liaising with ITS and iii, including acquiring alternate hardware if necessary	Work: 6125 2752 Outside Hours: See Appendix A		
Patrick Byrnes	Communications to Library clients	Work: 6125 6707 Outside Hours: See Appendix A	Library Communications team	

Key assumptions

Critical underlying assumptions
The plan relies upon other Library and SIS business units being fully operational or in a position to assist by lending staff, and the ability to access other business information (such as external stakeholder contact details, and access to internal email systems).

Plan Maintenance

Next Planned Test/Review Date	Next Planned Update to Contact List

Version Control

Date Prepared	Author	Date Reviewed	Reviewer	Date Audited	Audited By
December 2017	Samantha Jackson Heather Jenks				

Next Steps

When the BCP is complete, please send to the Corporate Governance and Risk Office at head.governance@anu.edu.au
When the CGRO returns the plan, please circulate amongst the business unit and ensure all staff are familiar with the details of the plan, in particular, those with roles within the BCP.
Please ensure you retain both a current hard and soft copy of the BCP and email any changed versions to the CGRO.

Attachment
DRAFT Notice for website
The catalogue is currently unavailable. We anticipate the outage will be XXX

DRAFT Notice for social media

Unfortunately the library catalogue is not accessible at present. We encourage you to use Supersearch from the library home page. We will advise when the catalogue is restored.

Restoration notice
Thank you for your patience the library catalogue is now available.

Business Continuity Plan – Australian National University

Business Unit Information

Business Area/Unit or Faculty	Scholarly Information Services/The Library
Critical Business Function	Provision of a suite of services for research, teaching and learning which enhance the communication of ANU's research to the world..

Summary Information

Disruptive Incident	***Electricity not available***
Impact on Critical Function	Library & Archive clients and Scholarly Information Services staff unable to access library facilities, services or online
Potential Causes	Infrastructure failure. May be localised or campus-wide.
Max Acceptable Outage	Four hours (Advice from Facilities and Services/F&S) This may be adjusted by key personnel depending on temperature (based on the Guidance document: Indoor Thermal comfort guidelines for Managers and Supervisors) or ability to enter or secure the building Consideration should be given to access and inclusion service provision if lifts are unavailable
Estimated Average Outage	Half a day, once or twice per annum

Proposed treatment actions to preserve business continuity

Short Term (First 24 hours)	Medium Term (First Week)	Long Term (1 Week +)
• Contact other Library locations to confirm if the problem is local or library system-wide • Contact SIS Facilities and/or Facilities and Services to see if the problem is campus-wide, or if services are available in other university buildings • Communicate with clients via signage, and online communication channels (website + social media). • Direct affected users to powered facilities on campus (if available) • Send Library/Archive/Press staff to other Library locations if power and workspaces are available. • Take all possible steps to ensure electricity services are restored	• Establish possible work-arounds and priority areas for restoration of services with SIS Facilities/F&S. • Continue to communicate with clients using the established mechanisms. • Continue to take all possible steps to ensure electricity services are restored	• Direct all queries and communication to SIS Facilities/F&S. • Pursue priority list for restoration with SIS Facilities/F&S.

Implementation triggers

Triggering Events	Who within the Business Unit can enact the BCP?
Loss of electricity for longer than four hours: • Commence communication from the start of the incident • Undertake the remainder of the plan if the incident lasts four hours	University Librarian Associate Director, Library Services Branch Manager(s) for non-library wide/campus wide outages

Additional resources required (human, information, facilities, transportation, financial, technical, other)

Human Resources	Information	Facilities	Technical	Other

	Library Communications	• Other Library buildings (staff) • Other teaching and learning spaces/information commons spaces.	SIS Facilities as our conduit to Facilities and Services.	Equipment to allow for safety considerations, e.g. torches and charged mobile phones.

Interdependencies

Internal service providers	External service providers	Plant and equipment
Library locations are dependent on F&S for the troubleshooting, reports of where the situation is at and resolution of this issue. SIS Facilities are the Library's link to F&S under their responsibility for teaching and learning spaces at the University.	May be involved (for example, utility providers), but liaison would be via SIS Facilities/F&S.	The Library is reliant on the existing water infrastructure. Any equipment that could be used as a stop-gap measure would be organised by F&S.

Communications plan

Key stakeholders	Message	Distribution platform	Frequency
Library/Archive/Press users	Currently experiencing technical difficulties – list of alternatives for Library locations with power, or direction to closest university teaching and learning spaces with power available.	Signage and announcements in affected building(s) Email/Websites/Social Media	Immediately upon activation of plan, then updates as appropriate until system fixed.

Library/Archive/Press (all SIS) staff	Power is currently unavailable. Please speak to your supervisor if you would like to move to another location until the issue is resolved.	Face-to-face meetings Email/Website (for staff with battery-powered devices)	Immediately upon activation of plan, then updates as appropriate until system fixed.
Non-SIS staff co-located in Library buildings ○ CAUL ○ ITS	Refer the contact person to their contact in F&S for updates and further information, including options for other accommodation should the issue run for longer than four hours.	Face-to-face meetings Email/Phone call	Immediately upon activation of plan, then updates as appropriate until system fixed.

Key personnel and responsibilities

Personnel Name	Key Responsibilities	Contact Details
Roxanne Missingham	• Central point of contact and as the disseminator of information • Acts as a Disaster Recovery Coordinator • Receives information on the situation from the Associate Director, Branch Managers, SIS Facilities or F&S • Overall management of the Library's plan and of liaison with F&S • Conducts post incident review for dispersal to SIS Executive, the Chief Operations Officer, Library Advisory Committee and all interested stakeholders	Work: 6125 2003 Home 6231 7188 Outside Hours: 0423023158
Heather Jenks	• If University Librarian is uncontactable, acts as a Disaster Recovery Coordinator • Receives information on the situation from the Branch Managers, SIS Facilities or F&S • Pushes information through to the University Librarian • Overall management of the Library's plan and of liaison with F&S if University Librarian is uncontactable.	Work: 6125 2988 Outside Hours: 0481 006 967

	• Collates information for a post incident review for dispersal to the University Librarian	
Branch Managers, University Archivist, Manager ANU Press	• Initial communication with SIS Facilities. • Gathering information regarding the scale and likely duration of the problem. • Making recommendations regarding building closures to Library senior management. • Providing alternative accommodation in Library locations not affected by the outage.	Art and Music: Refer to Chifley Chifley: Meredith Duncan Work: 6125 7161 Hancock: Samantha Jackson Work: 6125 2983 Law: Joanna Longley Work: 6125 4068 Menzies: Diane Humphery Work:6125 0082 ANU Press: Emily Hazelwood 6125 7498 University Archivist: Maggie Shapley 6125 9602 Outside Hours: See Appendix A
Patrick Byrnes	Communications within University/ Communications with external stakeholders	Work: 6125 6707 Outside Hours: See Appendix A

Key assumptions

Critical underlying assumptions
• This document is a localised extension of the ANU Procedure: Emergency response https://policies.anu.edu.au/ppl/document/ANUP_000699 • All issues with electricity (localised or campus-wide) are reliant on action by F&S. • This plan dovetails with the F&S plan for this scenario, and communication strategies will need to be coordinated. • The plan attempts to provide alternate services and an additional communication portal to Library clients. NOTE: Outages that affect more than the libraries will be dealt with under the Universities Emergency response process

Plan Maintenance

Next Planned Test/Review Date	Next Planned Update to Contact List

Version Control

Date Prepared	Author	Date Reviewed	Reviewer	Date Audited	Audited By
December 2017	Samantha Jackson Heather Jenks				

Next Steps

When the BCP is complete, please send to the Corporate Governance and Risk Office at head.governance@anu.edu.au
When the CGRO returns the plan, please circulate amongst the business unit and ensure all staff are familiar with the details of the plan, in particular, those with roles within the BCP.
Please ensure you retain both a current hard and soft copy of the BCP and email any changed versions to the CGRO.

Attachment

DRAFT Notice for social media

Unfortunately XXX library/libraries does not have electricity at present and will not be able to support study that requires access to power. We will advise when power is restored.

Restoration notice
Thank you for your patience all libraries/library X now has had power restored.

No audio announcement as no power.

Business Continuity Plan – Australian National University

Business Unit Information

Business Area/Unit or Faculty	Scholarly Information Services/The Library
Critical Business Function	Provision of a suite of services for research, teaching and learning which enhance the communication of ANU's research to the world.

Summary Information

Disruptive Incident	***Water not available to Library location(s)***
Impact on Critical Function	Library clients and Library staff unable to access library facilities or services from the facilities.
Potential Causes	Infrastructure failure. May be localised or campus-wide.
Max Acceptable Outage	Four hours (Advice from Facilities and Services)
Estimated Average Outage	Half a day, once or twice per annum.

Proposed treatment actions to preserve business continuity

Short Term (First 24 hours)	Medium Term (First Week)	Long Term (1 Week +)
• Contact other Library locations to confirm if the problem is local or library system-wide. • Contact Scholarly Information Services Facilities (SIS Facilities) and/or Facilities and Services (F&S) to see if the problem is campus-wide, or if services are available in other university buildings. • Communicate with clients via signage, and online communication channels (website + social media). • Direct affected users to other facilities on campus (if available). • Send Library staff to other Library locations if water and workspaces are available.	• Establish possible work-arounds and priority areas for restoration of services with SIS Facilities/F&S. • Continue to communicate with clients using the established mechanisms. • Continue to take all possible steps to ensure water services are restored	• Direct all queries and communication to SIS Facilities/F&S. • Pursue priority list for restoration with SIS Facilities/F&S.

• Take all possible steps to ensure water services are restored		

Implementation triggers

Triggering Events	Who within the Business Unit can enact the BCP?
Loss of water to a building: • Commence communication from the start of the incident • Work closely with F&S to ensure updates on the University Emergency Plan are received and acted upon • Undertake the remainder of the plan if the incident lasts over four hours	University Librarian Associate Director, Library Services Building Custodian, SIS Facilities Branch Manager(s) for non-library wide/campus wide outages or delegate

Additional resources required (human, information, facilities, transportation, financial, technical, other)

Human Resources	Information	Facilities	Technical	Other
	Library Communications team	• Other Library buildings (staff) • Other teaching and learning spaces/information commons spaces.	SIS Facilities as our conduit to Facilities and Services.	

Interdependencies

Internal service providers	External service providers	Plant and equipment
• Library locations are dependent on F&S for the troubleshooting, reports of where the situation is at and resolution of this issue. • SIS Facilities are the Library's link to F&S under their responsibility for teaching and learning spaces at the University.	May be involved (for example, utility providers), but liaison would be via SIS Facilities/F&S.	The Library is reliant on the existing water infrastructure. Any equipment that could be used as a stop-gap measure would be organised by F&S.

Communications plan

Key stakeholders	Message	Distribution platform	Frequency
Library & archive users	Currently experiencing technical difficulties – list of alternatives for Library locations with water, or direction to closest university teaching and learning spaces with water available.	Signage (print or online) and announcements in affected building(s) Email/Websites/Social Media	Immediately upon activation of plan, then updates as appropriate until system fixed.
Library/Archive/Press (all SIS) staff	Water is currently unavailable. Please speak to your supervisor if you would like to move to another location until the issue is resolved.	Face-to-face meetings Email/Website	Immediately upon activation of plan, then updates as appropriate until system fixed.
Non-SIS staff co-located in Library buildings ○ CAUL ○ ITS	Refer the contact person to their contact in F&S for updates and further information, including options for other accommodation should the issue run for longer than four hours.	Face-to-face meetings Email/Phone call	Immediately upon activation of plan, then updates as appropriate until system fixed.

