



SUSTAINABLE ARCHIVES
& GREENER APPROACHES

State of the Art Report (D2.1)

Understanding Risk Management in relation to Documentary Heritage



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1 – Introduction

1.1 – The SAGA project

The SAGA project (Sustainable Archives and Greener Approaches) seeks to address pressing challenges faced by archival institutions, including the impacts of climate change, natural disasters, and human-made risks. By promoting sustainable practices, disaster risk reduction, and resilience, SAGA aims to safeguard Europe's rich documentary heritage while fostering innovation and transnational collaboration.

The overarching vision of SAGA is to transform how archival institutions approach sustainability and risk management, ensuring the preservation of documentary heritage for future generations. This vision is realized through developing innovative strategies, adopting green technologies, and comprehensive capacity-building initiatives.

Key Objectives:

- **Disaster Risk Management:** Developing proactive strategies to prevent, mitigate, and respond to risks that threaten archival heritage.
- **Sustainability:** Introducing energy-efficient technologies, green infrastructure, and eco-friendly practices to reduce the environmental footprint of archival operations.
- **Capacity Building:** Providing training and resources to archival professionals, equipping them with the tools and knowledge to effectively implement sustainable and resilient practices.
- **Collaboration:** Strengthening networks among archival institutions, policymakers, and cultural organizations to promote best practices and shared learning.

The SAGA project adopts an approach based on transnational cooperation, bringing together a diverse range of entities from Spain, Italy, Hungary, Malta, Portugal, Ireland, and Slovakia. This collaborative effort is designed to leverage the unique expertise and perspectives of each partner to address the challenges of sustainability, risk management, and resilience in the archival sector. By fostering a collective commitment to innovation and sustainability, the project aims to create lasting impact across Europe.

Table 1. Partners of the SAGA project

Partner Name	Type of Entity	Country
Spanish National Archives	Archival Institution	Spain
National Archives of Hungary	Archival Institution	Hungary
National Archives of Malta	Archival Institution	Malta
National Archives of Portugal	Archival Institution	Portugal
Munster Technological University (MTU)	Academic and Research Institution	Ireland
Desarrollo de Estrategias Exteriores (DEX)	Socioeconomic Research Agency	Spain
Historical Archives of the European Union	Archival Institution	Italy
Institute of Molecular Biology (IMB-SAS)	Scientific Research Institution	Slovakia
Foundation for Landscape Protection (FOK)	Environmental and Technical Research Entity	Poland

Through a carefully designed work plan, SAGA engages with stakeholders at multiple levels, leveraging their expertise and perspectives to achieve measurable and lasting impacts. The project's partnership includes leading archival institutions, academic organizations, and sustainability experts, ensuring a comprehensive approach to addressing its objectives.

The SAGA project's work plan is structured into five work packages (WPs) that comprehensively address the project's objectives. WP1 focuses on project management and monitoring to ensure smooth coordination and high-quality deliverables. WP2 addresses risk prevention and disaster risk management by developing innovative strategies to mitigate climate and human-induced risks while increasing institutional resilience. WP3 concentrates on reducing the environmental impact of archives by promoting sustainable practices aligned with the European Green Deal. WP4 is dedicated to capacity building and training, enhancing the skills of professionals in risk management and sustainability, and raising public awareness. Finally, WP5 centres on communication and dissemination, aiming to increase the visibility of the project and foster the participation of key stakeholders. Together, these work packages create a cohesive framework to achieve SAGA's overarching goals of resilience, sustainability, and collaboration in the archival sector.

Table 2. Specific Objectives and Content of SAGA's Work Packages

Work Package	Specific Objectives	Content
WP1: Project Management & Monitoring	Ensure smooth project management and coordination of all related activities.	- Establishment of management tools and partnership agreement.
		- Continuous monitoring through financial and activity reports.
	Monitor progress and ensure the quality of deliverables.	- Organization of regular steering committee meetings.
		- Development of a Risk Management Plan.
		- Risk assessment at 5 pilot sites.

Work Package	Specific Objectives	Content
WP2: Risk Prevention & Disaster Risk Management	Develop innovative strategies to prevent climate and human-induced risks in archival institutions.	- Preparation of a "State of the Arts" report.
	Increase institutional resilience.	- Design and test action plans and risk management policies.
		- Sharing of best practice guidelines with European partners.
WP3: Archives Greening	Reduce the environmental impact of archives and promote sustainable practices aligned with the European Green Deal.	- Diagnosis of energy consumption and waste management in archival institutions.
		- Creation of an environmental self-assessment tool.
		- Development of a sustainability strategy for archives.
		- Pilot implementation of eco-friendly merchandising using recycled and sustainable materials.
WP4: Capacity Building & Training	Enhance the skills of professionals in risk management and sustainability.	- Organization of hybrid workshops and multilingual digital courses on risk management and sustainable practices.
	Raise public awareness on these topics.	- Development of accessible educational materials for a wide audience.
WP5: Communication & Dissemination	Increase the visibility of the project and foster the participation of key stakeholders.	- Creation of a communication plan and a visual brand identity.
		- Development of audiovisual content and communication campaigns.
		- Organization of hybrid exhibitions and public events to disseminate project outcomes.

1.2 – Objectives of the document

This document provides a comprehensive framework for analyzing and interpreting the results of the SAGA project survey on risk management practices in archival institutions (see Annex 1). The document aims to:

1. **Define the Scope and Methodology** – Clearly outline the objectives of the survey, the methodology adopted, and the key areas of focus in assessing the state of digital preservation and risk management practices among archival institutions.
2. **Present Key Findings** – Summarize and interpret the survey results, highlighting significant trends, challenges, and best practices identified across participating institutions.

3. **Facilitate Benchmarking and Comparison** – Enable archival institutions to compare their practices and preparedness levels against the aggregated data, fostering an informed approach to risk management and disaster preparedness.
4. **Provide Actionable Insights** – Offer recommendations based on survey findings to support institutions in enhancing their risk management strategies, improving digital preservation frameworks, and addressing identified gaps.
5. **Support Policy and Decision-Making** – Assist stakeholders, including policymakers and institutional leaders, in formulating evidence-based policies and strategies that reinforce the resilience of documentary heritage.

2 – Survey Methodology

This analysis is based on a survey conducted among archival institutions across several networks (SAGA members, Icarus, EAG, IIAG, Eurbica, Archives Portal Europe, Eudia, IIAS), from 9th December 2024 to 31st January 2025. The survey comprised a mix of multiple-choice questions (total 39), rating scales, and open-ended questions. Total respondents: 49.

The questions were designed to gather information on key areas related to risk management and disaster preparedness. To facilitate a clear and structured presentation of the survey results, the data analysis is organized into the following sub-chapters:

- **Institutional Profile (Questions 1 – 5):** This section provides background information questions about participating institutions, including their type, primary focus, size of physical documents managed, and staff size.
- **Risk Perception & Prioritization (Questions 6 – 7):** This section examines how institutions perceive and prioritize various risks to their documentary heritage.
- **Disaster Preparedness & Resource Allocation (Questions 8 – 10):** This section analyzes the institutions' preparedness for disasters and how they allocate resources for risk management.
- **Use of Digital & Technological Tools (Questions 12 – 13):** This section explores the use of digital and technological tools in disaster prevention and protection.
- **Risk Management Practices (Questions 14 – 20):** This section assesses the institutions' risk management plans and practices.
- **Quality Assurance and Risk Mitigation (Questions 21 – 24):** This section evaluates the quality assurance mechanisms used to ensure the effectiveness of risk management strategies.
- **Climate Change and Sustainability (Questions 25 – 28):** This section investigates how institutions address climate change risks and sustainability.
- **Collaboration and Training (Questions 29 – 35):** This section examines collaboration with other organizations and training initiatives for disaster preparedness.
- **Continuous Improvement and Future Planning (Questions 36 – 37):** This section focuses on ongoing improvement efforts and future planning in risk management.

Please note that the question numbers referenced in the sub-chapter descriptions may not strictly correspond to their original order in the survey questionnaire due to analytical organization.

Each of these sub-chapters presents a detailed analysis of the survey responses, utilizing:

- Descriptive statistics (e.g., frequencies, averages) for quantitative data.
- Thematic analysis and word cloud generation for qualitative data.

- Categorization of open-ended responses to identify key trends and challenges.

The findings are presented using a combination of figures (graphs and charts) and tables to enhance clarity and visual representation. Each figure is preceded by a title that includes the question being addressed, ensuring a direct link between the visual and the survey instrument involved. Word clouds are used to provide a visual summary of textual data, with the size of words corresponding to their frequency in the responses.

The analysis aims to provide a comprehensive and easily navigable presentation of the survey data. The structure allows readers to locate information relevant to their specific interests quickly.

For any further inquiries, please refer to the Annex I – Questionnaire.

3 – Data Analysis

This chapter presents a detailed analysis of the survey data, providing insights into the current state of risk management and disaster preparedness among the participating archival institutions. The analysis is organized into nine sub-chapters, each focusing on a specific aspect of the survey. These sub-chapters explore institutional profiles, risk perceptions, preparedness and resource allocation, the use of digital tools, risk management practices, quality assurance, climate change considerations, collaboration, and continuous improvement.

Each sub-chapter includes a combination of quantitative and qualitative data analysis. Quantitative data is presented using descriptive statistics and visual aids, such as figures and tables, with figure titles derived directly from the survey questions. Qualitative data is analyzed to identify key themes and trends, often visualized through word clouds. This structure allows for a comprehensive yet focused examination of each key area, providing a nuanced understanding of the challenges and best practices in archival risk management and disaster preparedness.

3.1 – Institutional Profile

This section lays the groundwork for understanding the context of the survey results by examining the characteristics of the participating archival institutions. It delves into their organizational structure, including the type of institution (e.g., national, regional, academic), the primary focus of their work (e.g., archival preservation, records management), and their scale, measured by the size of their physical document holdings and staff. The role in the organization of the people filling out the survey is also considered. This analysis provides essential background information for interpreting the subsequent data on risk management and disaster preparedness practices.

Here below, you can find a detailed data analysis for each question in this section.