Key personnel and responsibilities

Personnel Name	Key Responsibilities	Contact Details
Roxanne Missingham	• Central point of contact and as the disseminator of information • Acts as a Disaster Recovery Coordinator • Receives information on the situation from the Associate Director, Branch Managers, SIS Facilities or F&S • Makes the decision regarding closing the building to users, based on advice from Branch Managers. • If localised issue, will report to supervisor, the Chief Operations Officer • Conducts post incident review for dispersal to SIS Executive, the Chief Operations Officer, Library Advisory Committee and all interested stakeholders	Work: 6125 2003 Home: 6231 7188 Outside Hours: 0423023158
Heather Jenks	• If University Librarian is uncontactable, acts as a Disaster Recovery Coordinator • Receives information on the situation from the Branch Managers, SIS Facilities or F&S • Pushes information through to the University Librarian • Makes the decision regarding closing the building to users, based on advice from Branch Managers, if the University Librarian in uncontactable. • If localised issue, will report to the University Librarian's supervisor, the Chief Operations Officer • Collates information for a post incident review for dispersal to the University Librarian	Work: 6125 2988 Outside Hours: 0481 006 967
Branch Managers	• Initial communication with SIS Facilities. • Gathering information regarding the scale and likely duration of the problem. • Making recommendations regarding building closures to Library senior management. • Providing alternative accommodation in Library locations not affected by the outage.	Art and Music: Refer to Chifley Chifley: Meredith Duncan Work: 6125 7161 Hancock: Samantha Jackson Work: 6125 2983 Law: Joanna Longley Work: 6125 4068 Menzies: Diane Humphery Work:6125 0082 Outside Hours: See Appendix A
Rob Carruthers	• Building Custodian – Chifley, Hancock, and Menzies • Acts as conduit between the Library and F&S	Work: 6125 9989

Patrick Byrnes	Communications within University/ Communications with external stakeholders	Work: 6125 6707 Outside Hours: See Appendix A

Key assumptions

Critical underlying assumptions
• This document is a localised extension of the ANU Procedure: Emergency response https://policies.anu.edu.au/ppl/document/ANUP_000699 • All issues with water (localised or campus-wide) are reliant on action by F&S. • This plan dovetails with the F&S plan for this scenario, and communication strategies will be led by F&S and will need to be coordinated. • The plan attempts to provide alternate services and an additional communication portal to Library clients and Library staff.

Plan Maintenance

Next Planned Test/Review Date	Next Planned Update to Contact List

Version Control

Date Prepared	Author	Date Reviewed	Reviewer	Date Audited	Audited By
December 2017	Samantha Jackson Heather Jenks				

Attachment

DRAFT Notice for social media

Unfortunately XXX library/libraries does not have water at present. This means that the bathrooms, taps and bubblers are not operational. We will advise when water is restored.

Audio announcement in libraries affected:
Unfortunately the library does not have water at present. We will advise when water access is restored. (OPTIONAL You may wish to move to another facility – list which other libraries are operational – to continue your study.)

Restoration notice
Thank you for your patience all libraries/library X now has had WiFi restored.

Australian National University

ANU Archives

DISASTER RECOVERY MANUAL

For ANU Archives areas of:

- **Menzies Building (2)**
- **Acton Underhill (76)**
- **D.A. Brown Building (47)**

IN THE EVENT OF A DISASTER CONSULT SECTIONS 1 (EMERGENCY CONTACTS) and 2 (REACTION) IMMEDIATELY

November 2019

Next update due 2021

1: Emergency contacts

If there is a life-threatening emergency – first call Police/Fire brigade/Ambulance (0) 000

And follow appropriate evacuation procedures

Then phone ANU Security 612 **52249**

ANU Archives Program				
Name	**Position**	**Work phone no.**	**Mobile phone no.**	**After hours no.**
Kathryn Dan	University Archivist	59602	0409 919 283	
Sarah Lethbridge	Senior Archivist	55919	0436 608 587	6262 4419
Beth Lonergan	Archivist	52219	0434 996 424	
Catherine Ziegler	Archivist	52219	0406 338 767	
Rachel Armstrong	Archivist	52219	0412 503 183	
Louise Mayoh	Archives Assistant	50145	0474 221 938	
James Spence	Archives Retriever	50145	0449 123 538	
Other important contacts				
Rob Carruthers	SIS Facilities & Services Building Custodian	59989	0410 693 895	
Roxanne Missingham	University Librarian	52003		
ANU Media Liaison		55001		
Kim Morris	Art & Archival (private conservator)	6297 7670	0412 146 812	
Steamatic	Recovery and cleaning	6242 0856		1300 783 262
DisACT members disact-l@nla.gov.au or via Facebook				
Archives office and Repository phone numbers				
Acton Underhill Office		50145		
Acton Underhill Repository A + B		50146		
Menzies 1 (under office)		50147		

2. REACTION

Reaction is the initial response to an emergency situation. If there is a fire, reaction will involve evacuating the building in response to a fire alarm. In other situations reaction will consist of identifying the emergency, assessing the situation and reporting it to the appropriate people.

2.1 Immediate action

In an emergency the safety of staff and visitors is a priority. If the answer to any of the following questions is 'Yes', the site is unsafe:

- Are there electrical wires or power points in contact with water?
- Does water extend beyond your view? (electrical contact may be occurring out of sight)
- Is there more than 5 cms of water on the floor?
- Are the passageways blocked or obstructed?
- Is there danger from falling material?
- Do the walls or ceiling appear unstable?

If any of the above applies, then human safety is threatened, and the following actions should be taken:

- You should leave the area and not re-enter it until declared safe by emergency services personnel.

- Contact emergency services on 000. If using a desk phone remember to dial 0-000.

- Contact ANU Security on x52249 if calling from ANU or on 6125 2249 if making an external call.

- Evacuate the building following the instructions below. Note that injured people should not be evacuated unless absolutely necessary as moving them may cause further injury.

- Attend to injuries. Note that all ANU Security Officers are also First Aid Officers.

- Shut off services such as water, electricity or gas if necessary. This may require relevant authorities attending such as ActewAGL.

- Arrange inspection of any structural damage to buildings by the building engineer.

If human safety is not threatened, see 2.5 Communication below.

2.2 Evacuation procedures

The building will be closed and all staff and visitors evacuated under the following circumstances:

- Fire alarm
- Bomb threat
- Power failure
- Instructions from Emergency Services
- Instructions from the Chief Warden
- Instructions from Facilities and Services.

EVACUATION PROCEDURE MENZIES BUILDING (BUILDING 2)

Evacuation Assembly Point: Lawn in front of R.G. Menzies Building

Evacuate the building immediately when the Chief Warden sends the following message over the intercom:

Attention. We are evacuating the building. Please leave by your nearest exit, follow all instructions from your fire warden and go to congregation area on lawns in front of the building.

- If you are at your desk when the announcement to evacuate is made turn off your computer before leaving. Remember to take your car keys and wallet, as the building may not be safe to re-enter for some time.

- Leave by the nearest safe exit. This *may* be the front entrance but you should always know where alternative exits are wherever you are in the building.

- Advise visitors and readers to evacuate the building with you.

- Head straight to the Evacuation Assembly Point.

If you are away from your desk when the announcement to evacuate is made do *not* return to your desk to try to collect personal belongings as this may put you in danger. Leave by the nearest safe exit. This may be the front entrance but you should always know where alternative exits are wherever you are in the building.

Fire wardens can be identified by their red hats. Follow the fire warden's instructions at all times.

DO NOT RE-ENTER THE BUILDING UNTIL A FIRE WARDEN TELLS YOU IT IS SAFE TO DO SO

EVACUATION PROCEDURE ACTON UNDERHILL (BUILDING 76)

Evacuation Assembly Point: Balmain Crescent adjacent to Parkes Way

Be sure you know where the nearest fire exit is at all times. You may be working in an isolated part of the Acton Underhill Repository so you will need to be extra vigilant about looking for signs of hazards.

Evacuate the building immediately if you hear a fire alarm, are advised to leave by a fire warden, member of the security staff, or colleague, or notice a serious hazard.

If you are in the office area, Repository B or Repository C, take your wallet and car keys and leave by the nearest fire escape. This is likely to be the front entrance on Balmain Crescent but you may need to use an alternative fire exit.

If you are in Repository A, leave the building by the nearest fire exit. Do not try to retrieve personal belongings or leave by the main entrance as this may put you in danger.

When you leave the building go to the nearest occupied building, then contact emergency services on 0-000 if appropriate, inform ANU Security on x52249 or 6125 2249 and the ANU Archives Program on x52219 or 6125 2219 of what has happened.

DO NOT RE-ENTER THE BUILDING UNTIL A FIRE WARDEN TELLS YOU IT IS SAFE TO DO SO

EVACUATION PROCEDURE Brown Building (BUILDING 47)

Evacuation Assembly Point:

Be sure you know where the nearest fire exit is at all times. You may be working in an isolated part of the Brown Building so you will need to be extra vigilant about looking for signs of hazards.

Evacuate the building immediately if you hear a fire alarm, are advised to leave by a fire warden, member of the security staff, or colleague, or notice a serious hazard.

Leave by the nearest safe exit. Each of the three repositories has a second door.

When you leave the building contact emergency services on 0-000 if appropriate, inform ANU Security on x52249 or 6125 2249 and the ANU Archives Program on x52219 or 6125 2219 of what has happened.

DO NOT RE-ENTER THE BUILDING UNTIL A FIRE WARDEN TELLS YOU IT IS SAFE TO DO SO

2.3 Fire

Even a small fire can spread and get out of control very quickly. For this reason you must contact the fire brigade, or delegate someone to do so, before attempting to extinguish a fire yourself. This will allow the fire brigade to reach the scene more quickly.

2.4 Non-fire emergency

Any person discovering an emergency should take the following actions:

- **Identify the emergency –** an emergency situation is any sudden occurrence that significantly affects, or threatens to affect, the safety of people or the physical condition of any part of the collection.

- **Assess the situation –** noting the following:
  - Source of the hazard
  - If anyone is hurt
  - If the area is safe
  - If collection material is affected.

- **Report emergency incident** – depending on the scale of the emergency, notify the appropriate people, using Section 8. Emergency Contacts:

  - Emergency Services (Fire Brigade, Ambulance, Police, phone 000 if there is a fire, serious injury or criminal threat)
  - ANU Security
  - Building First Aid Officers
  - University Archivist or Senior Archivist
  - Building Manager
  - ActewAGL (if electricity or gas shut off is required).

2.5 Communication

Upon receiving a report of an emergency situation, the Senior Archivist should assess the situation by asking the following questions of the person reporting:

- What is the nature and source of the emergency?
- Does the emergency pose a threat to human safety and if so, is anyone hurt?
- Which bodies and persons have already been notified?
- What is the extent of the emergency – has the entire building been checked?
- Is the collection affected?
- Has any action been taken to protect the collection?

2.6 Stabilisation

If the hazard has been contained and it is safe to enter the repository the Senior Archivist should mobilise Archives staff and others including Space Services staff to help with the stabilisation effort by:

- Containing any water hazard with bins, buckets, mops, squeegees and absorbent material from the disaster recovery bins.
- Covering collection material at risk of water damage with plastic sheeting.
- Removing material from harm's way if this can be done safely. Remember that any damaged or wet material will be heavy and possible fragile so should be handled with care. Moving material too hastily could lead to injuries or to further damage.

No attempt should be made to use or repair any malfunctioning electrical equipment as it may be dangerous.

3. INTRODUCTION

3.1 Scope

This Disaster Recovery Manual is for the collections of the Australian National University Archives Program housed on campus in the Acton Underhill Repository (Building 76), the Menzies Building (Building 2) and the D.A. Brown Building (Building 47). It aims to reduce the chances of a disaster occurring through proper maintenance of repository and office spaces and appropriate storage of collection materials. It also aims to minimise the damage should an emergency occur by providing guidelines for an effective response.

The manual includes sections on *Prevention and Preparation*, *Reaction*, *Recovery* and *Evaluation*. It also contains other important information relevant to various stages of the disaster response process.

3.2 Assumptions

This disaster recovery manual assumes that:

- all repository and office spaces are subject to regular maintenance by the University's Facilities and Services section;
- emergency exits are clearly marked and kept clear of obstacles at all times;
- fire prevention measures and protection equipment are in place (eg fire wardens appointed, smoke detectors, alarm systems and fire extinguishers are in place and maintained);
- normal safe work practices are followed routinely and staff are familiar with fire drill and emergency evacuation procedures; and
- repositories are fumigated for pest control purposes on a regular basis.

The emphasis of the manual is therefore on *Prevention and Preparation* measures but also includes guidelines for *Reaction* and *Recovery* in the event of an emergency.

3.3 Underpinning principles

- **The safety of people always comes first**. Dealing with damaged collections will proceed only after any injuries have been attended to and buildings have been declared safe.

- Emergency Services Personnel such as the SES or the ACT Fire Brigade have legal authority at the scene of any disaster they attend. Their instructions *must* be followed.

- To prevent loss or further damage, collection material should not be removed from the scene of a disaster without the express direction of the University Archivist or Senior Archivist.

3.4 Updating the manual

The manual must be checked and updated where necessary by the Senior Archivist every **two years**, or more frequently as required. The following in particular should be checked

- Maps and plans of the buildings
- Emergency contacts, particularly of Archives staff
- Emergency equipment, including the actual contents of disaster recovery bins.

3.5 Distribution of the manual

The following members of staff hold hard copies of this manual:

- University Archivist (2 copies: one at work, one at home)
- Senior Archivist (2 copies: one at work, one at home)

An electronic copy of this document is on the ERMS.

Hard copies are also held in the following locations:

- Menzies Building level 2, Archives tea room
- Menzies Building level 1, on cabinet behind door in processing room
- Menzies Building, Chief Fire Warden
- Menzies Building, Facilities office
- Acton Underhill, A Repository
- Acton Underhill, B Repository
- Acton Underhill, C Repository
- Acton Underhill, office area
- D.A. Brown building – Repository D1
- D.A. Brown building – Repository D2
- D.A. Brown building – Repository D3
- Anthony Low Building, ANU Security
- Chifley Building, Office of the University Librarian

4. PREVENTION AND PREPARATION

Summary
The greatest threats to the collections are from fire and water. Physical damage or loss are possible but less likely due to security arrangements. However a worst-case scenario could involve all three hazards.

Archives staff must:

- Keep aisles and exits clear
- Keep fire doors shut and not wedged open
- Box or wrap items before shelving them
- Don't leave collection material exposed when it is not being worked on. Store material in archive boxes or wrap them in plastic to protect them.
- Switch off electrical equipment when leaving
- Lock doors to office areas and repositories when Archives staff are not present
- Protect their swipe cards, securely close all doors behind them and don't allow unauthorised people into the repositories or office areas
- Keep office areas and repositories tidy so there is less fuel to burn should a fire occur and to prevent trip hazards to people moving around the repository
- Return records to repositories promptly

Hazards should be rectified as appropriate and reported to the Senior Archivist, such as:

- Leaks of water or oil from pipes or other sources
- Incidents where floor or shelf loadings appear to exceed recommended limits
- Unidentified persons in the repositories or other work areas
- Food scraps or cigarette butts in the repositories
- Accumulation of rubbish that might provide fuel for a fire
- Evidence of mould, insect or rodent infestation
- Items blocking exits
- Damage to or accidental discharge of fire extinguishers

4.1 Preventative measures

- An established security structure
    - The Acton Underhill Building is protected by an after hours alarm system which will notify ANU Security if someone enters the building.
    - Access to the Acton Underhill Building, the D.A. Brown Building, the Archives repositories and the office area in the Menzies Building is by swipe card.

- Access to the archives work room and the A/V storage room on Menzies level 1 is by a key kept in the Menzies level 2 office. There is a spare key with SIS Facilities (Rob Carruthers).
- Staff should not leave the office unattended and should ensure all keys are returned to their locations.
- ANU Security staff are available to assist if required.

- Good building maintenance
  - Report faults in the building to the Senior Archivist or directly to the building manager if the Senior Archivist is unavailable.
  - Rob Carruthers (Robert.Carruthers@anu.edu.au &/ sis.facilities@anu.edu.au) is the building manager for all three archives repositories

- Good cleaning practices
  - Don't eat or drink at desks at desks or near archival records except for water in bottles with screw top lids.
  - Contract cleaners clean the Menzies Building. There is a vacuum cleaner in the tea room for extra cleaning to be done as required.
  - The Acton Underhill Building, both the office area and the repository, are cleaned regularly. Contract cleaners on request to Infrastructure Services clean record storage areas annually. The Building Manager arranges contract cleaners to clean the office area. There have been signs of rodents in the office so staff must empty the rubbish bin in the kitchen on Friday afternoon if it contains food scraps. There are skips and bins on site for disposing of general waste, paper and cardboard.
  - The D.A. Brown building is cleaned annually, organised by the Building Manager. Bins are not emptied so rubbish shouldn't be left.

- Appropriate storage of collection items
  - Never leave boxes on the floor. They become soaked if there is a leak or flood and are trip hazards.
  - Collection items should be placed in archives boxes or wrapped in plastic to protect them from dust or water when stored in repositories.
  - The Archives has nine hygrometers to monitor temperature and humidity. There are two in Repository A and one each in the other repositories. Measurements are recorded every 15 minutes. The data can be uploaded to a PC, once software has been installed (found in product boxes in Menzies office), by plugging it in to a computer.

- Smoke detection and fire suppression system
  - All repositories and the reading room have smoke detectors which are tested regularly by Facilities and Services.

    - The Acton Underhill Building has a fire suppression system which is tested regularly. There is no fire suppression system in the Menzies Building or the D.A Brown Building.

- Monitoring known problem areas
    - Acton Underhill – water ingress via roller door to Repository C, doors into office, lift well in A, map cabinets in B, area around A-168 (behind stairwell)
    - Menzies Level 2 office and reading room – water ingress through roof

4.2 Risk assessment

This section considers only threats to the collection that result from an emergency. Protecting the collection from insect damage is considered to be part of the day-to-day management of the collection.

The main threats to the collection are fire, water, and physical damage or loss.

- **Fire** could originate from either external or internal sources. External sources include the risk of bush fire and lightning strikes. These risks are very real, given the University's location at the base of Black Mountain and its close proximity to bushland.

Internal risks of fire can come from electrical appliances, such as desk lamps, heaters, computers, power boards and other equipment.

The Acton Underhill Building has internal fire sprinklers. These and the pipes supplying them need to be monitored for leaks.

The Menzies Building and D.A. Brown Building have no internal fire sprinklers.

- **Water**. External sources include storms that could cause water leaks in the building or localised external flooding that seeps into the building. Storms could also cause structural damage to the building that could provide a point for water to enter.

The most likely external source of water damage is from the roof when gutters become clogged or when structural damage has occurred. Water may get into the Acton Underhill Building when excessive run-off flows under the roller doors at the main entrance, or when high winds blow water through the top of the lift.

Internal sources of water damage include leaks or accidental discharge from internal plumbing such as from the internal sprinklers in the Acton Underhill, fire hoses, burst water pipes and overflowing sinks.

There are known weaknesses in the roof above the Menzies Building Level 2 office and reading room which allow water to enter the building if the gutters become blocked and there is heavy rain.

- **Physical damage or loss** could arise from damage to the building such as structural failure, storm damage or from unauthorised entry leading to theft or vandalism of collection materials. There is a risk collection items could be damaged or stolen if researchers are left unsupervised with material in the reading room.

4.3 Identification of salvage priorities

Some collection formats are more vulnerable to damage, particularly from fire and water, but it is the records' content, rather than their format, which determines priorities for salvage. See also *5.7 Prioritising collection material for recovery*.

In the event of a major disaster, the University Archivist and the Senior Archivist will advise on high priority material for salvage. Assessments will change over time and will take into account:

- Whether the collection is especially highly valued and used by researchers (e.g. the Marie Reay anthropology collection)
- Whether the collection is integral to the history and/or governance of the ANU (e.g. ANU Council Index Cards ANUA 245; ANU Council minutes and agenda ANUA 280)
- Whether the collection is inscribed on the Australian Memory of the World Register or has other special significance
- Whether the collection has been digitised

Some non-collection items may be considered high priority, such as the collection lists in folders in the Acton Underhill workroom and in the Archives Reading Room (until they have all been uploaded to Atom).

4.4 Identification and training of Disaster Response Team

The Archives Disaster Response Team consists of all Archives staff:

- University Archivist (policy direction, strategy, and expenditure)
- Senior Archivist (team leader)
- Archivists
- Archives Assistants

We may also call on Facilities and Services staff, other Library staff, DisACT members, or engage external contractors, depending on the severity of the situation and other University priorities.

The Archives is committed to providing training for its staff and volunteers in disaster awareness and recovery. All Archives staff should attend a disaster preparedness course provided by DisACT within a year of commencing work at the Archives and a refresher course every two years.

New staff and volunteer induction includes tours of the Menzies Building, the Brown Building and Acton Underhill to locate fire exits and walk through the evacuation procedures.

4.5 Identification of recovery work areas

The following locations have been identified as on-site recovery work areas for air-drying collection materials or for temporary storage of collection materials.

Menzies Building (Building 2)

- Level 2 – reading room tables
- Level 1 – processing tables
- Tables in other areas of Menzies Building with Precinct Manager's approval

Acton Underhill (Building 76)

- Processing tables in office/box store
- Processing tables in Repository B map storage area
- On pallets on Repository C floor
- On pallets on floor at far end of Repository A
- On pallets in other areas of Acton Underhill with the Building Manager's approval

D.A. Brown Building (47)

- There is one table and some space along the wall near entry to D2, which pallets may be brought to. In most cases records will need to be taken to Menzies or Acton Underhill for drying

It may be possible to use ANU Library or other ANU spaces, or off-site space at one of the other DisACT member organisations or commercial space (eg in Queanbeyan).

4.6 Supply of equipment and materials

Disaster recovery bins are located in the following areas. They must be inspected by the Senior Archivist or Archivist with responsibility for repository management every 6 months

Menzies Building (Building 2)

- Level 2 – Archives tearoom under bench
- Level 1 – Beside door in Archives processing room

Acton Underhill (Building 76)

- Office area/box store next to telephone
- Repository A (2 bins) next to telephones
- Repository B next to telephone
- Repository C under desk inside door

Brown Building

- Repository D1

Each bin contains the following items:

Bin bags x 20
Bucket
Bulldog clips x 10
Chalk, coloured, box
Clipboards x 2
Copies of damage report forms x 4
Dust masks x 10
Dust pan and brush
Extension cord
Fire blanket
Freezer bags x 500
Gloves (cotton) x 4 pairs
Gloves (rubber) x 4 pairs
Gloves (surgical) x 25 pairs
Labels (adhesive) x 50
Labels (tie-on) x 50
Notepads x 2
Paper towels x 4 rolls
Pencil sharpeners x 2
Pencils (2B) x 6
Pens (red, black, blue) x 6 each
Permanent markers (red, black, blue) x 3 each
Powerboard
Scissors x 2 pairs
Sponges, large x 4
Stanley knife x 2
Stapler & staples
Tape (brown parcel) x 2 rolls
Tape (cotton), roll
Tape (masking) x 2 rolls
Tape measure
Floodsax (not all bins)
Whistles x 2

Location of other material

Oscillating fans x 4 – in Acton Underhill office Plastic
sheeting (roll) – table in Repository B
Cardboard boxes – Repository C (preferably brown boxes, not acid-free, to be used for salvage)
Bubble wrap (roll) – table in Repository B
Mops and buckets – Cleaner's cupboard in Acton Underhill
Under bench in Archives tearoom in Menzies Building Wet/dry vacuum cleaner –
Box room in Acton Underhill

Torches
- Menzies 2 (by tea room door)
- Repository A (2 torches)
- Repository B
- Repository C (by roller door)
- Brown repository D1

Freezer
- Acton Underhill Repository A

Equipment available for loan from other DisACT members (AWM, NAA, AIATSIS, NMA, NLA, NGA, NFSA, ACT Records)

- Vacuum cleaner with HEPA filter for use with mould
- Wet/dry vacuum cleaner
- Dehumidifiers
- Humidifier
- Cold room
- Industrial fans

5. RECOVERY

Recovery involves the initial clean up of the affected area, the salvaging of materials by sorting into categories according to treatment needs and the stabilisation of those materials to prevent further damage or deterioration.