Please indicate the type of your institution

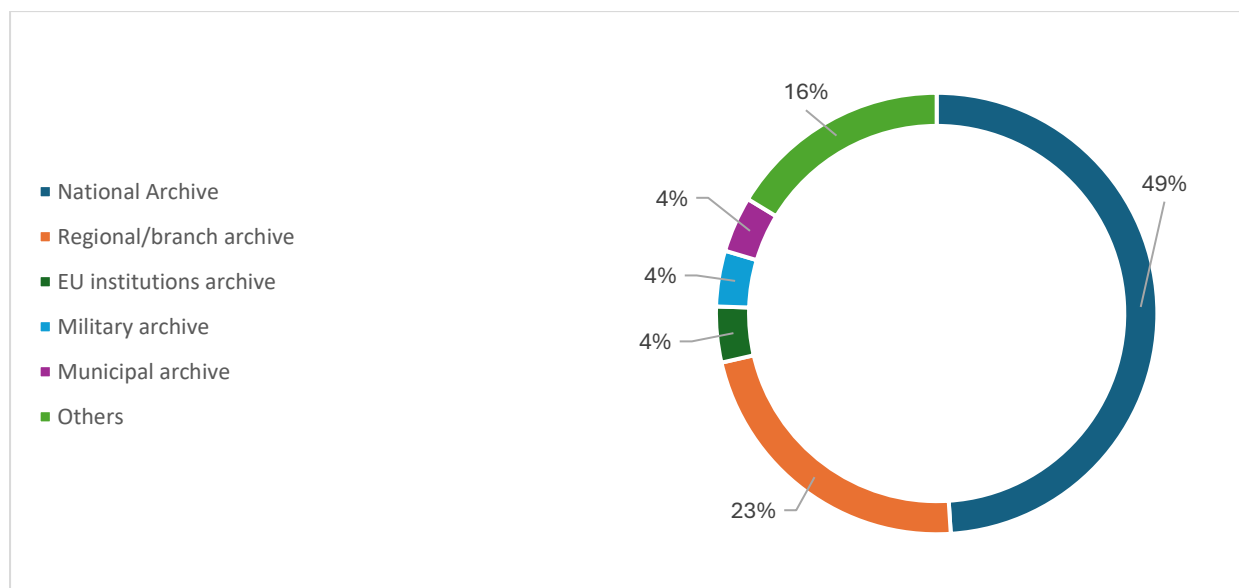


Figure 1 - Type of institution

Figure 1 illustrates the distribution of respondent institutions by type. A significant portion, nearly 50%, are national archives, indicating their strong representation in this survey. Regional archives constitute the second-largest group at 22%, highlighting the importance of regional archival networks. The remaining institutions fall into the 'Others' category, encompassing a variety of institution types such as libraries, private archives, specialized collections, and academic archives.

The survey also demonstrates a broad geographical reach, with respondents from 27 different countries, including 23 within the EU and 4 outside. The highest participation rates were observed from Czechia (9 responses) and Portugal (7 responses). While this distribution points to a reasonable regional spread, it also reveals potential gaps in coverage, suggesting that certain regions may be underrepresented. Furthermore, the survey includes participation from members of key archival organizations, with eight respondents belonging to the EAG Group and seven to ICARUS. This affiliation suggests that the survey captures insights from institutions actively engaged in international archival collaboration and standards development.

The strong representation of national archives suggests that findings may be most directly applicable to national-level practices. However, the diversity within the "Others" category underscores the need for adaptable solutions. The uneven geographical spread indicates a need for future efforts to achieve more balanced representation, ensuring broader applicability of research outcomes. Strengthening collaborations with international bodies can foster wider participation and knowledge sharing, addressing potential biases and enriching the global archival community.

What is the primary focus of your institution?

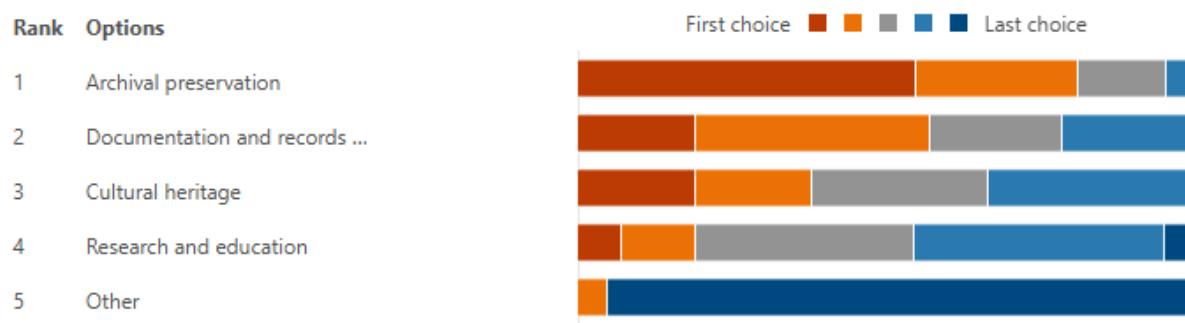


Figure 2 - Primary focus of the Institution

Figure 2 reveals the primary focus of the surveyed institutions, highlighting a clear emphasis on archival preservation. This indicates a strong commitment to the physical care and long-term sustainability of archival materials, which is fundamental to the mission of these institutions. Documentation and records management also emerge as highly important, underscoring the institutions' dedication to organizing, managing, and maintaining records in a systematic and efficient manner. The preservation and promotion of cultural heritage are recognized as necessary functions, reflecting the institutions' role in safeguarding cultural artifacts and knowledge for future generations. In contrast, research and education, while acknowledged, are generally considered less central to the institutions' primary focus compared to preservation and management activities. Finally, the 'Other' category receives the lowest importance ranking, suggesting that any focus areas not explicitly listed are not typically prioritized by these institutions.

The prominent focus on archival preservation and records management confirms the core mission of these institutions. To build on this strength, institutions should continue investing in best practices in these areas. Simultaneously, given the recognition of cultural heritage preservation, there's an opportunity to enhance the connection between archival holdings and user communities by developing strategies to improve access for research and education and by actively engaging the public to promote awareness of the cultural value of archives.

How many physical documents does your institution manage?



Figure 3 - Size of physical documents

Figure 3 illustrates the distribution of institutions based on the size of their physical document holdings, revealing a significant range in collection sizes. A small fraction, 4%, of institutions manage relatively small collections of less than 10,000 records. A slightly larger proportion, 12%, hold between 10,000 and 100,000 records. However, the vast majority, 78%, of institutions are responsible for managing extensive collections of over 500,000 records.

The wide variation in holdings size implies that institutions face diverse challenges. This highlights the need for differentiated approaches: developing tailored guidelines and promoting scalable technologies to optimize storage and management, ensuring that all institutions, regardless of size, can effectively preserve their collections."

What is the size of your institution's staff?



Figure 4 - Size of institutional staff

Figure 4 presents data on the size of institutions' staff, revealing a relationship between staffing levels and the extent of document holdings. Institutions managing more extensive holdings typically have larger and more dedicated staff, reflecting the increased resources required for managing and preserving larger collections. In contrast, smaller institutions often rely on part-time staff or volunteers, which may impact their capacity for comprehensive archival management. Furthermore, a correlation exists between institutional resources and preparedness, as institutions with more extensive holdings are more likely to report having structured risk management strategies in place. In contrast, smaller institutions often lack such formalized plans. This suggests that resource availability plays a critical role in an institution's ability to mitigate risks and ensure long-term preservation effectively.

These findings underscore that staffing and resources are critical determinants of an institution's capacity. To address the challenges faced by under-resourced institutions, particularly smaller ones, it's essential to advocate for increased funding and staffing support. Concurrently, providing training, promoting collaboration, and resource-sharing can help all institutions, regardless of size, to develop robust risk management strategies and ensure the long-term preservation of archival materials.

What is your current role in the organisation?

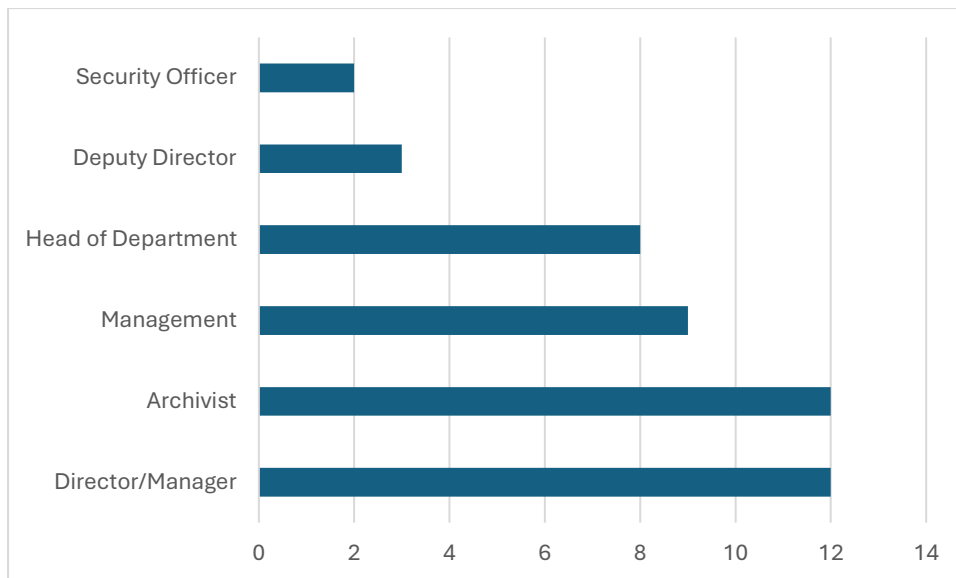


Figure 5 - Current role in the organisation

Based on the information provided in Figure 5, the data represents the distribution of respondents across various roles within their organizations. A notable portion of respondents hold leadership positions: 12 individuals identified as “Director” or “Archives manager,” while 3 respondents reported being “Deputy director.” This combined representation indicates a significant presence of leadership perspectives within the survey, totaling 15 respondents. Heads of Department and management personnel also constitute a substantial segment, with a total of 17 responses. Archivists make up 26% of the total replies, demonstrating a strong representation of professionals directly engaged in archival work. Furthermore, the survey captures data from more specialized roles, such as Security officers, highlighting the inclusion of diverse positions within these institutions."

The significant representation of leadership roles (Directors, Archives Managers, and Deputy Directors) suggests that the survey effectively captures the viewpoints of those involved in strategic decision-making. This offers valuable insights into the managerial and policy-level considerations within archival institutions. The substantial presence of Heads of Department and management further enriches the data by providing a perspective on archival work's implementation and operational aspects. The strong showing of Archivists ensures that the survey reflects the experiences and concerns of professionals at the core of archival practice. Finally, the inclusion of specialized roles like Security Officers underscores the survey's comprehensiveness in acknowledging the multidisciplinary nature of archival institutions. To leverage these diverse perspectives, the analysis should consider potential response variations across different roles. This would facilitate the development of targeted recommendations and resources that address the specific needs and challenges faced by each group, ultimately contributing to more effective and holistic improvements within archival organizations.

3.2 – Risk Perceptions & Prioritization

This section explores how archival institutions perceive and prioritize the various risks they face. It investigates the institutions' assessment of the importance of different risk types, such as the destruction of archives with high historical/economic value or sensitive content, as well as their evaluation of their own capacity to manage these risks. Understanding these perceptions is crucial for evaluating the alignment of preparedness efforts with the institutions identified vulnerabilities.

The detailed data analysis for each question in this section can be found in the following pages.

What are the most important risks for your institution?