While recovery should commence as soon as possible after the emergency situation has been stabilised, if the Fire Brigade, Police or SES have attended, their permission must be given to enter the premises. If the scene of the emergency situation is a crime scene, or the insurance office wants the site examined, the University Archivist and the Senior Archivist will negotiate with them to determine when staff may have access to the site for recovery.

5.1 Important principles

- **Remember: the safety of people always comes first**. Dealing with damaged collections will proceed after injuries have been attended to and the building has been declared safe.

- Think before acting! Taking time to consider safety principles and recovery priorities is vital to ensuring the safety of staff and to minimising the damage to the collection.

Hazards

- Be aware of the danger of electrocution through water. Do not enter a flooded area until maintenance and service personnel or the Fire Brigade have checked the area is safe.
- Watch out for hazards – for example, slippery floors, items under water, broken glass, electrical cables, or anything that may have become structurally unsound as a result of the emergency, such as unstable shelving.
- Beware of burning plastic as it may give off toxic fumes that can be fatal.
- Do not use any electrical device that may have been damaged in the emergency, until a qualified electrician has checked it. Water and fire can cause corrosion of internal parts of electronic appliances that is not always apparent.
- The emergency and recovery areas should not be accessible to the public. Advise on-lookers how news of recovery progress can be obtained.

Staff protection

- Wear appropriate protective clothing.
- Beware of mould spores, which if inhaled into the lungs, can cause a disease called aspergillosis, with symptoms similar to tuberculosis. Masks and gloves must be worn if handling mouldy material.
- Use appropriate lifting methods, remembering that wet records will be heavier than normal.

Staff welfare

- Staff should have an adequate supply of refreshments.
- Staff should be properly rested; trauma may be both physical and mental. Specialist counselling may be necessary and the Advisor to Staff should be contacted in this case.

Recordkeeping

- Document action taken.
- Photograph damage for insurance and documentary purposes but also as 'before' images for staff morale and public relations.
- Keep records of all expenses.

5.2 Planning the recovery

After everyone has been evacuated safely and the emergency has been stabilised, the Senior Archivist, in consultation with the rest of the Archives staff, should devise a plan for the recovery operation. See *4.5 Identification of recovery work areas*. This plan should cover the initial clean-up of the affected areas, salvaging and sorting material into treatment categories and stabilisation of materials. It should consider:

- What is the nature and extent of damage to the building and repositories (fire, smoke, clean water, dirty water etc)?

- Can a stable environment be restored with material in situ or will it need to be moved?

- Is the damage so extensive a partly or wholly outsourced solution will be required?
  If yes:
  - If so, consultation about insurance may be needed
  - Who will contact external organisations to request assistance?

If no:

  - How many in-house people will be required?
  - Who will be in charge of contacting team members?

- What resources are required? What is available in-house? What can be borrowed? What will have to be bought?

- Salvaging priorities already identified (see 4.3).

- Lines of communication and documenting the incident.

5.3 Role of the University Archivist

The University Archivist will manage liaison with senior University staff, the media, depositors, and other archives, and provide advice to the Senior Archivist on policy, strategy, operational matters and expenditure. As far as possible they will ensure that the ongoing operations of the Archives are attended to. If these duties allow participation in the recovery operation it will be as part of the Disaster Response Team, under the direction of the Senior Archivist.
In the event that two building are affected, the University Archivist will lead the one team and the Senior Archivist will lead the other. If all three buildings are affected they will be prioritised for recovery once a survey of the damage has been completed.

5.4 Role of the Senior Archivist

After responding to a report of an emergency with the actions outlined in Section 3. *Reaction* and when it is safe to do so, the Senior Archivist as the Recovery Team Leader will attend to the following tasks:

Seek assistance

- Arrange for the fire brigade to pump out excess water if area is flooded.
- Request ANU Security to provide Security Officers if needed.
- Notify staff to assist in the recovery operation, using the Staff Contacts, ensuring that:
    - the number of staff attending is appropriate for the scale of the recovery operation
    - staff are allocated shifts, to avoid worker fatigue
    - details of staff names (and those of any volunteers) and hours worked are recorded.
- Enlist the services of a conservator if necessary.
- Delegate someone to contact the Bureau of Meteorology to obtain a local forecast, which may determine the course of action to be taken. Cold weather and low humidity may mean there is more time to act; hot weather and high humidity may mean that more immediate action is needed. Continuing storms may require SES or Facilities and Services staff to rig tarpaulins over the damaged area.

Set up the recovery area

- Secure the affected area.
- Locate recovery treatment areas and facilities as required. These should be as close as possible to the affected area and should not be accessible to the public.
- Ensure lighting is adequate. Use torches from Disaster Recovery Bins if necessary.
- Check that shelving is structurally sound and arrange for Facilities and Services to stabilise shelving before any recovery work proceeds.
- Ensure air is kept circulating if possible. Open windows and doors and place oscillating fans to circulate air.
- Identify a refreshments area and organise refreshments, especially fresh drinking water.

Documentation

- Ensure a camera is available and nominate a photographer.
- Ensure that collection numbers and locations are documented if records are moved for treatment

Communication

- Monitor progress and adjust plans as appropriate. Pay particular attention to:
  - bottlenecks
  - complaints from recovery workers
  - the effect of the environmental conditions
  - the adequacy of supplies of materials and equipment.
- Communicate with team members about any developments or changes to operational plans.
- Ensure that senior management are kept informed of progress.

5.5 Role of Archives staff

Under the supervision of the Senior Archivist, Archives staff will conduct the following tasks:

- Initial clean up of the repository
- Salvaging and sorting of materials into treatment categories
- Stabilisation of materials (short-term treatment)
- Document collection numbers and locations if records are moved for treatment.

The number of staff engaged as part of the Disaster Response Team will depend on the nature and extent of the disaster. Some staff may be engaged in maintaining the normal operations of the Archives.

5.6 Clean-up and recovery procedures

- Locate disaster bins.
- If water is still dripping over collection material, cover with plastic sheeting if not already covered.
- Channel water from plastic sheets into buckets and investigate how to stop the flow of water.
- Organise the removal of as much water as possible from shelves, cupboards and floors using wet/dry vacuum cleaners, mops etc. Fully dry the area as soon as possible, using industrial blowers or dryers if necessary.
- Open any wooden cupboard doors and remove any wooden drawers before they swell shut.
- Cover or remove as much unharmed material as necessary to prevent damage, such as from water dripping from wet material being transported through the area.
- Remove obstacles from floors.

Records need to be salvaged and dried out as soon as possible to prevent the material deteriorating further. If left in a wet, dirty condition the paper will weaken and mould will soon start to grow. Mould digests and stains paper, sometimes irreversibly, and poses a serious health risk to people working with the records. Many types of ink are water-soluble and will run when the document becomes wet, and will continue to run until dried out again.

After damage by water and once you're certain no further water damage is likely, the most important thing is to dry out the wet material. The first step is to ensure that the area you are working in is dry.

Wet/dry vacuum cleaners or mops and buckets can be used to dry out a water-affected room. If water has soaked into walls, carpets, floors and furniture a dehumidifier may need to be installed. You may be able to get a good flow of air by opening windows and doors.

Deal with collection materials in the following order:

- Any items lying on the floor if they are obstructing access
- Any items lying in water
- Most damaged or most fragile
- Least damaged.

However, if the disaster involves fire, many items are likely to be irrecoverable due to charring. In such circumstances the least damaged material should be salvaged first.

When removing material from shelving and cupboards, remove items from the top shelves first to avoid the shelving or cupboards becoming top heavy and falling over.

5.7 Prioritising collection material for recovery

You will need to prioritise what you can salvage. Some materials cannot survive being in water for very long, while other records can wait a little longer. Some formats are more vulnerable to fire and water than others, but it is the records' content and value, rather than their format, which determine priorities for recovery. Refer to the recovery priorities identified in Section 4.3 *Identification of salvage priorities*. As a general rule, unpublished material would be salvaged before published material.

You should consider whether there is any material you can afford to write off because it can be replaced or is of low value. If there is, that material can be left to one side while the more important material is salvaged. It can be properly disposed of later. Materials such as serials and microfilm may be relatively easy to replace so should be put lower on the list of recovery priorities.

- Make the water-affected material your first priority.
- Next, you should check all material in the affected area for dampness, whether obviously wet or not, and ensure that anything that is even a little damp is properly dried. Otherwise the material could grow mould.
- Do not try to remove mould from wet material, as it will smear.

- Clearly mark any mouldy material as being such.

Once you have decided which items in the collection need to be salvaged, you then have to salvage material in order of fragility. A suggested order is as follows but consider whether the material is published or unique to determine how important it is to salvage it.

1. Older photographic material such as pre-1950s colour formats, glass plate negatives, deteriorated film negatives, deteriorated black and white prints.
2. Rare publications on coated papers - these papers contain a starch and clay sizing which becomes like glue once it is wet and then allowed to dry.
3. Magnetic media such as audio, video and computer tape.
4. Records with water-soluble media, eg hand annotated maps, watercolour sketches, signatures in red ink etc.
5. Paper records that you know were very fragile before the flood, such as previously mould-damaged material.
6. Books with handcrafted bindings.
7. More modern photographic material like contemporary colour material, recent black and white prints.
8. Paper-based files.
9. Books on uncoated paper.
10. Photocopied reference material.

Generally, material that is mouldy, or soaking wet, should be frozen to stop the growth of mould until there is space and expertise available to treat these materials properly. Some items should not be frozen, however, such as artworks and photographic materials. These should be either air-dried immediately or given professional treatment. Procedures specific to each format area are given in section 5.11 below.

In some instances materials may be too extensively damaged to recover. The Senior Archivist must be consulted before any materials are deemed unrecoverable and this may need to be confirmed by a conservator. A record must be kept of any casualties.

5.8 Packing and documenting removal of collection materials

Sort material into categories according to their treatment needs and prepare them for transport to treatment areas as follows:

- Pack materials with similar treatment needs together in plastic-lined boxes or crates.
- Ensure that all loose parts of an item are packaged together, using plastic bags.
- Pack books flat or spine down.
- Do not pack things too tightly and fill spaces in crates with bubble-wrap.
- Relocation of items must be clearly documented on printed recording sheets.

- Each box or crate should be labelled with a number, the treatment type (air-drying, freezing etc), the deposit numbers of the contents and the location from which the contents of the box have been removed.

5.9 Freezing wet material

Freezing is largely for stabilising and storing materials, not drying them. If time is needed to make critical decisions, books and records can be frozen to reduce the risk of physical distortion and biological contamination. You should freeze wet records if:

- the material is heavily water-logged
- the relative humidity is over 65%
- glossy or coated paper has been affected, or
- a large quantity is affected.

Before freezing:

- Separate papers into bundles up to 5cm thick.
- Wrap each file or bundle in freezer or wax paper.
- Pack into plastic crates so the material is supported and so the crate is no more than 90% full.
- Put crates on pallets for transport to freezing facility in a freezer truck.

5.10 Drying procedures

In some cases, particularly in the case of flood, items will need to be cleaned before they are dried. A professional conservator should be consulted before attempting this. If you decide to dry material on site, ensure you have removed any standing water by vacuuming or mopping, picked up any material on the floor that may be at risk of further damage (recording its location) and made sure staff access is safe and easy. To set up the drying area, dehumidify the environment:

- Open windows (if appropriate).
- Use fans, without aiming them directly at fragile objects.
- Use portable dehumidifiers and emptying the water collecting chambers regularly.
- Look for hidden areas where water can pool, such as behind items on shelves, or under furniture.
- Remove wet carpets and rugs if necessary.
- Remove any other wet material that does not need to be salvaged, such as stationery or publications.

Do not use heaters as they encourage mould.

Set up tables to dry material on, making sure there is enough space between them for easy movement of people and trolleys. Cover the tables with plastic then butchers' paper, changing the paper regularly to avoid mould growth. Prepare interleaving paper and other

supplies and equipment. Once the records are accessible and the drying area is set up, start removing affected records:

- Clear priority material first.
- Start from the top shelves and work down.
- Keep boxed records in their boxes until they're in the drying area.
- If material is not boxed already, eg books, pack it into crates spine down, interleaving with freezer paper. Don't pack too tightly.
- Use trolleys to move the records, as wet records will be heavy.
- Document which material moved, where it came from and where it went.
- Attach labels or other identifiers to the material.
- Wrap burnt or charred material for transportation in strong paper or manila folders. It may be necessary to freeze burnt material.

Water-affected material will never be 'as good as new'. It will be distorted and stained, inks will have run and bindings will have swollen. But if dried as described below by format, this damage will be minimised. When you are sure the material is dry (which may take up to a week) there is still much work to do.

The material needs to be checked for damage and decisions made as to what is retrievable and what is not. If anything is dirty the dirt should be carefully brushed away with a soft brush. The material should then be placed in new packaging and returned to storage. You should also at this point ensure that the cause of the original flood has been dealt with. If this proves impossible the material should be moved to an alternative storage area.

5.11 Treatment methods by format

See also *Disaster Planning for Cultural Collections*, by Art & Archival, 2006. A copy is on Senior Archivist's bookshelf.

Paper records

General guidelines for handling water-affected paper items:

- ✘ Don't unfold or separate individual pages while they are still wet.
- ✘ Don't press saturated books or documents to remove water. Pressing can damage book structures and force dirt and mud into the paper.
- ✘ Don't overturn boxes to remove material.
- ✘ Don't wipe dirt or mud from wet paper. Don't
- ✘ blot water-soluble media.

- ☑ Replace the blotting paper on work surfaces when it starts getting wet. Regularly
- ☑ remove all wet paper from the drying areas to help reduce humidity. Support wet
- ☑ items at all times, either on a board or in a tray.
- ☑ Where a lot of material is affected, remove the wettest first to reduce relative humidity.

Paper files

- Lie files on the prepared work surface in a single layer, with enough room between them to open the covers.
- Put interleaving paper in several places throughout each file.
- Once the pages of the file have started to dry out, they can be carefully separated to expose further wet pages, and the interleaving paper replaced with dry paper in different places.
- Keep repeating the above step until the files are dry.
- Remove metal file fasteners as you encounter them.
- Plastic sleeves should be cut open to allow drying of the contents.
- Photographs should not be separated from the files.
- Small items like pamphlets or booklets may be hung over a drying line (remember to document their original location for later replacement).

Loose, unbound material

- Keep single sheet material together and in order at all times.
- If the quantity of affected material permits, air-dry by separating it into small piles (up to 5mm), interleaving with paper towels or blotting paper, replacing when damp, and ensuring items on glossy paper are fully separated or removed for freezing.

Maps, plans and posters

- Generally, wet large-format items should be frozen for later drying and treatment, particularly if relative humidity is above 65%.
- Small numbers of wet large format items can be air-dried.
- If the material is rolled, leave it rolled. If it is flat, leave it flat.
- Transport the item using its housing, eg folders, boxes or drawers. Where this is not possible, transport with some form of support.
- Sponge standing water out of map drawers.
- Remove drawers containing maps and plans from the cabinet, and ship and freeze them stacked.

Books, journals, pamphlets and newspapers

- Don’t remove covers or dust jackets.
- If a volume is wet and open, leave it open. If it is wet and closed, leave it closed.
- Books that are only partially wet, with strong covers, can be stood on end with their pages fanned out.
- Several books may be placed in a circle, cover-to-cover, with the spines in the middle and the covers pegged together with clothes pegs to form a stronger structure.
- Turn them up the other way after a while, and check regularly to make sure the covers are not starting to slump or the text blocks are not pulling out of the covers.
- Volumes that are too wet to stand should be dried flat.
- Interleave every 10 pages or so with blotting paper, paper towel or butchers’ paper.
- The interleaving paper should not increase the thickness of the volume by more than one third; don’t push the interleaving right into the spine.

- As the interleaving paper gets wet it should be replaced, and positioned between different pages in the book.
- Thick wet covers should be isolated from the rest of the book block with sheets of plastic placed inside the covers.
- Books on coated paper should either be frozen immediately, or every page interleaved and fanned out.

Photographs

Daguerreotypes and other early photographic formats: Salvage first and air-dry immediately, as both immersion and freezing will destroy the emulsion.

Nitrates with softening emulsions: Freeze immediately and make arrangements to freeze dry. Emulsions are water-soluble and could be lost.

Albums: Handle as for books and journals, but freezing should be avoided.

Glass plate negatives and glass lantern slides: Air-dry as soon as possible. Do not freeze.

Prints, negatives, and transparencies: Salvage colour photos first, then black and white prints, then black and white negatives and transparencies. If possible, air-dry. If not, pack and freeze.

To air-dry photographs:

- Remove photos from their enclosures, but keep the enclosures with the photos, or transcribe information to a new piece of paper.
- Place photos in a tub of cold, clean water.
- Separate any that are stuck together.
- Dislodge any dirt by gentle agitation of the water.
- Lie the images face up on kitchen towel.
- Don't put anything on top of the photos while they are wet.
- If the photographs have borders, they can be pegged by the borders onto a drying line. This will stop water pooling on the surface and causing drying rings.
- Don't touch the image surface while they are wet.

If the photos cannot be attended to within 48 hours, they should be frozen in small bundles straight after removal from the disaster area. A freezing process that is very fast, such as blast freezing, should be employed. Once you have more time, the photos can be thawed in manageable lots and air-dried.

Audiovisual and magnetic media

Magnetic formats may have copies housed elsewhere. The existence of any copies should be checked before recovery is attempted.

Magnetic media should be air-dried as soon as possible. If the material is soaked from the disaster, but cannot be dried within 24 hours, it should be immersed in clean cold water, until it can be dried. It should not be frozen or freeze-dried.

Reel-to-reel tapes should be left on their reels. If the reel has flanges, these can be gently separated from the reel with small wedges to enable airflow between the reel and the flange to prevent the tape sticking to the flange. If there are no flanges and the tape is only wound onto the hub, great care needs to be taken when handling the reel to ensure it doesn't collapse sideways off the hub. Always handle the reel vertically, and hang the reel by the hub to air-dry. If the tape is evenly wound, with no loose bits of tape poking out of the reel, the edges of the reel can be blotted with a lint-free cloth. If possible, use a tape-cleaning machine, where the partially dried reels can be run through the machine, over the cleaning tissues, but not the blades.

Audio and videocassettes should be removed from their cases, as the tape itself may not be wet. If it is, the tape should be removed from the cassette and treated as for reel-to-reel tape.

Motion picture film: Check each film, as although the container is wet, the contents may be dry. If the film is wet, leave the film in its container, fill the container with cold clean water, pack into watertight containers, and send to a film-processing lab for treatment.
Floppy disks can be air-dried in their jackets if they are just damp on the outside, but if the water has penetrated the jacket, remove the disk itself from the jacket, air-dry it, then place it in a new jacket and copy it as soon as possible.

All magnetic media that has been through a disaster should be copied as soon as it is dry. Inherent deterioration of the media will probably have been worsened by the disaster, so the potential life span will have shortened. Any copying of floppy disks should be done on an expendable hard drive, as it is likely to be damaged by the copying process.

Microforms

If backup copies exist, damaged media can be destroyed and replaced.

Microfilm rolls: Rewash and dry within 48 hours. Leave the films in their boxes, fill boxes with water, and pack (in blocks of five) in boxes lined with plastic bags. Do not allow film to dry out. Arrange for a microfilm processor to rewash and dry.

Aperture cards: Freeze (then thaw and air-dry as convenient) or air-dry within 48 hours, keep wet in a container lined with plastic bags, then peg cards up for drying.

Diazo microfiche: Pack, freeze, and make arrangements to air-dry.

Textiles

- Consult a professional textile conservator.
- If you have to move wet textiles, make sure they are fully supported.

- Do not try to unfold fabrics if the layers are stuck together – wait until the conservator arrives.
- Remove excess water with dry towels, blotting paper or blank newsprint – do not wring or twist.
- Don't stack textiles during the drying process.
- Reshape the item into its original contours while it is still damp.
- Air-dry indoors with the lights on to inhibit mould growth.
- Circulate the air with air-conditioning, fans and open windows.
- Use a dehumidifier in the room and drain the collecting container often.
- If items are to be freeze-dried, pack flat in crates or boxes and interleave with plastic sheeting to prevent colour transfer.

5.12 What to do about mould

If material has been damp for a long time before recovery, or if too long is taken to dry it out, mould can start to grow. Mould can be a health risk to staff, especially for people with a history of allergies and respiratory illness. Depending on the scale of the outbreak, you should provide staff with masks to use when handling the records. Rapid drying and proper ventilation are both extremely important when dealing with mould-affected records.

Once the mouldy material is dry you may need to consider fumigation, or at least a program of cleaning and bagging the affected pages. Another option you could consider, depending on the circumstances, is to photocopy the material and destroy the original.

5.13 Restoring the site

After the initial clean up and removal of collection materials has been completed, assess the extent of damage to the building, furniture and fittings and plan the repair of the site. The Senior Archivist should liaise with Facilities and Services about equipment and facility requirements and the location of any external facilities, eg locations to which materials should be transported for drying, freezing etc.

Once material has all been stabilised, plan the longer-term restoration of the materials and the ultimate return of materials to the repository site. Remember that walls and concrete floors can remain damp inside for a long time after they are dry to touch. If they are painted or carpeted before drying completely mould can develop.

After collection materials have been removed, arrange for the affected areas to be thoroughly dried and cleaned using professional services if required. Contact Facilities and Services to arrange the cleaning, repair or replacement of damaged items such as carpet, cupboards, shelving and other furniture and discuss the need for any internal building reconstruction work. Cupboards, shelving and surfaces should be wiped down with a fungicide to control mould (do not reshelve materials for at least 7 days after fungicidal treatment).

Carpeting and underfelt must be thoroughly dried to prevent mould. This may necessitate lifting and removing the carpet by professional carpet layers. Smoke odour may also need to be removed by professional cleaners.

Assess the extent of damage to the area and estimate the monetary value of the rehabilitation process. The Insurance Office should be informed of this value, for insurance purposes.

Restock the disaster recovery bins within one week of the site being restored.

5.14 Restoration of the collection

The restoration of the collection will include:

- Monitoring operations in the air-drying treatment areas and processing materials for return to original locations
- Treatment of fire-damaged items
- Treatment of frozen materials
- Treatment of any physically damaged materials.

Fire-damaged material
For fire-damaged paper items, if charring is slight, pamphlets, paper files and similar items may be photocopied, while books and other bound items may be trimmed and rebound. If in doubt seek advice from the conservator.

Frozen material
After material has been frozen below –20ºC for at least 48 hours (to retard the growth of mould) and as air-drying space becomes available, the restoration of frozen materials can commence:

- Unpack collection materials and inspect the condition of the file cover. If the file cover is not too damaged or too wet, the file can be dried with its cover open to enable air to reach the contents.
- If file covers are too damaged to keep, the contents should be dried and placed in a new manila folder. Any information on the outside of the original file cover should be transferred to the new folder.
- Collection material should be spread on tables for air-drying.
- Any rolls of large format material (eg maps) that have been frozen should be recovered by conservators experienced in handling large format material.