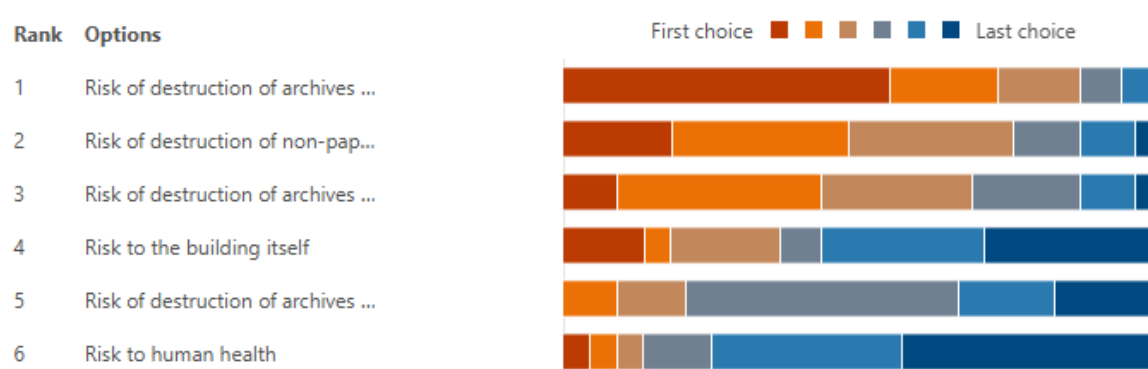


Figure 6 - Most important risks

Figure 6 presents an analysis of the most important risks identified by the surveyed institutions. The risk of destruction of archives with high historical and economic value is ranked as the most critical concern, highlighting the paramount importance placed on protecting valuable and irreplaceable materials. The risk of destruction of non-paper archives is also considered very important, indicating a strong recognition of the vulnerability and significance of these materials. Additionally, the risk of destruction of archives with sensitive content is deemed necessary, underscoring the need for secure and confidential management practices. In contrast, the risk to the building itself is ranked lower, suggesting that while important, it is not the primary concern compared to the loss of archival materials. Similarly, the risk of destruction of archives with high artistic value is ranked even lower, indicating a potential prioritization of historical and economic value over artistic value. Finally, the risk to human health is ranked as the least important, suggesting that while not disregarded, it is not the central focus of these institutions.

The prioritization of risks related to the destruction of high value historical/economic archives, non-paper archives, and sensitive content underscores the core mission of archival institutions to safeguard valuable and often unique materials. This focus necessitates robust preservation strategies, secure management protocols, and specialized care for diverse formats. While building and artistic value are acknowledged, the emphasis on historical, economic, and sensitive content highlights the primary concerns of these institutions.

economic, and sensitive materials suggests that resource allocation and risk mitigation efforts should prioritize these areas. Although human health is ranked lowest, it remains a crucial consideration within the broader context of disaster preparedness and should not be neglected. To effectively address these priorities, institutions should develop comprehensive risk management plans that incorporate specific measures for the preservation of high-value assets, the handling of sensitive information, and the protection of non-paper formats, while also ensuring the safety of personnel.

How do you assess your institution’s capacity to manage risks related to physical documentary heritage?

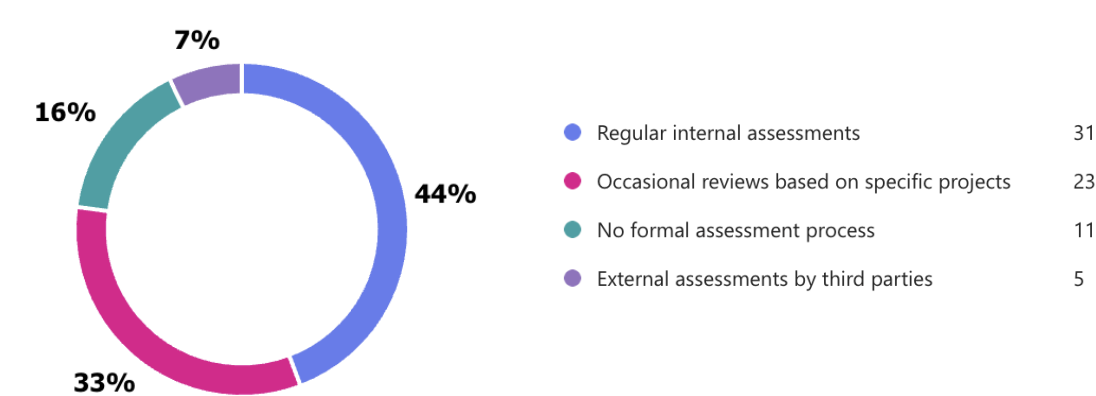


Figure 7 - Capacity of assessing risks

Figure 7 illustrates the institutions' capacity to assess risks. Nearly half (44%) of the institutions conduct regular internal assessments, demonstrating a strong commitment to ongoing risk management. One-third (33%) rely on occasional reviews tied to specific projects, indicating that risk assessments may not be a routine institutional practice but rather a response to particular initiatives. A smaller portion (16%) of respondents report having no formal assessment process, signaling a potential gap in structured risk management within some institutions. Only a small fraction (7%) use external assessments, suggesting that external auditing or third-party evaluations are not widely adopted - possibly due to budget constraints, lack of regulatory requirements, or a preference for internal processes.

The prevalence of regular internal assessments is a positive indicator of proactive risk management. However, the significant reliance on occasional reviews and the presence of institutions with no formal assessment process highlight the need for more consistent and structured approaches. While internal assessments are valuable, the limited use of external assessments suggests an opportunity to incorporate independent evaluations for enhanced objectivity and credibility. To strengthen risk assessment practices, institutions should prioritize the implementation of formal assessment processes, establish regular review schedules, and explore the benefits of periodic external audits. Providing resources and guidance on risk assessment methodologies can support institutions in developing robust and effective evaluation frameworks.

3.3 – Disaster Preparedness & Resource Allocation

This section (Questions 8 – 10) examines the critical aspects of disaster preparedness and resource allocation within archival institutions. It analyzes the frequency with which institutions review their resource allocation for disaster preparedness, the sufficiency of their financial resources dedicated to risk management, and the specific challenges they encounter in allocating adequate resources. Effective resource allocation is fundamental to ensuring institutions are equipped to prevent, respond to, and recover from disasters.

Below is an in-depth analysis of the data collected from the questions in this section.

How often do you review your institution's resource allocation for disaster preparedness?

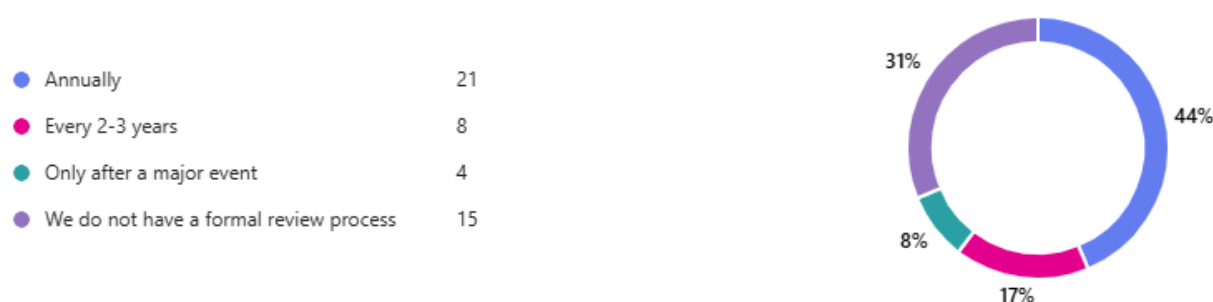


Figure 8 - Frequency of review of resource allocation

Figure 8 presents the frequency with which institutions review their resource allocation for disaster preparedness. A significant portion (31%) of institutions conduct yearly reviews, indicating a proactive approach to ensuring resources are adequate. A substantial number of institutions (44%) review their resource allocation every 2-3 years, suggesting a periodic rather than continuous approach. A smaller percentage (8%) only review resources after a significant event, highlighting a reactive rather than proactive strategy. Furthermore, 17% of institutions lack a formal review process, which suggests a potential gap in structured resource management.

The yearly review of resource allocation by a notable portion of institutions demonstrates a commitment to proactive financial planning for disaster preparedness. However, the larger percentage of institutions that review every 2-3 years suggests a need to encourage more frequent evaluations to ensure resources align with evolving needs and risks. The reactive approach of reviewing only after a significant event is less effective for preparedness and highlights the importance of proactive planning. The lack of a formal review process in some institutions indicates a critical need for establishing structured resource management practices. To improve resource allocation strategies, institutions should prioritize the implementation of regular review schedules, ideally on an annual basis, and establish formal processes for resource allocation and review.

Does your institution have sufficient financial resources dedicated to risk management and disaster preparedness?



Figure 9 - Financial resources dedicated to risk management and disaster preparedness

Figure 9 illustrates the sufficiency of financial resources dedicated to risk management and disaster preparedness. The largest group (36%) indicates that their institutions have partially sufficient financial resources, suggesting a typical situation where institutions have some resources but not enough to address their needs fully. A substantial 30% of institutions report having no dedicated resources for risk management and disaster preparedness, highlighting a significant gap in financial planning and prioritization. Only 21% of institutions report having fully sufficient resources, indicating that adequate funding is a challenge for most. Furthermore, 13% of institutions report having insufficient resources, further emphasizing the financial challenges faced.

The fact that the largest group of institutions reports having only partially sufficient resources, and a significant percentage has no dedicated resources, reveals a critical need to address financial constraints in disaster preparedness. This lack of funding can severely hinder an institution's ability to implement effective risk management strategies and respond adequately to disasters. To overcome these challenges, institutions should prioritize establishing dedicated budgets for risk management, advocate for increased funding from internal and external sources, and develop clear strategies for allocating available resources effectively. Highlighting the importance of financial preparedness and actively exploring funding opportunities are essential steps toward ensuring the safety and preservation of archival collections.

Please describe any challenges your institution faces in allocating sufficient resources for disaster preparedness.



Figure 10 - Challenges in allocating sufficient resources for disaster preparedness

Figure 10 details the challenges institutions face in allocating sufficient resources for disaster preparedness. The majority of respondents emphasize a lack of financial resources. Most institutions do not have a dedicated budget for this purpose. The lack of human resources is also a common concern. Staff training is hindered due to limited resources. Building security and secure digital preservation of archives are identified as areas that need dedicated resource allocation. A few respondents indicated a scarce awareness of senior management toward disaster preparedness measures.

The challenges outlined in Figure 10 paint a clear picture of the resource constraints faced by archival institutions in their disaster preparedness efforts. The lack of financial and human resources, coupled with the absence of dedicated budgets, creates significant obstacles to implementing effective strategies. Insufficient staff training, inadequate security, and poor digital preservation practices significantly increase the vulnerability of these institutions. The identified lack of awareness among senior management underscores the need for advocacy and education to prioritize disaster preparedness. To mitigate these challenges, institutions must prioritize financial planning, invest in staff training, develop comprehensive preparedness plans, foster collaboration and resource sharing, and advocate for increased funding and greater management awareness.

3.4 – Use of Digital & Technological Tools

This section (Questions 12 – 13) investigates the extent to which archival institutions leverage digital and technological tools to enhance their disaster prevention and protection strategies. It explores both the adoption rates of these technologies and the specific ways in which they are applied, such as for environmental control, building management systems, and data management. Analyzing the use of technology provides insights into innovative approaches and opportunities for further advancement in disaster preparedness.

In this section, a comprehensive analysis of the data for each question is provided.

Do you use new or digital technologies to prevent or protect against disasters?



Figure 11 - Use of either new or digital technologies

The responses are almost evenly split, with 25 institutions using new or digital technologies and 24 not using them. This indicates a fairly even distribution between those embracing technology for disaster prevention and protection and those who are not. Nevertheless, a slight majority of institutions are using new or digital technologies, suggesting a growing awareness and adoption of these tools in disaster preparedness.