Physically damaged materials
Physically damaged materials should be assessed on a case-by-case basis to determine if professional restoration is required. If no extra treatment is required, return to original location. If conservation treatment is required, consult a conservator about the process and costs involved. The University Archivist will need to be consulted about the value of the material considered for conservation work before such work begins.

6. EVALUATION

For major disasters, a detailed post-emergency assessment should be carried out to determine the causes of the emergency, the extent of loss and damage, and successes and failings. A report may also be required for insurance purposes.

All members of the team should have input to the post-disaster assessment process. A report should be written by the Senior Archivist including details on the following:

- Cause of the disaster
- Identification and location of items damaged, repaired, replaced, or discarded
- Staff time expended during the salvage operation
- Availability of external resources to assist with salvage
- Cost of rehabilitating the affected areas
- Cost of equipment and supplies
- Usefulness and relevance of existing disaster recovery procedures including this manual and its forms and templates
- Notable successes and failings at each stage of the recovery process.

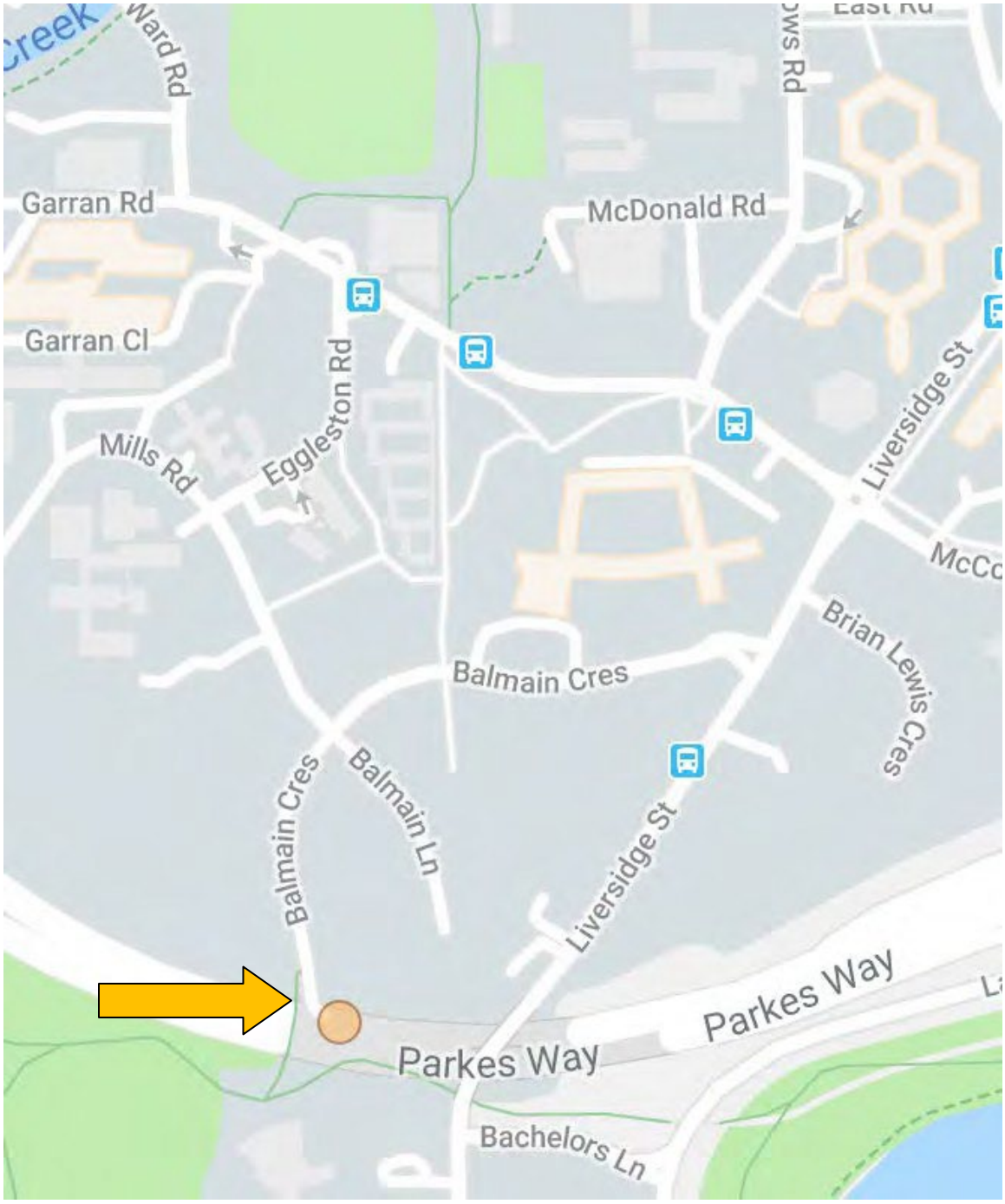
The report should make recommendations for any improvement to collection management procedures and propose changes to the manual where necessary. The report should have a summary of lessons learnt that can be made available for other institutions to learn from via publishing in an appropriate newsletter or website.

The contents of emergency bins should be reviewed. Any consumables used during the recovery operation should be replaced and recommendations for additional supplies actioned.

The area affected should be monitored for at least one year after the event to make sure that there are no ongoing problems, such as leaks and the development of mould.

For minor or moderate disasters, use the table in section 10 *Previous disasters*.

7. ACTON UNDERHILL (BUILDING 76)

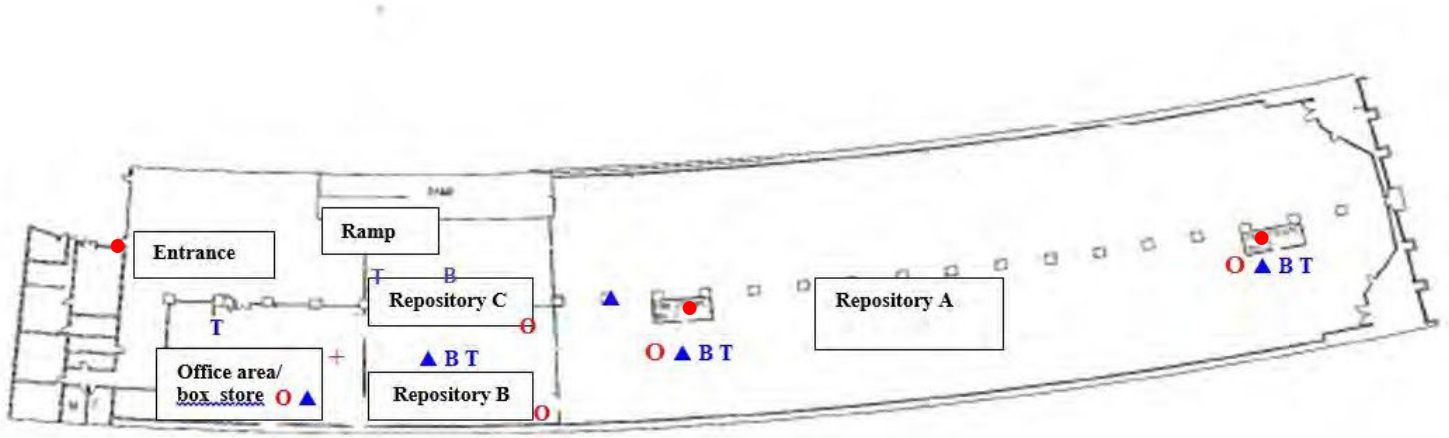


Acton Underhill (Building 76) is at the end of Balmain Crescent.

Balmain Crescent

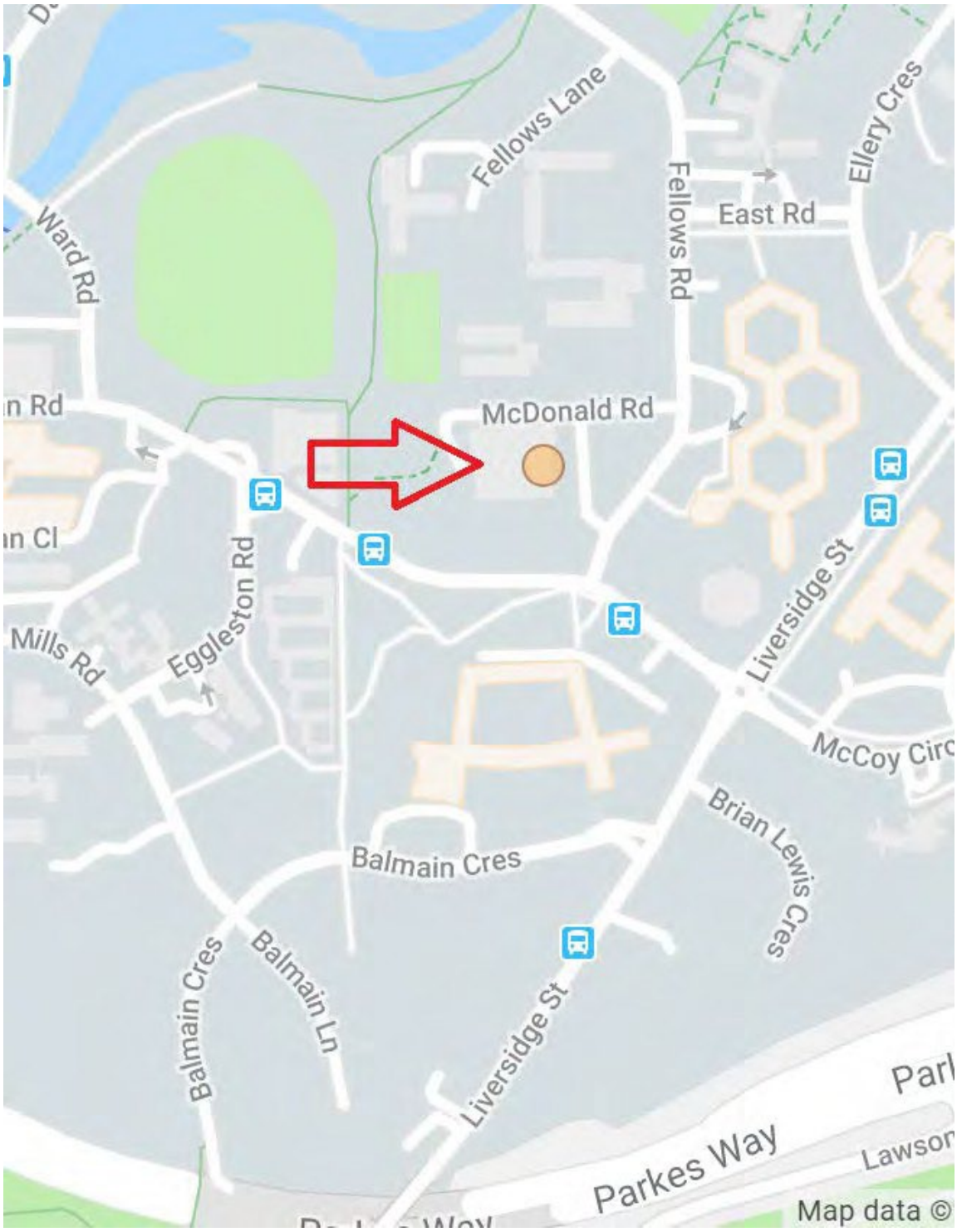
Entrance to Acton Underhill (Building 76)