The near-even split in technology adoption highlights the potential to encourage greater use of new and digital technologies in disaster preparedness. Understanding the barriers to adoption, such as lack of funding, expertise, or awareness, is crucial. Sharing best practices and success stories can demonstrate the value of these technologies. Exploring specific technologies like early warning systems and digital archiving solutions or providing training and support can further promote their effective implementation.

Please describe how they are applied



Figure 12 - Description of either new or digital technologies

Digitization policies are indicated as the most prominent practice to preserve archival documentation against disasters. Digital tools are applied to environmental control, such as monitoring temperature and humidity. Some respondents indicate that fire protection is a specific area where technological tools are applied.

Institutions should expand their use of digital monitoring systems and invest in Building Management System (BMS) integration for improved efficiency. Developing data analysis capabilities can help institutions better respond to collected data. Documenting and sharing best practices related to digital technology use and addressing accessibility as well as training needs are essential.

3.5 – Risk Management Practices

This section (Questions 14 – 20) assesses the risk management practices employed by archival institutions to safeguard their documentary heritage. It covers the perceived importance of various risks (e.g., natural disasters, technological risks), the presence and implementation status of formalized risk management plans, the types of risks included in disaster preparedness plans, and the frequency with which these plans are reviewed and updated. Additionally, it evaluates the institutions' overall perception of the importance of disaster preparedness and how they measure the effectiveness of their preparedness programs.

The subsequent sections provide a detailed analysis of the data for each question.

How important are the following risks to your institution?

■ 1 ■ 2 ■ 3 ■ 4 ■ 5

Natural disasters (e.g., floods, earthquakes):

Man-made disasters (e.g. vandalism, armed conflict, civil disorder, terrorism, biological/chemical threat,...)

Climate-related risks (e.g., rising temperatures)

Technological risks (e.g., data loss, cyber threats)

Financial risks (e.g., funding cuts, resource scarcity)

Fire (either natural, provoked or by accident)



Figure 13 - Importance rate of risks

All listed risks are generally perceived as necessary, with a strong tendency towards ratings of 4 and 5 (necessary to extremely important). Technological and climate-related risks show the most substantial consensus on high importance. Natural disasters, man-made disasters, and fire are also consistently rated as highly important. Financial risks show a wider distribution of ratings, suggesting varying levels of perceived impact.

Given the high importance placed on all listed risks, institutions should prioritize developing and implementing robust risk management strategies, focusing on technological and climate-related risks. To address technological vulnerabilities, institutions should invest in cybersecurity measures, data backup and recovery systems, and staff training on digital security. In order to mitigate climate-related impacts, institutions should develop strategies such as implementing climate control systems, improving building insulation, and creating emergency plans for extreme weather events. Furthermore, comprehensive disaster preparedness plans should be in place for natural and man-made disasters, as well as fire,

including evacuation procedures, collection protection measures, and recovery strategies. It is also important for institutions to strengthen their financial planning to address potential funding cuts and resource scarcity, ensuring they have adequate resources for risk management and disaster preparedness. To maintain relevance and effectiveness, institutions should regularly review and update their risk assessments to reflect changing circumstances and emerging threats.

Does your institution have a formalized risk management plan for disasters (natural or artificial)?

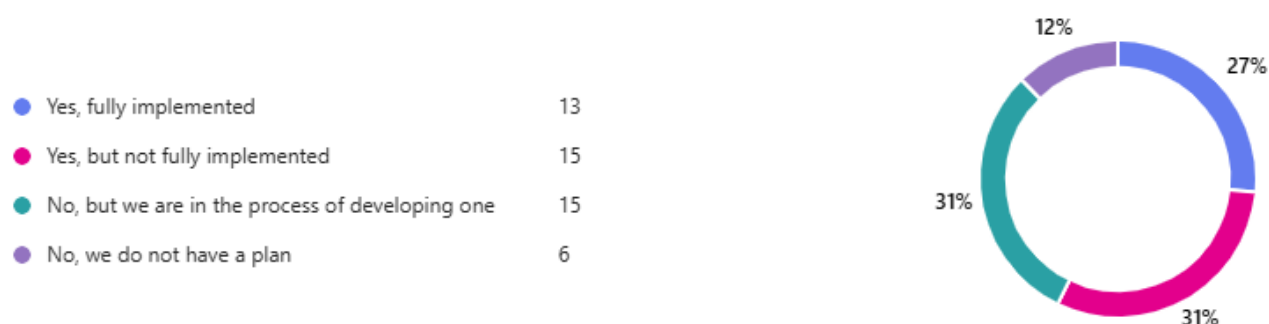


Figure 14 - Presence of formalized risk management plan

A significant majority of institutions have either a fully implemented plan, a partially implemented plan, or are in the process of developing one. The most frequent response is that institutions have a plan, but it is not fully implemented. Only 6 institutions report having no plan at all, which is a relatively small percentage.

Institutions with partially implemented plans should prioritize efforts to fully implement them, which may involve resource allocation, staff training, and regular testing of the plan. Support and guidance should be provided to institutions in the process of developing a plan to expedite its completion, such as offering templates, workshops, and access to experts. It is crucial to identify and address the barriers that prevent institutions from fully implementing their plans, including funding constraints, lack of expertise, or competing priorities. While the number is small, the 6 institutions without a plan need encouragement and support to begin developing one. To ensure continued effectiveness, all institutions should regularly review and update their risk management plans to ensure they remain relevant and effective.

Which types of risks are included in your disaster preparedness plan?

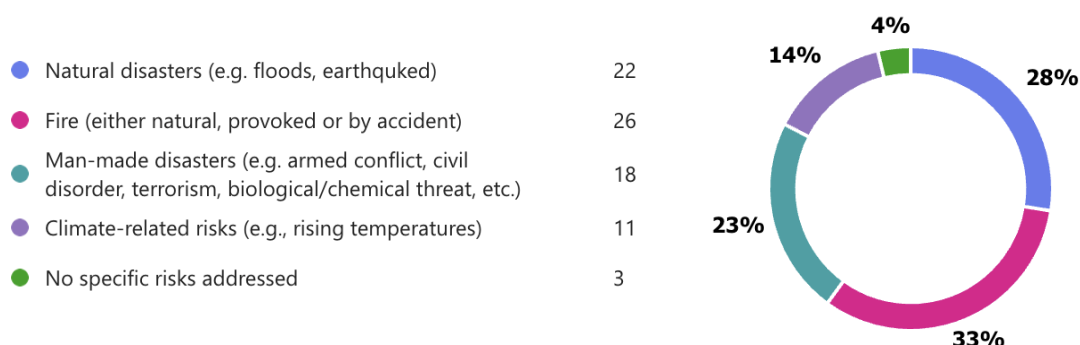


Figure 15 - Types of risks in disaster preparedness plan

Fire is the most frequently included risk in disaster preparedness plans (33%). Natural disasters are also widely included (28%). Man-made disasters are addressed in a substantial number of plans (23%). Climate-related risks are the least frequently included among specific risk categories (14%). Only a small percentage (4%) of institutions report having no specific risks addressed in their plans.

Given the increasing significance of climate-related risks, institutions should prioritize their integration into disaster preparedness plans. While fire and natural disasters are well-addressed, institutions should ensure their plans cover the full spectrum of potential risks, including man-made disasters. To maintain effectiveness, disaster preparedness plans should be regularly reviewed and updated to reflect evolving threats and best practices. It is also important to promote risk awareness among staff and stakeholders to ensure effective preparedness and response. Institutions should develop tailored strategies for each type of risk, considering their specific vulnerabilities and needs.

How often is your risk management plan reviewed or updated?



Figure 16 - Frequency of risk management plan revisions

The vast majority of institutions (64%) review or update their risk management plans annually. A significant portion (32%) review their plans every 2-3 years. Only a very small percentage (4%) review their plans only after a disaster. No institutions reported never reviewing their risk management plans.

Institutions that conduct annual reviews should maintain this practice to ensure their plans remain up to date. Institutions that review their plans every 2-3 years should consider transitioning to annual reviews to provide more frequent updates. It is essential to shift away from reactive reviews, where plans are only reviewed after a disaster, and adopt a more proactive approach, implementing regular reviews to anticipate and mitigate risks. While it is positive that no institutions reported "never" reviewing their plans, efforts should continue to emphasize the importance of regular reviews and updates. Institutions should document their review process to ensure clarity and consistency, including who is responsible for reviews, what triggers a review, and how updates are implemented.

How important do you consider disaster preparedness for your institution?

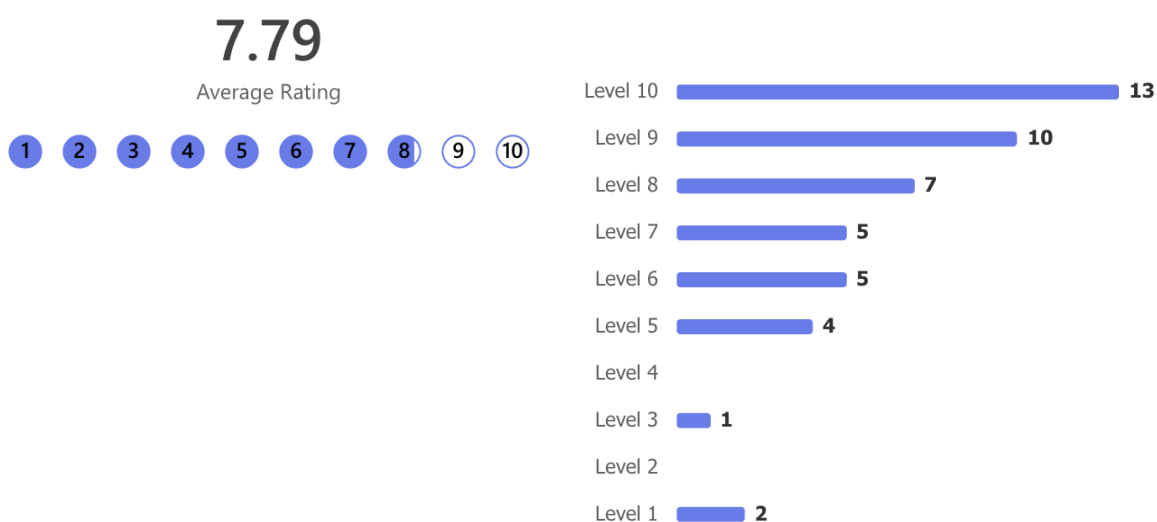


Figure 17 - Importance of disaster preparedness

The average rating of 7.79 indicates a strong overall perception of the importance of disaster preparedness. The data is heavily skewed towards higher ratings, with the highest number of responses at Level 10 (extremely important). Only three institutions rated disaster preparedness below Level 5.

The high average rating and strong skew towards high importance levels suggest a solid foundation of commitment to disaster preparedness, and institutions should reinforce this commitment through ongoing efforts and resource allocation. While few in number, it is important to understand why the 3 institutions rated disaster preparedness as less important, and investigating their specific challenges and needs can help improve overall preparedness. The strong positive perception should be leveraged to maintain momentum in developing and implementing effective disaster preparedness plans. To ensure continued support and participation, it is crucial to communicate the importance of disaster preparedness to all stakeholders. Institutions should also benchmark their preparedness efforts against others and share best practices to improve overall effectiveness.

How does your institution measure the effectiveness of your disaster preparedness programs?

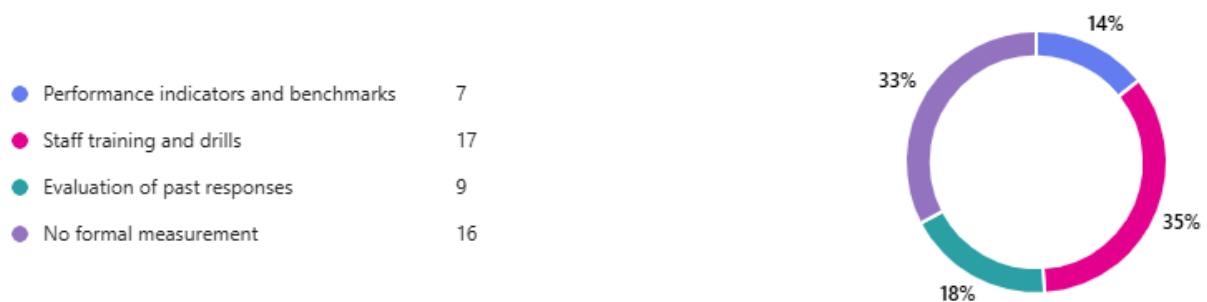


Figure 18 - Effectiveness of disaster preparedness programs

The most common response is "Staff training and drills" (35%). Following that is "No formal measurement" (33%). Some institutions (18%) evaluate effectiveness by reviewing past responses to disasters. Performance indicators and benchmarks are the least frequently used method (14%).

To ensure accountability and improvement, institutions should prioritize establishing formal measurement systems to evaluate the effectiveness of their disaster preparedness programs. This involves developing and implementing performance indicators and benchmarks to track progress and identify areas for improvement. To gain a comprehensive understanding of program effectiveness, institutions should employ a combination of measurement methods, including staff training and drills, evaluation of past responses, and performance indicators. Based on the results of measurement efforts, disaster preparedness programs should be regularly evaluated and updated. Investing in training and resources to support the development and implementation of effective measurement systems is essential. Sharing best practices and lessons learned related to measuring program effectiveness with other institutions can further enhance preparedness efforts across the sector.

Could you elaborate on any lessons learned from past disasters or emergencies that have influenced your institution's preparedness strategy?

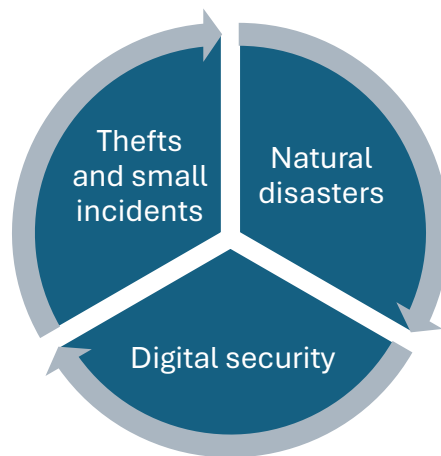


Figure 19 - Lessons learned from past disasters

Some institutions report implementing digital security systems after hacking or malware incidents. Natural disasters like floods and earthquakes led to updating preparedness strategies. Thefts and small incidents prompted specific security measures. Most respondents did not report lessons learned from past disasters.

Institutions should proactively analyze past incidents to identify vulnerabilities and implement preventive measures. Sharing lessons learned can help the broader community improve preparedness.

3.6 – Quality Assurance and Risk Mitigation

This section (Questions 21 – 24) evaluates the quality assurance mechanisms that archival institutions utilize to ensure the effectiveness of their disaster preparedness and risk management strategies. It examines the frequency of audits or evaluations, the specific quality assurance mechanisms employed (e.g., internal reviews, external audits), and the adoption of ISO standards related to risk management and preservation. Furthermore, it explores recent quality assurance initiatives that have led to significant improvements in risk management practices.

A thorough analysis of the data gathered in this section is presented below.

Does your institution perform regular audits or evaluations of its disaster preparedness and risk management strategies?



Figure 20 - Presence of regular audits

A significant portion of institutions (39%) conduct annual audits or evaluations. A substantial number (22%) perform audits less frequently than annually. A noticeable portion (18%) are planning to start conducting audits. A concerning 20% do not perform any audits or evaluations.

To ensure continuous improvement and adaptation, institutions conducting annual audits should continue this practice. Institutions performing less frequent audits should consider transitioning to annual reviews to ensure more consistent monitoring. Support and resources should be provided to institutions planning to start audits to facilitate the implementation process. Institutions that do not perform audits should be strongly encouraged to implement evaluation processes to ensure the effectiveness of their strategies. To promote consistency and comparability across institutions, standardized audit procedures and metrics should be developed. The benefits of audits, such as identifying weaknesses, improving efficiency, and ensuring accountability, should be highlighted to encourage wider adoption.

What quality assurance mechanisms are used to evaluate your institution's disaster preparedness?

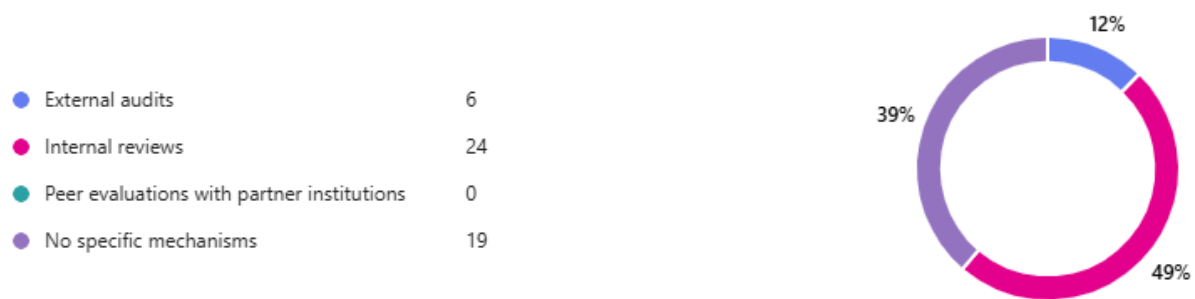


Figure 21 - Quality assurance mechanisms

Internal reviews are the most common quality assurance mechanism used (49%), indicating a preference for self-assessment and internal oversight. A substantial portion of institutions (39%) report having no specific mechanisms for evaluating their disaster preparedness, highlighting a potential gap in quality assurance. External audits are used by a relatively small percentage of institutions (12%), suggesting limited reliance on external validation. Peer evaluations with partner institutions are not conducted (0%), indicating a lack of collaborative evaluation practices.

Institutions without specific mechanisms should prioritize establishing formal quality assurance processes to ensure the effectiveness of their disaster preparedness. To provide an independent assessment and identify areas for improvement, institutions should consider incorporating external audits. The potential benefits of peer evaluations with partner institutions to foster collaboration and knowledge sharing should be explored. To ensure consistency and comparability across institutions, standardized internal review processes and metrics should be developed. Investing in training and resources is essential to support the implementation of effective quality assurance mechanisms. Sharing best practices and lessons learned related to quality assurance with other institutions can further enhance their evaluation processes.

Which of the following ISO standards has your institution adopted?

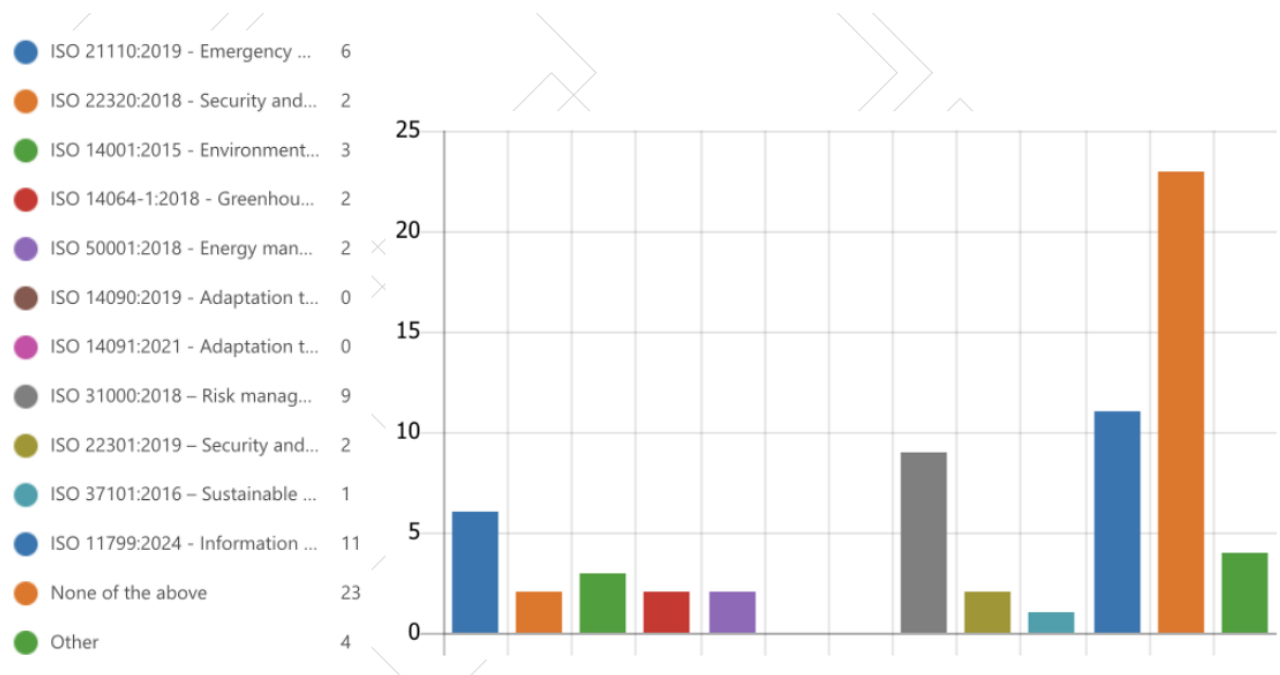


Figure 22 - Adoption of ISO standards

The most common response is "None of the above" (23 responses), indicating that most institutions have not adopted any of the listed ISO standards. Among the listed standards, ISO 11799 (Document storage) is the most frequently adopted (11 responses), suggesting a focus on information and document management. ISO 31000 (Risk management) is the second most adopted standard (9 responses), recognizing the importance of risk management guidelines. The adoption rate for other listed standards is very low, with several standards having 2 or 3 responses and two having no adoption. The "Other" category (4 responses) indicates that some institutions have adopted ISO standards that are not listed in the provided options.

It is essential to investigate the reasons for the low adoption of listed ISO standards, particularly in areas related to emergency preparedness, climate change adaptation, and business continuity. Promoting the adoption of relevant ISO standards, such as ISO 21110 (Emergency preparedness) and ISO 31000 (Risk management), can improve institutional practices. To support institutions in this process, guidance and resources should be provided for adopting and implementing relevant ISO standards. The "Other" ISO standards adopted by some institutions should be explored to identify potentially relevant standards for wider adoption. Highlighting the benefits of adopting ISO standards, such as improved efficiency, enhanced risk management, and increased credibility, can encourage greater adoption rates.