Archives repositories, Acton Underhill



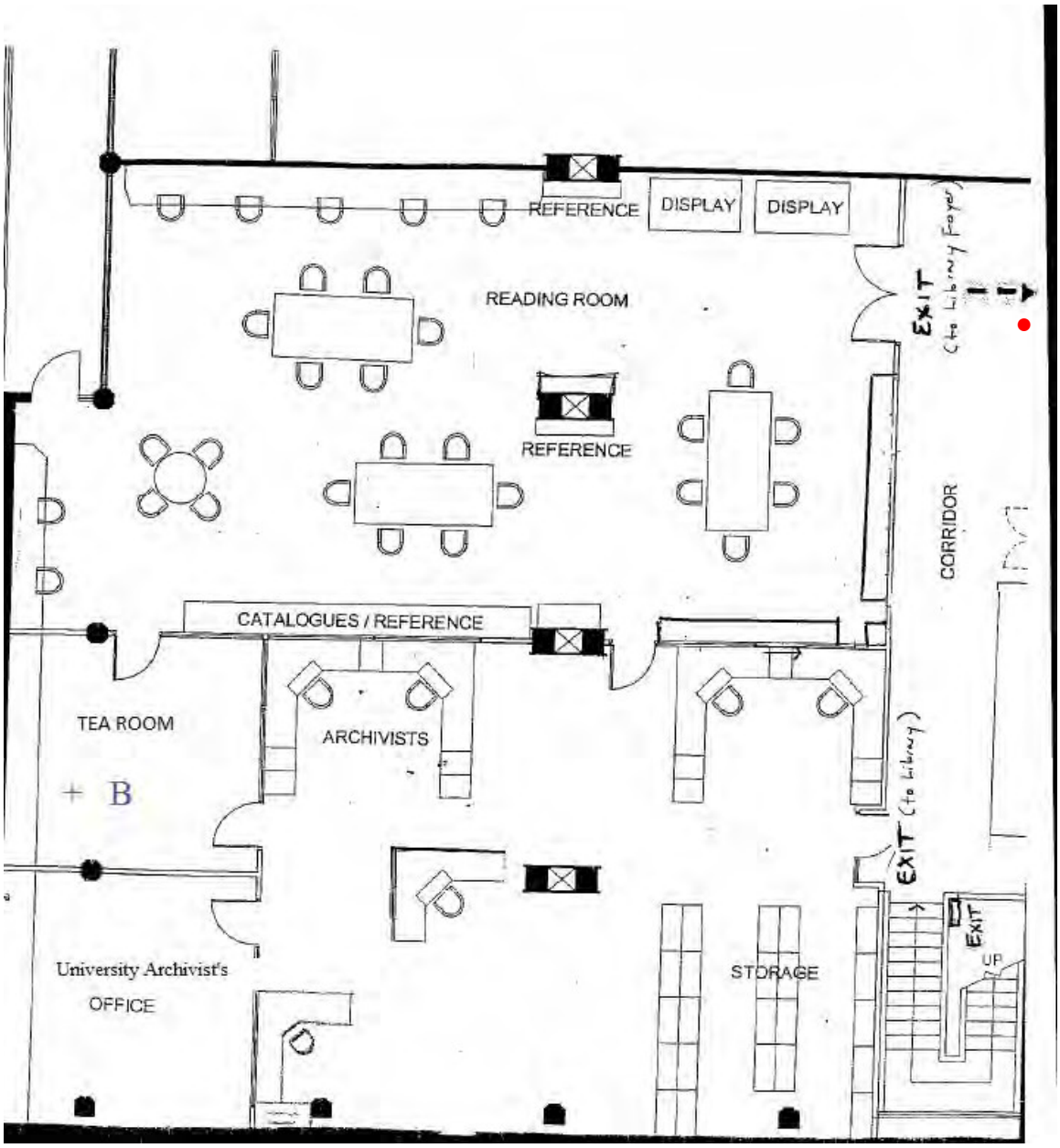
First Aid +
Fire exits ●
Fire extinguisher O
Telephones ▲
Disaster recovery Bin B
Torch T

8. MENZIES BUILDING (BUILDING 2)



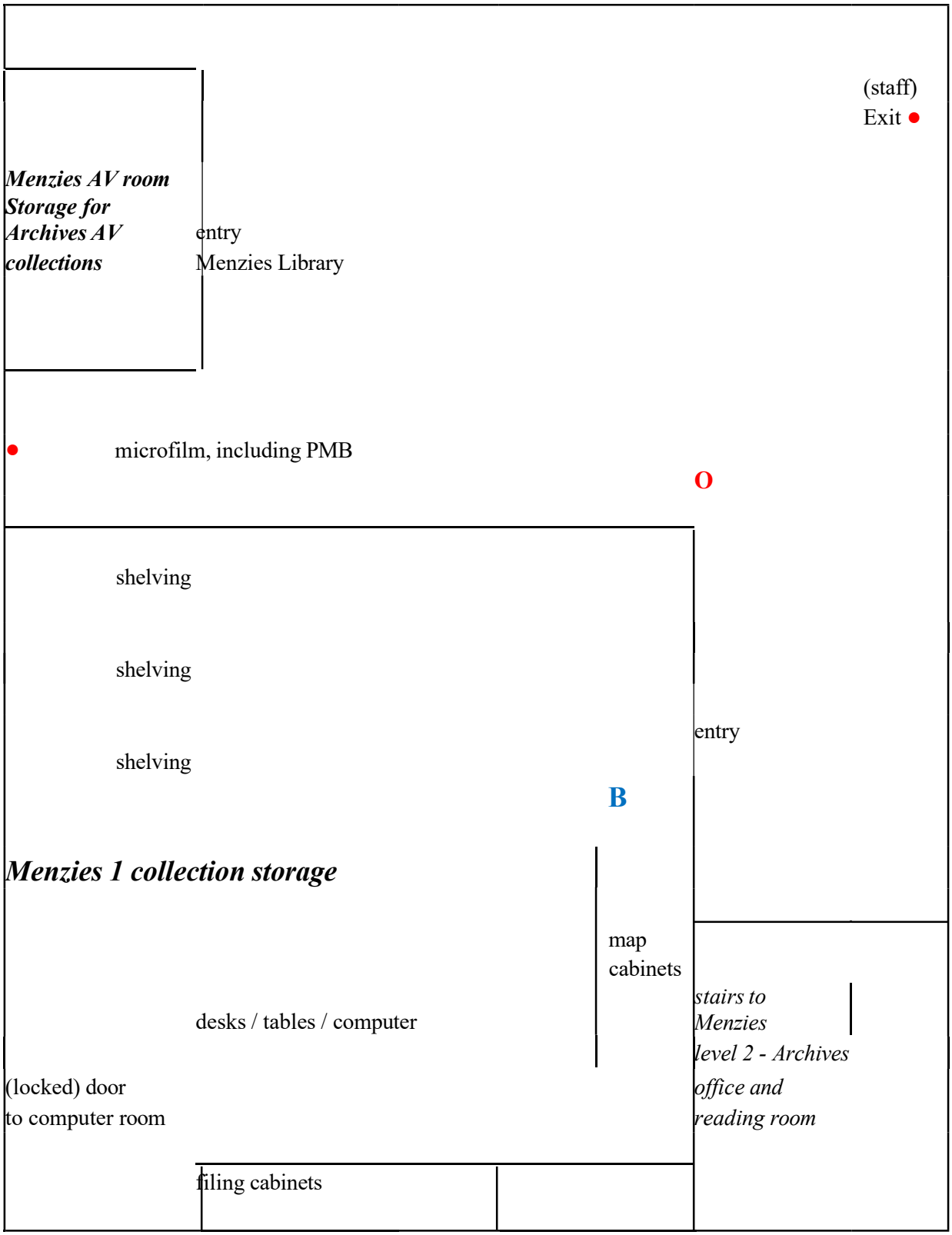
The Menzies Building (Building 2) is located in Fellows Road, near the intersection with Garran Road. By road it is accessed via McDonald Place.

Menzies Building (Building 2)



Archives area, Menzies Building Level 2

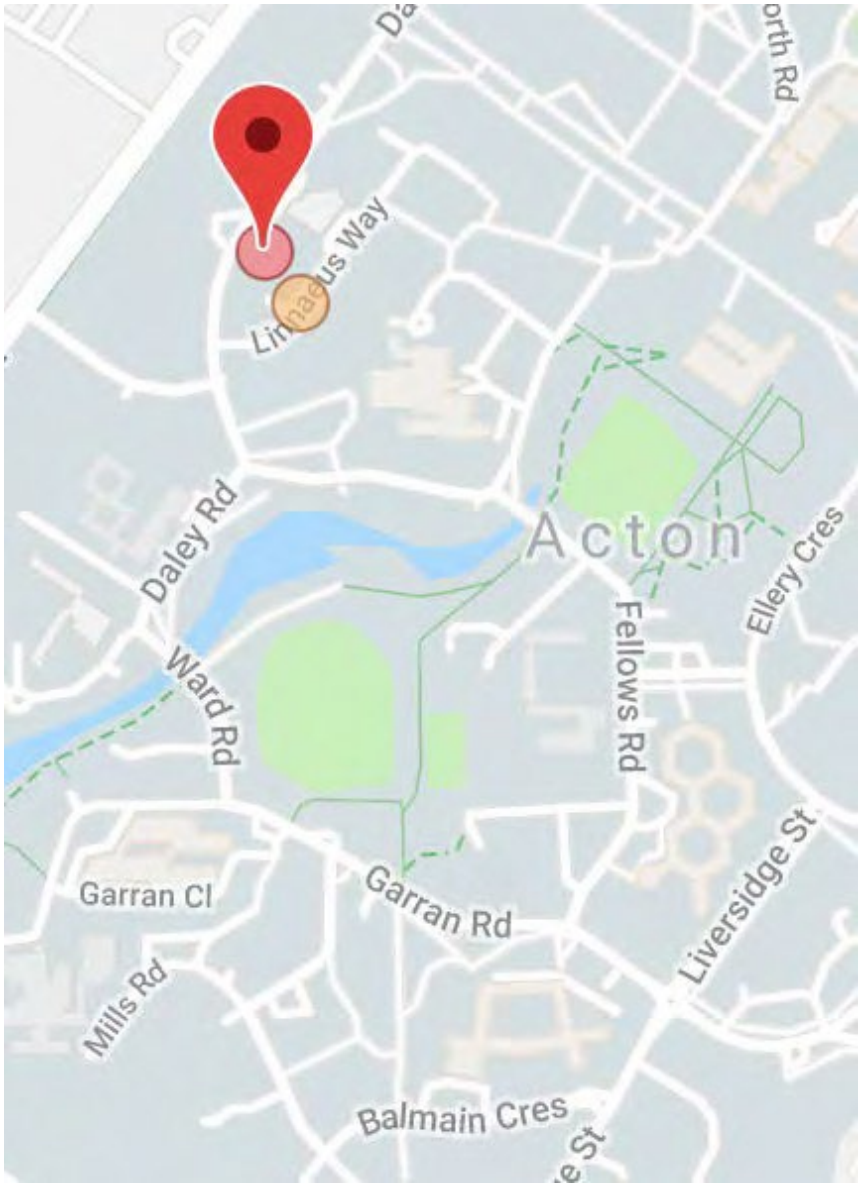
First Aid +
Fire exits ●
Fire hose reel **O** Disaster recovery bin **B** Torch **T**