Can you share any recent quality assurance initiatives or audits that have resulted in significant changes or improvements to your risk management strategy?



Figure 23 - Initiatives or audits on quality assurance

N.B.: The following analysis is based on limited survey responses, some of which were not directly relevant to the topic. Therefore, the subsequent interpretations and recommendations should be considered indicative and cautiously approached, as they may not fully represent the overall reality.

Recent initiatives and audits have emphasized emergency preparedness and response significantly, as evidenced by the prominence of the term "emergency" in the survey data. This focus highlights the critical need for institutions to strengthen their emergency plans and strategies. Furthermore, the recurrent mention of "risk" and "risk management" underscores the importance of robust risk management practices. This includes regular risk assessments and mitigation strategies to minimize potential threats. The data also suggests a strong inclination towards improving planning and operational procedures. Terms such as "new plan," "emergency plan," and "main processes" indicate a desire to streamline and enhance existing protocols. Additionally, specific areas of focus have emerged, including "fire prevention," "security reasons," and "bug bounty," reflecting targeted efforts to address identified vulnerabilities. Evaluation and assessment processes, particularly "risk evaluation," are deemed essential for identifying areas of improvement. The importance of stakeholder engagement and collaboration is also evident, with terms like "events," "plan and our participation," and "emergency network" highlighting the need for effective communication and cooperation. Furthermore, introducing "new concepts" and "targeted" initiatives suggests a drive towards innovation and a focus on addressing specific risks and vulnerabilities. This approach aims to maximize the impact of risk management strategies and stay ahead of emerging threats.

While the limited data necessitates a cautious approach, the survey results provide valuable insights into the current priorities and areas of focus. Institutions should prioritize strengthening their emergency preparedness, enhancing risk management practices, streamlining operational procedures, and fostering collaboration to ensure effective communication and response.

3.7 – Climate Change and Sustainability

This section (Questions 25 – 28) investigates how archival institutions address the growing challenges posed by climate change and the increasing emphasis on sustainability. It analyzes whether institutions include climate change risks in their risk assessments, the specific measures they implement to mitigate climate change impacts, their monitoring and reporting of sustainability-related metrics, and their plans to adapt disaster preparedness strategies to address climate change risks.

The following pages contain a detailed analysis of the data for each question in this section.

Does your institution include climate change risks in its risk assessments for physical documentary heritage?



Figure 24 - Climate change risks

The figure illustrates the extent to which institutions include climate change risks in their risk assessments for physical documentary heritage. A significant portion of institutions (49%) indicated that they do not have climate change risks. Following that, 16% plan to include climate change risks in the future, suggesting a recognition of the need to address these risks. Only 14% regularly include climate change risks in their assessments, and 14% only in specific cases.

The significant portion of institutions that do not address climate change risks highlights the need for increased awareness and education on the potential impacts of climate change on documentary heritage. Institutions should conduct thorough risk assessments to identify and evaluate the specific climate-related threats to their collections. Based on these assessments, institutions should develop and implement mitigation and adaptation strategies to protect their collections from the effects of climate change. This may involve implementing environmental controls, upgrading infrastructure, and developing emergency plans for extreme weather events. Institutions should also collaborate with other institutions and experts to share best practices and develop effective strategies for addressing climate change risks.

What measures has your institution implemented to mitigate climate change impacts on archival collections?

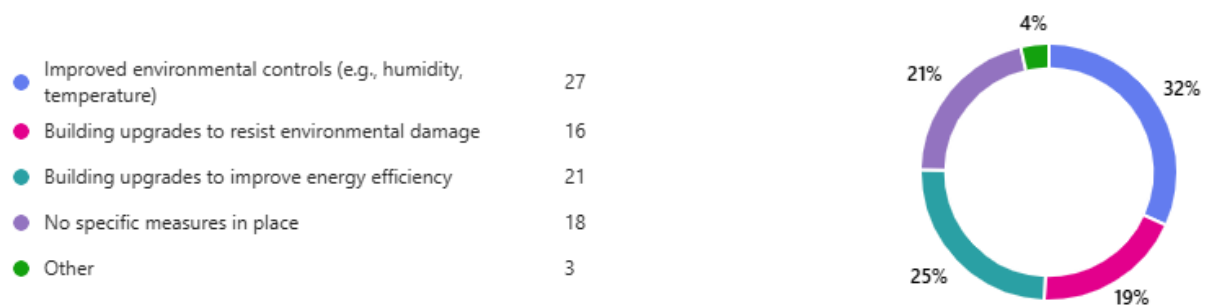


Figure 25 - Measures to mitigate climate change

The most frequently implemented measure is improving environmental controls (32%), focusing on maintaining stable conditions. Building upgrades, both for resistance (19%) and energy efficiency (25%), are also common. However, a significant portion (21%) report having no specific measures, suggesting a gap. The 'Other' category is small (4%).

Institutions should continue prioritizing environmental controls and invest in building upgrades. Those without measures should develop and implement strategies. The 'Other' measures should be explored for potential effectiveness. Comprehensive climate change strategies should be developed, and the effectiveness of measures should be monitored and evaluated. Best practices should be shared among institutions.

Do you currently monitor and report on any sustainability related metrics?



Figure 26 - Monitor and report of sustainability metrics

The most frequently monitored and reported metrics are environmental metrics (47%), indicating a strong focus on environmental sustainability. Energy use or energy indicators are also monitored and reported by a substantial portion (29%), highlighting the importance of energy efficiency. The 'Other' category accounts for a significant portion (24%), suggesting that institutions monitor and report a variety of sustainability metrics beyond those listed.

Institutions should continue to prioritize the monitoring and reporting of environmental metrics, as this is a crucial aspect of sustainability. To reduce their environmental footprint, institutions should also focus on monitoring and reporting energy use or energy indicators,

implementing energy-efficient practices and technologies. The 'Other' category warrants further investigation to understand the full range of sustainability metrics being tracked by institutions, and best practices in these areas should be shared. To provide a comprehensive picture of sustainability efforts, institutions should consider expanding their monitoring and reporting to include social and economic sustainability metrics and environmental metrics. Standardized reporting frameworks and guidelines can help institutions track and compare their progress on sustainability. Collaboration and knowledge sharing among institutions can facilitate the adoption of best practices and promote continuous improvement in sustainability performance.

How is your institution planning to adapt its disaster preparedness strategy to address growing climate change-related risks?

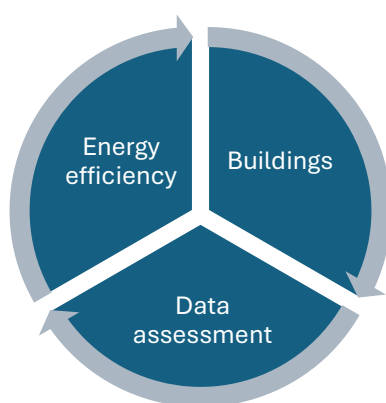


Figure 27 - Disaster preparedness strategy for climate change

The interconnectedness of **Buildings**, **Energy efficiency**, and **Data assessment** emerges as crucial for climate change adaptation in archival institutions.

- Concerns regarding the current status of **buildings** and storage facilities are highlighted, particularly their vulnerability to extreme weather events exacerbated by climate change.
- Improving **energy efficiency**, such as through building renovations and the implementation of temperature and humidity monitoring devices, is identified as a key action for some institutions.
- **Data assessment** is recognized as a vital preliminary step for institutions to adapt their disaster preparedness strategies effectively.

Therefore, institutions should prioritize a cyclical approach that integrates these elements to develop specific disaster preparedness strategies for climate change. This tailored approach, informed by data, focused on building resilience, and aiming for

energy efficiency, will enable a more effective response to climate-related risks. While general disaster preparedness is foundational, specific strategies are essential to address the unique challenges of climate change. Institutions lacking such strategies should be supported with resources, guidance, and best practices to develop them. Enhancing awareness, providing targeted training, and fostering collaboration for knowledge sharing will bolster overall climate change preparedness within the archival community.

3.8 – Collaboration and Training

This section (Questions 29 – 35) explores the critical roles of collaboration and training in enhancing disaster preparedness within archival institutions. It examines how institutions collaborate with other organizations, their engagement with international organizations, and examples of successful collaborations. Additionally, it investigates the training practices within these institutions, focusing on the frequency of online learning, the comfort level with using digital tools for education, and any specific requirements or challenges related to online learning.

Below, you will find a detailed analysis of the survey responses for each question in this section.

How does your institution collaborate with other organizations to improve disaster preparedness?



Figure 28 - Disaster preparedness improvement

The most frequent form of collaboration is sharing best practices (38%), which strongly emphasizes knowledge exchange and learning from each other. Joint emergency drills or training (18%) and mutual aid agreements for emergencies (18%) are used by the same number of institutions, suggesting a significant interest in practical and reciprocal preparedness measures. A notable portion of institutions (21%) report that they do not engage in collaborations. Less frequent forms of collaboration include "Other" types (5%).

The strong emphasis on sharing best practices underscores the value of knowledge exchange in enhancing disaster preparedness. Institutions should continue to facilitate and expand these opportunities through workshops, conferences, and online platforms. The balanced use of joint emergency drills/training and mutual aid agreements indicates a practical approach to preparedness. Promoting greater participation in regional/national networks can further strengthen collaborative efforts. To broaden the scope of collaboration, institutions should explore increasing joint funding applications and other collaborative initiatives. Addressing the lack of collaboration in some institutions requires demonstrating the benefits and providing resources to support collaborative endeavors.

Does your institution engage with international organizations (e.g., ICA, Blue Shield) for disaster preparedness?



Figure 29 - Networking with international organisations

The figure illustrates the level of international engagement among institutions to improve disaster preparedness. A significant portion of institutions (41%) report that they do not engage internationally. However, a substantial number (27%) do engage internationally, but only occasionally. A notable segment (29%) indicates they do not currently engage internationally but are interested in doing so. Only a small percentage (4%) report actively engaging internationally.

This data suggests a potential for increased international collaboration in disaster preparedness within the archival community. While some institutions are already engaging occasionally or actively, a significant number are either not involved or are interested in exploring international partnerships. Efforts to facilitate connections and highlight the benefits of international collaboration could be valuable.

Please describe any successful collaborations or partnerships with external organizations that have strengthened your institution's disaster preparedness.

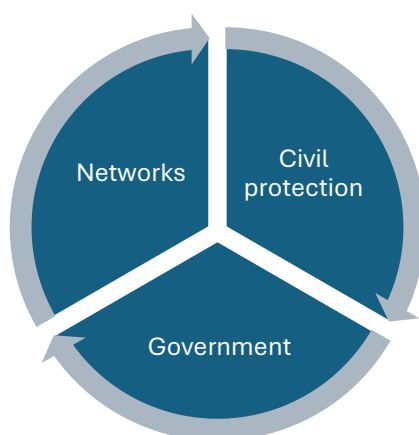


Figure 30 - Successful collaborations with external organisations

Successful disaster preparedness relies on strong collaborations between **Networks**, **Civil Protection** agencies, and **Government** entities.

These collaborations often involve:

- **Networks:** Facilitating knowledge sharing, resource pooling, and coordinated action among archives, libraries, museums, and universities.
- **Civil Protection:** Providing expertise in emergency response, risk assessment, and disaster mitigation strategies.
- **Government:** Offering policy guidance, funding, and support for implementing preparedness measures.

Specific examples of successful collaborations include:

- Joint training exercises to enhance staff readiness.
- Shared repositories for secure storage of digitized collections.
- Collaborative projects to digitize and protect vulnerable materials.
- Joint emergency planning and response protocols.

Funding and technical support from these external organizations are crucial for implementing effective preparedness measures. To strengthen disaster preparedness capabilities, institutions should actively seek and cultivate partnerships across these three key stakeholder groups.

How often do you engage in online learning?



Figure 31 - Frequency of online learning

The most frequent response is "Yearly" (42%), indicating that a significant portion of respondents engage in online learning on an annual basis.

"Monthly" engagement is also notable (29%), suggesting a consistent and relatively frequent use of online learning resources.

"Weekly" engagement is moderate (21%), indicating that while some engage frequently, it's not the dominant pattern.

"Every 5 years" and "Never" engagement are very low (6% and 2% respectively), suggesting that online learning is generally embraced, even if not on a very frequent basis.

The moderate adoption of online learning suggests a growing recognition of its potential for disaster preparedness training. Increasing the frequency of online learning can enhance accessibility and cost-effectiveness of training. Addressing the limited use of online learning requires promoting its advantages and providing adequate resources. For institutions not using online learning, demonstrating its value and ease of implementation is crucial. Overall, expanding the use of online learning can significantly improve disaster preparedness training

How comfortable are you with using digital tools for learning?

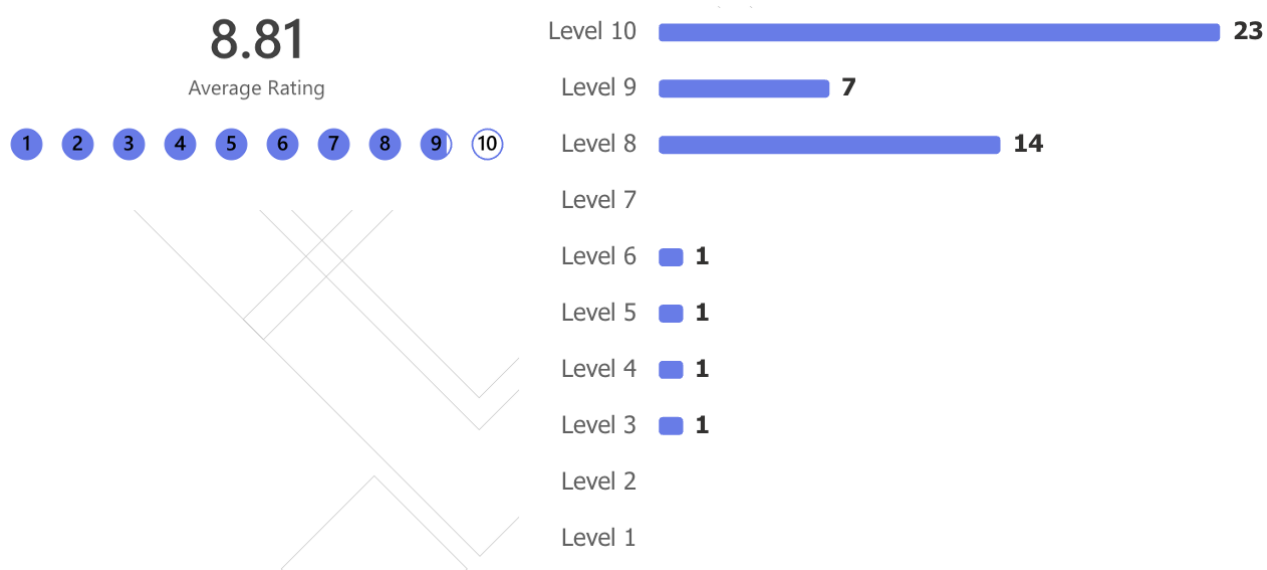


Figure 32 - Use of digital tools for learning

The average rating of 8.81 indicates a very high level of comfort with using digital tools for learning among the respondents.

The data is heavily skewed towards the higher end of the scale, with the majority of responses falling between 8 and 10.

The highest number of responses falls within Level 10 (very comfortable), indicating a strong confidence in using digital tools.

There are very few responses below Level 7, and no responses at Level 1 or 2, highlighting a general acceptance and proficiency with digital learning tools.

While there's a general acceptance of digital tools, increasing the comfort level can further enhance their effective use. Building on the strong comfort level of a significant portion can promote wider adoption and best practice sharing. Addressing the concerns and providing support for those less comfortable with digital tools is essential. Investing in training and resources can empower institutions to fully leverage digital tools for disaster preparedness education.

Do you have any specific requirements or challenges that could affect your ability to engage with online learning materials?



Figure 33 - Specific requirements for online learning materials

The overwhelming majority of respondents (78%) cited time constraints as a significant challenge affecting their ability to engage with online learning materials. This indicates that time management and scheduling are major barriers.

Only a small percentage of respondents (8%) reported internet access as a challenge, suggesting that internet connectivity is generally not a significant obstacle.

No respondents reported accessibility needs as a challenge, which could indicate a lack of awareness, underreporting, or ineffective accommodation.

A moderate percentage of respondents (14%) reported "Other" challenges, indicating that additional factors beyond the listed options affect their ability to engage with online learning.

Designing online learning materials with accessibility and inclusivity in mind is crucial for equitable training. Incorporating interactive elements and simulations enhances the learning experience and improves knowledge retention. Emphasizing practical and hands-on training ensures that learners can apply their knowledge in real-world scenarios. Providing multilingual support expands the reach and impact of training programs. Offering certification and accreditation adds value and credibility to online learning initiatives. Adhering to these requirements can significantly improve the effectiveness of online disaster preparedness training.

3.9 – Continuous Improvement and Future Planning

This section focuses on the ongoing efforts of archival institutions to achieve continuous improvement in their disaster preparedness and risk management capabilities. It addresses the specific requirements and challenges that institutions face and provides a platform for sharing good practices and success stories in risk management. This section looks towards the future, aiming to identify strategies and needs for enhancing institutional resilience.

A detailed analysis of the data received from these questions is presented in the following pages.

What would be the most impactful change or improvement your institution could make to its disaster preparedness and risk management capabilities?



Figure 34 - Most impactful change for disaster preparedness

The word cloud highlights key areas of focus related to disaster preparedness. "Plan buildings" and "buildings" are central, suggesting a significant emphasis on the physical infrastructure and the need for planning related to archival buildings. Terms like "archive," "archive facilities," "Lithuanian archives," and "building for our archive" further underscore this focus on the physical spaces and potentially new building initiatives.

Relatedly, "preservation" and "digital preservation" are prominent, indicating a concern for safeguarding collections in both physical and digital formats. "Disaster," "disaster response," and "disaster preparedness" are also key terms, reinforcing the overall theme.

The importance of "risk management" and having a "plan of awareness" is also highlighted, suggesting a need for proactive strategies and ensuring staff are informed. The mention of "staff of the archive" indicates that personnel play a crucial role in these efforts. Finally, "improvements in digitisation," "digital system," "protection," and "measures" point towards specific actions and tools being considered.

In summary, the word cloud emphasizes the critical role of planning and improving archival buildings and facilities as a central aspect of disaster preparedness. Alongside this, there's a strong focus on physical and digital preservation and the need for proactive risk management and awareness. The terms also suggest ongoing efforts towards digitisation and implementing protective measures, involving the staff of the archive.

If you have any particular Good Practice/Success Story that you would like to share in terms of risk management policy or activities, please feel free to mention it.



Figure 35 – Good Practices and Success Stories

N.B.: the following analysis is based on limited data, and therefore, the conclusions should be interpreted with caution.

While based on limited data, this analysis highlights key areas of focus within archives and libraries. A strong emphasis on the archives themselves and collaborative efforts is central to successful practices. Institutions prioritize preservation strategies as a core component of risk management. Proactive risk assessment and analysis are essential and educating stakeholders on archives' value. Learning from past incidents, particularly fires and major events, significantly shapes best practices. There's also a focus on addressing specific risks, like flooding, with tailored strategies. Investment and advocacy are crucial for successful initiatives, and sharing effective assessment methodologies is seen as a key component of good practice. Ultimately, building strong relationships with emergency services, fostering collaboration, and investing in training are vital for effective disaster preparedness and institutional resilience."

5 – Conclusions

The analysis of the survey data provides several key insights into the current state of risk management and disaster preparedness among archival institutions:

- **Institutional Diversity:** The surveyed institutions represent a diverse group, primarily composed of national and regional archives, with archival preservation being their primary focus. This diversity highlights the need for adaptable risk management strategies that can address the unique challenges faced by different types of institutions.
- **Risk Prioritization:** Institutions prioritize the protection of archives with high historical and economic value, as well as non-paper and sensitive content. While building and human health risks are acknowledged, they are generally considered secondary to the preservation of the archival materials themselves.
- **Resource Constraints:** A significant challenge for many institutions is the allocation of sufficient financial resources for risk management and disaster preparedness. Many institutions report having only partially sufficient or no dedicated resources, which can hinder their ability to implement comprehensive preparedness measures.
- **Technology Adoption:** The adoption of digital and technological tools for disaster prevention and protection is uneven. While some institutions are leveraging technology for environmental control, building management, and data management, a substantial number are not utilizing these tools.
- **Risk Management Planning:** Most institutions have some form of a risk management plan, but full implementation remains a challenge. Fire and natural disasters are the most commonly addressed risks in these plans, with climate-related risks being less frequently included.
- **Quality Assurance Gaps:** A significant portion of institutions lack formal mechanisms for measuring the effectiveness of their disaster preparedness programs and for conducting quality assurance audits. There is also a low adoption rate of relevant ISO standards.
- **Climate Change Awareness:** While many institutions are taking steps to mitigate climate change impacts, such as improving environmental controls and building upgrades, a significant portion still do not include climate change risks in their risk assessments.
- **Collaboration and Training:** Collaboration among institutions is common, particularly in sharing best practices. However, engagement with international organizations is limited, suggesting a potential for greater knowledge exchange and resource access. Staff training, particularly through online learning, is generally well-received, but time constraints pose a significant challenge to participation.

Overall, the data analysis reveals both strengths and weaknesses in the current state of risk management and disaster preparedness among archival institutions. While there is a strong awareness of the importance of protecting documentary heritage and a willingness to collaborate, significant challenges remain in resource allocation, technology adoption, plan implementation, quality assurance, and addressing emerging threats like climate change.

6 – Sources

Key standards and guidelines could revolve around:

1. Emergency preparedness (ISO 21110, ISO 22320),
2. Climate change adaptation (ISO 14090, ISO 14091),
3. Building and environmental specifications (EN 16893),
4. Disaster risk reduction (UNESCO, Blue Shield International), and
5. Risk management and continuity planning (ISO 31000, ISO 22301).

These standards and frameworks can help assess and plan the protection of physical documentary heritage from various disasters, enabling institutions to develop preventive measures and immediate response capabilities.