Archives areas, Menzies Level 1 (lower floor) - not to scale

9. D.A. BROWN BUILDING (BUILDING 47)

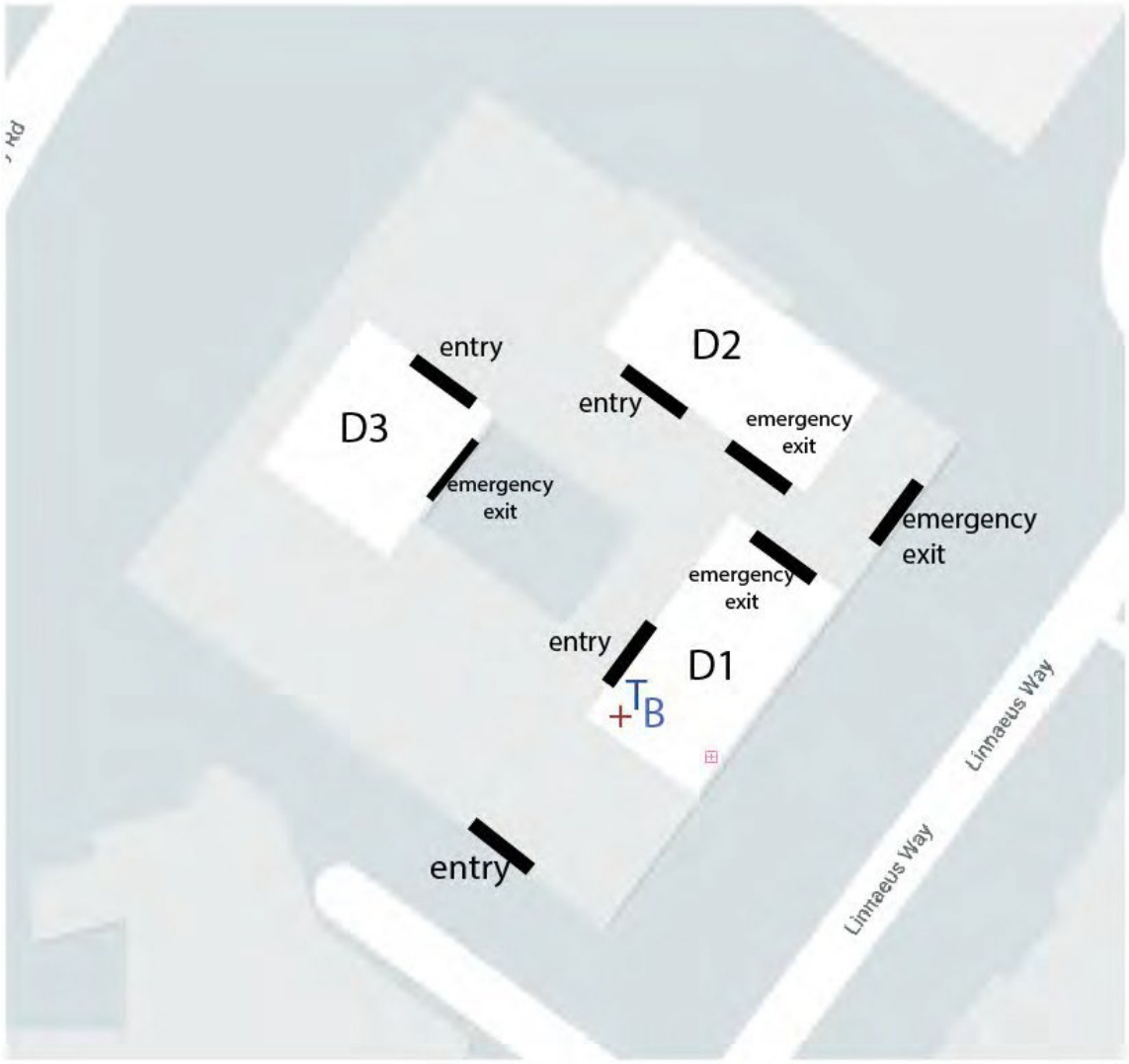
47 Linnaeus Way
Enter from Linnaeus Way side of building (ground floor).
Enter from left hand side of building if looking from Linnaeus way




Google

There are three repositories at D.A. Brown. D1, D2 and D3, all on the lower (ground) floor of the building.

Archives repositories, D.A. Brown building (not to scale)



First Aid +
Disaster recovery bin **B**
Torch **T**

When and what happened	Effects	Actions taken	Outcomes / lessons learned
Monday 4 February 2019 Heavy evening rain (38 mm), with wind	• Moderate flooding in Menzies Library due to overflow from blocked storm water drains. Affected lower floor (Level 1) only, water 1 inch deep. Did not affect Archives storage or reading room. Damage to some library material. Chifley Library level 4 also soaked. • Water overflowed from storm water drains outside tunnel entrance. Water flowed under roller door and under door to office. Puddles of water in repository A and B (one small puddle only), carpet in office soaked to approximately 3 metres into office. No collection material affected (some boxes were splashed). • Water flowed into Repository A from lift well. Appears to be combination of wind and rain. Puddled under Rows 296, 297 and 298. Some boxes on bottom shelves splashed but water did not penetrate boxes.	• On hard floors in Repository A, B and C puddles mopped up manually and with Floodsax. • Wet vacuum used on carpet in office – helped but did not completely dry it • Boxes moved from bottom shelves of bays with water underneath, so that shelves could be lifted for water to be thoroughly dried and aired • Archives fans all used in Office and Repository A, until equipment arrived from Disact. • Sent email to Disact list asking for loan of fans. NAA loaned 2 dehumidifiers, NFSA loaned 3 industrial fans. These were set up in Office and Repository A and used for approximately 5 days. • Specialist contractor F&S engaged by Library to deploy dehumidifiers and fans in Menzies. • Anti-bacterial solution applied to carpets and floors in Menzies and Tunnel day or two later	• Facilities & services division to commission report of the stormwater with CCTV of all stormwater surrounding Stanner • Facilities & services develop project brief to look at all hard landscaping at Crawford/Stanner and to address overland flow requirements • Confirms Archives practice of keeping all records off ground • Floodsax were a quick cleanup option, albeit costly (approx. $330 per carton of 20 + GST + delivery) – used most of the supplies in Tunnel, more should be purchased • Disact network was responsive and helpful, transporting the equipment was the most onerous aspect. • In the event of heavy rain and high wind, check Repository A as a priority.

25 February 2018 Heavy rain 164.4mm rain in 48 hours, most within a couple of hours	• Flooding of several ANU buildings including Chifley Library base level • No water reached tunnel repositories		
Approx 2 years before Maggie retired – early 2016?	• Flooding in tunnel • Water blew into kitchen and office at Menzies – possibly via the AC system?	• Unclear if the roof was replaced over Archives office/ reading room or just in another part of Menzies	• Staff injury moving boxes reiterate WHS
Mid November 2015	• Heavy rain caused a drain at the entrance to the repository to overflow and flood the office area and some of the repository • No records affected		• Keeping records off floor
February 2007 'Super cell' storm	• Water was swept under the external doors and drains in the entrance were blocked by debris (including hail), causing minor flooding in the office area, Repository B and Repository C. • Water flowed under map cabinets in B via the office • Menzies Library box gutters leaked including above archives reading room	• Carpet in Acton Underhill office was replaced	• Note wall between office and map cabinets in B is not water tight

ANU Archives

BUSINESS CONTINUITY PLAN

INTRODUCTION

The University's Emergency Management Strategy requires all University areas to have a Business Continuity Plan (BCP).

DEFINITION OF BUSINESS CONTINUITY PLAN

Business continuity is defined as limited return to business operations. This is the interim step in the return to business as usual and may include limited teaching, research and administration activities.

The immediate response to any campus disaster will be managed in accordance with the provisions of the Emergency Management Strategy. This Plan is designed to minimise the risk to human life and the loss of valuable operational data. However, once the immediate impact of any disaster has been handled and the environment is stable, there is a need to establish some return to business operation.

REVIEW OF BCP

This BCP will be reviewed for currency at least every two years. Where there has been a significant operational change, such as the introduction of new technology, the BCP should be reviewed as part of the introduction.

-o0o-

ANU ARCHIVES

Each Archives staff member will be provided a copy of the BCP as part of the Disaster Recovery Manual. An electronic copy is held on ERMS

NAME AND CONTACT DETAILS	ROLE	RESPONSIBILITY
Kathryn Dan x59602	University Archivist, Archives Program	Coordination of operational aspects of recovery of Archives Program services
Sarah Lethbridge x55919	Senior Archivist, Archives Program	Coordination of operational aspects of recovery of Archives Program services in relation to the Archives Repository (Acton Underhill, Building 76 and Brown Building, Building 47)

CRITICAL NEEDS INVENTORY

The Critical Needs Inventory is an up to date register of critical needs within the work environment, including at risk vital records. The objective is to have available at all times an inventory of the work environment, which would steer efforts to reconstruct the work environment following a disaster.

Critical needs	What needs to established in order for operations to recommence?
Critical equipment, supplies and materials required	1. Telephones
	2. PCs/printers
	3. Disaster recovery bins (located in repository containing supplies and equipment for dealing with disasters, eg flooding)
	4. Specialist equipment such as dehumidifiers
	4. Archival supplies such as archives boxes
Critical system requirements	1. Z drive on 'Megadisk' – access to Location Register and Procedures
	2. Internet site http://archivescollection.anu.edu.au/index.php/- for access to Database
Critical documentation, procedures manuals and materials.	1. Disaster Recovery Manual • hard-copies in yellow binder issued to all Archives staff, building custodians for Buildings 2, 47 and 76, Chief Fire Warden, Building 2, and ANU Security • soft-copy on ERMS
	2. Database • http://archivescollection.anu.edu.au/index.php/ •
	3. Location Register • Atom (database) is master source • soft-copy at: X:\Archives\Private\Location Lists
	4. Operational and administrative procedures • hard-copy in Archives office area • on ERMS • soft-copy at: Z:\Archives\Private\Procedures

KEY RESOURCE DESCRIPTIONS

Resource	Description
Staff	Apart from existing staff, specialist conservators would be required to advise on damage to records and carry out emergency and ongoing treatment
Archival supplies	Stocks of archives boxes and other archival supplies are on hand, but depending on extent of damage additional stocks may be required
Specialist equipment	Depending on nature of disaster, specialist equipment would be needed, eg dehumidifiers, pumps, freezers, wet/dry vacuum cleaners. (some of this equipment would be available from the DISACT Network)

PRIMARY (CRITICAL) BUSINESS ACTIVITIES

BUSINESS ACTIVITY	RESOURCES NEED TO CONTINUE ACTIVITY IN SHORT TERM	CRITICAL DATES/TIME OF YEAR	Consequence of Occurrence 1 =Low 5 =High	Maximum Acceptable Outage (MAO)
Reference enquiries from ANU general staff	• Staff resources needed to deal with urgent enquiries • Access to database and Z drive for item lists • Safe access to archives repository	As required by VC, other senior staff and administrative units	Depends on nature of enquiry, for legal cases 5, for routine 2	2 days
Reference enquiries from ANU academic staff and students	• Staff resources needed to deal with urgent enquiries • Access to database and Z drive for item lists • Safe access to archives repository	As required by staff and students, according to thesis and assignment deadlines	Depends on nature of enquiry	1 week
Loan requests from depositors	• Staff resources needed to deal with urgent requests • Access to database and Z drive for item lists • Safe access to archives repository	As required by the owners of the records – subpoenas and legal cases are critical, efficient service to paying customers crucial	Depends on nature of enquiry, for legal cases 5, for routine 2	2 days
Preservation of records at risk from disaster	• Specialist conservators needed to deal with damaged records • Access to database and Z drive for item lists • Safe access to archives repository • Access to specialist facilities for freezing, drying and repairing records	As determined by nature of damage and format of records	5	1 day

SECONDARY AND ROUTINE BUSINESS ACTIVITIES

BUSINESS ACTIVITY	RESOURCES NEED TO CONTINUE ACTIVITY IN SHORT TERM	CRITICAL DATES/TIME OF YEAR	Consequence of Occurrence 1=Low 5=High	Maximum Acceptable Outage (MAO)
Reference enquiries from general public	• Staff resources needed to deal with urgent enquiries • Access to database and Z drive for item lists • Safe access to archives repository	As required by users' deadlines, eg publication and broadcasting deadlines	2	1 month
Other operational activities	• Staff resources to undertake operational work • Access to database and Z drive for item lists • Safe access to archives repository	Activities such as collection, appraisal, and processing of records, outreach activities and participation in university and other community events can be postponed as required	2	1 month