1. Emergency Preparedness

- **ISO 21110:2019 - Security and Resilience – Emergency Preparedness for Protecting Cultural Heritage**
Focuses on emergency planning and preparedness for protecting cultural heritage, including archives, from disasters such as fires, floods, and other threats.
- **ISO 22320:2018 - Security and Resilience - Emergency Management**
Provides guidelines for managing emergencies, including response strategies for sudden events like fires or floods, with direct relevance to protecting physical documentary heritage.

2. Climate Change Adaptation

- **ISO 14090:2019 - Adaptation to Climate Change - Principles, Requirements, and Guidelines**
Offers guidance on adapting to the impacts of climate change, including protecting archives from long-term environmental changes that threaten physical collections (e.g., rising temperatures, humidity).
- **ISO 14091:2021 - Adaptation to Climate Change - Vulnerability, Impacts, and Risk Assessment**
Builds on ISO 14090 by providing a detailed approach to assessing vulnerabilities and risks posed by climate change to archival buildings and physical documents.

3. Building and Environmental Specifications

- **EN 16893:2018 - Conservation of Cultural Heritage - Specifications for Location, Construction, and Modification of Buildings or Rooms Intended for the Storage or Use of Heritage Collections**
Provides detailed specifications for the design, construction, and maintenance of archival buildings to ensure the protection of physical documentary heritage from environmental risks and disasters.

4. Disaster Risk Reduction

- **UNESCO - Memory of the World Programme - Disaster Risk Reduction for Archives and Documentary Heritage**
Offers guidelines on disaster risk reduction with a specific focus on the protection of physical archives and documentary heritage from natural and man-made disasters.
- **Blue Shield International Guidelines for the Protection of Cultural Property in Armed Conflict**
Provides specific guidance on protecting cultural property, including physical documentary heritage, during armed conflicts and man-made disasters.

5. Risk Management and Continuity Planning

- **ISO 31000:2018 - Risk Management Guidelines**
A broad risk management standard that provides a framework for institutions to assess, manage, and mitigate risks, including those affecting the protection of physical documentary heritage.
- **ISO 22301:2019 - Security and Resilience - Business Continuity Management Systems**
Focuses on ensuring business continuity in the face of disasters, including guidelines for protecting and recovering physical collections and ensuring archival institutions can resume operations after disruptions.
- **ISO 37101:2016 - Sustainable Development in Communities - Management System for Sustainable Development**
While primarily focused on community sustainability, this standard can help ensure that the archival institutions housing physical heritage collections integrate sustainability
- **Benchmarking and Quality Assurance Frameworks for Cultural Institutions**
Frameworks developed by IFLA (International Federation of Library Associations) or ICA (International Council on Archives) can be helpful in assessing institutional capacities for handling physical documentary heritage in disaster scenarios. They provide tools to evaluate resources, staff training, and emergency preparedness in a cultural context.

Annex 1 – Questionnaire

SAGA WP2 – T2.1

Pilot Survey for Archival Institutions

Understanding risk management in relation to documentary heritage - Assessment of capacities and resources of archival institutions across Europe

1. Consent for Data Processing

By participating in this survey, you consent to the processing of any personal data provided in accordance with applicable data protection laws and regulations. The data collected will be used solely for research and analysis purposes and will not be shared with third parties without prior consent. You may withdraw your consent at any time by contacting us at jacopo.cellini@eui.eu.

2. Introductory Questions (Institution Identification)

1. Please indicate the type of your institution (please tick all relevant options):

- ☐ National Archive
- ☐ Regional/Branch Archive
- ☐ ICARUS Member
- ☐ EAG Group Member
- ☐ Other (please specify): _____

2. What is the primary focus of your institution? (Please rank the focus areas from most to least important)

- ☐ Archival preservation
- ☐ Documentation and records management
- ☐ Cultural heritage
- ☐ Research and education
- ☐ Other (please specify): _____

3. Please select your institution's country of origin (tick one):

- ☐ Albania
- ☐ Andorra
- ☐ Armenia
- ...
- ☐ Other (Please specify)

4. How many physical documents does your institution manage?

- ☐ Less than 10,000
- ☐ 10,000 – 100,000
- ☐ 100,000 – 500,000
- ☐ More than 500,000

5. What is the size of your institution's staff?

- ☐ Less than 10
- ☐ 10 – 50
- ☐ 50 – 200
- ☐ More than 200

3. Institutional Capacity and Resources

6. What are the most important risks for your institution? *(Please rank from most to least important)*

- ☐ Risk of destruction of archives of high historical and economic value
- ☐ Risk of destruction of archives of sensitive contents
- ☐ Risk of destruction of archives of high artistic value
- ☐ Risk of destruction of non-paper archives (e.g., films, disks, photographic negatives)
- ☐ Risk to human health
- ☐ Risk to the building itself

7. How do you assess your institution's capacity to manage risks related to physical documentary heritage?

(Select all that apply)

- ☐ Regular internal assessments
- ☐ Occasional reviews based on specific projects
- ☐ No formal assessment process
- ☐ External assessments by third parties

8. How often do you review your institution's resource allocation for disaster preparedness?

- ☐ Annually
- ☐ Every 2–3 years
- ☐ Only after a major event
- ☐ We do not have a formal review process

9. Does your institution have sufficient financial resources dedicated to risk management and disaster preparedness?

- ☐ Yes, fully sufficient
- ☐ Partially sufficient
- ☐ Insufficient

☐ No dedicated resources

10. Please describe any challenges your institution faces in allocating sufficient resources (financial, staff, or technological) for disaster preparedness.

11. On a scale of 1 to 10, how would you rate the quality of your institution's infrastructure and equipment for preventing threats caused by disasters and climate change? (1 = very poor, 10 = excellent)

12. Do you use new or digital technologies to prevent or protect against disasters?

13. If yes, please describe how they are applied.

4. Risk Management and Disaster Preparedness Practices

14. How important are the following risks to your institution? (Please rate each risk on a scale from 1 to 5, with 1 = not important and 5 = extremely important)

☐ Natural disasters (e.g., floods, earthquakes): ____

☐ Fire (either natural, provoked or by accident)

☐ Man-made disasters (e.g. vandalism, armed conflict, civil disorder, terrorism, biological/chemical threat, etc.): ____

☐ Climate-related risks (e.g., rising temperatures): ____

☐ Technological risks (e.g., data loss, cyber threats): ____

☐ Financial risks (e.g., funding cuts, resource scarcity): ____

15. Does your institution have a formalized risk management plan for disasters (natural or artificial)?

☐ Yes, fully implemented

☐ Yes, but not fully implemented

☐ No, but we are in the process of developing one

☐ No, we do not have a plan

16. If you answered "Yes" to having a formalized risk management plan, please answer the following:

• **Which types of risks are included in your disaster preparedness plan? (Select all that apply)**

☐ Natural disasters (e.g., floods, earthquakes)

☐ Fire (either natural, provoked or by accident)

☐ Man-made disasters (e.g. armed conflict, civil disorder, terrorism, biological/chemical threat, etc.)

☐ Climate-related risks (e.g., rising temperatures)

☐ No specific risks addressed

17. How often is your risk management plan reviewed or updated?

☐ Annually

☐ Every 2–3 years

☐ Only after a disaster

☐ Never

18. If you answered "No" to the question about having a formalized plan:

- **How important do you consider disaster preparedness for your institution? (Please rate on a scale of 1 to 10, with 1 = not important, 10 = extremely important)**

19. How does your institution measure the effectiveness of your disaster preparedness programs?

☐ Performance indicators and benchmarks

☐ Staff training and drills

☐ Evaluation of past responses

☐ No formal measurement

20. Could you elaborate on any lessons learned from past disasters or emergencies that have influenced your institution's preparedness strategy?

5. Quality Assurance and Risk Mitigation

21. Does your institution perform regular audits or evaluations of its disaster preparedness and risk management strategies?

☐ Yes, annually

☐ Yes, but less frequently

☐ No, but we are planning to start

☐ No, we do not perform audits

22. What quality assurance mechanisms are used to evaluate your institution's disaster preparedness?

☐ External audits

☐ Internal reviews

☐ Peer evaluations with partner institutions

☐ No specific mechanisms

23. Which of the following ISO standards has your institution adopted? (Select all that apply)

☐ ISO 21110:2019 - Emergency preparedness and response

☐ ISO 22320:2018 - Security and resilience — Emergency management — Guidelines for incident management

☐ ISO 14001:2015 - Environmental management systems — Requirements with guidance for use

☐ ISO 14064-1:2018 - Greenhouse gases Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals

☐ ISO 50001:2018 - Energy management systems

☐ ISO 14090:2019 - Adaptation to climate change - Principles, requirements and guidelines

- ☐ ISO 14091:2021 - Adaptation to climate change — Guidelines on vulnerability, impacts and risk assessment
- ☐ ISO 31000:2018 – Risk management — Guidelines
- ☐ ISO 22301:2019 – Security and resilience — Business continuity management systems — Requirements
- ☐ ISO 37101:2016 – Sustainable development in communities — Management system for sustainable development — Requirements with guidance for use
- ☐ ISO 11799:2024 - Information and documentation — Document storage requirements for archive and library materials
- ☐ None of the above
- ☐ Other: Please specify

24. Can you share any recent quality assurance initiatives or audits that have resulted in significant changes or improvements to your risk management strategy?

6. Climate Change and Environmental Risk Assessment

25. Does your institution include climate change risks in its risk assessments for physical documentary heritage?

- ☐ Yes, regularly
- ☐ Yes, but only in specific cases
- ☐ No, but we are planning to
- ☐ No, we do not address climate change risks

26. What measures has your institution implemented to mitigate climate change impacts on archival collections?

- ☐ Improved environmental controls (e.g., humidity, temperature)
- ☐ Building upgrades to resist environmental damage
- ☐ Building upgrades to improve energy efficiency
- ☐ No specific measures in place
- ☐ Other (please specify)

27. Do you currently monitor and report on any sustainability related metrics:

- ☐ Energy use or energy indicators (ISO 50001 or equivalent management system)
- ☐ Environmental metrics (water, waste, energy, biodiversity, environmental awareness and training)
- ☐ Other (please specify)

28. How is your institution planning to adapt its disaster preparedness strategy to address growing climate change-related risks?

7. Stakeholder and Partner Engagement

**29. How does your institution collaborate with other organizations to improve disaster preparedness?
(Select all that apply)**

- ☐ Sharing best practices
- ☐ Joint emergency drills or training
- ☐ Mutual aid agreements for emergencies
- ☐ We do not engage in collaborations
- ☐ Other (please specify)

30. Does your institution engage with international organizations (e.g., ICA, Blue Shield) for disaster preparedness?

- ☐ Yes, actively
- ☐ Yes, occasionally
- ☐ No, but we are interested
- ☐ No, we do not engage internationally

31. Please describe any successful collaborations or partnerships with external organizations that have strengthened your institution's disaster preparedness.

7. Challenges and Areas for Improvement

32. What would be the most impactful change or improvement your institution could make to its disaster preparedness and risk management capabilities?

Final Questions & Authorizations

33. If you have any particular Good Practice/Success Story that you would like to share in terms of risk management policy or activities, please feel free to mention it.

34. I agree to be contacted by the organizers for further information and follow-ups.

35. If yes, please insert your email address.

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