



AALBORG UNIVERSITY

**Training of employees in the area of
Records Management.**



AALBORG UNIVERSITY

Master Thesis 2016

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Training of employees in the area of Records Management.

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Tore Joa

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Training of employees in the area of Records Management.

Abstract

Trening av ansatte innenfor Records Management synes ikke å ha stort fokus hos flere selskaper. Jeg ønsker med min oppgave å kartlegge om dette er korrekt.

Jeg har basert oppgaven min på funn gjort i en stor undersøkelse utført hos 2.679 amerikanske selskaper og organisasjoner i 2014. Jeg har basert på denne undersøkelsen, samt ISO 15489 og ISO 18128, laget min egen survey som jeg har gjennomført her i Norge. Målet mitt har vært å sammenligne mine funn med de som ble gjort i USA.

Det å innføre Records Management (RM) trening kan gjøres av ulike årsaker, som eksempelvis for å spare penger, redusere risiko eller for å etterleve lover og regler. Jeg har i min survey prøvd å kartlegge hva som trigger selskapene mest ved å utføre RM trening. Jeg har også kartlagt fordeler og ulemper med å innføre RM trening, samt risiko knyttet opp mot å ikke gjøre det.

Jeg har valgt å se på metoder og trender når det gjelder RM trening av ansatte. Jeg har kartlagt en utprøvd metode når det gjelder trening som heter The Learning Pyramid. Videre har jeg analysert om dette er en metode som blir hensyntatt i dagens trender når det gjelder trening av ansatte. The Learning Pyramid anbefaler at ansatte skal delta aktivt i trening for på denne måten å få best utbytte av opplæringen. Trender derimot viser seg å gå mot mer online trening da dette er kostnadseffektivt, det betyr nødvendigvis ikke at dette er en god måte å trene ansatte på.

Videre i oppgaven analyserer jeg funn fra min egen survey som ble besvart av 25 personer fra 20 forskjellige selskaper, hovedsakelig knyttet opp mot olje og gass sektoren. Analysen viser at snittet for selskapene som har besvart undersøkelsen er bedre på trening av ansatte innenfor RM, en de selskapene som besvarte undersøkelsen i USA. Likevel er det ikke noen god score og jeg ser klare tegn på at vi har en lang vei å gå også i Norge for å bli bedre på dette området.



Table of contents

Abstract.....	2
1 Introduction and background information	4
1.1 Aim of assignment	6
1.2 Limitations.....	7
1.3 Method	7
1.3.1 Literature	8
1.3.2 Survey and distribution.....	9
1.4 Definition	9
1.4.1 CRM.....	9
1.4.2 RM.....	9
1.4.3 RIM.....	9
1.4.4 Gamification.....	10
2 Survey background, design & method	10
2.1.1 How was the data analysed	12
3 Risks and Impact related to Records Management training	13
4 Records Management training overview	15
4.1 How to provide good methods of learning.....	15
4.2 Advantages & Disadvantages with Records Management training	17
4.2.1 Advantages.....	17
4.2.2 Disadvantages	17
4.3 Cost related to Records Management training	18
4.4 Summary of advantages & disadvantages related to Records Management Training	19
4.5 Competence and Training.....	20
5 Survey Results & Analysis	21
6 Conclusion	26
7 Recommendations	27
8 Strengths and weaknesses with this assignment	27
9 References	28

Appendix 1 - Definition of The 5 Best Practise Areas from an Iron Mountain perspective

Appendix 2 - IGBR Survey

Appendix 3 - Definitions

Appendix 4 - Questions and answers from my survey

Appendix 5 - Survey Intro letter

Appendix 6 - Example of a Risk Register from ISO/TR 18128:2014

Appendix 7 - Example of scaling probability



Training of employees in the area of Records Management.

1 Introduction and background information

To help businesses address and resolve records management challenges, companies has conducted extensive research on how different industries implement and conduct records management solutions that enhance compliance while minimizing costs and risks.

For the past 64 years Iron Mountain, a global Records & Information Management company, has worked with organisations of all sizes to improve their records management programs. In 2013/2014 they launched the results of a big survey conducted together with Cohasset Associates, ARMA and AIIM. The survey is named "Information Governance Benchmarking Survey" (Ref.10: IGBS Information Governance Benchmarking Survey). They completed a comprehensive study of 2.679 organisations in the private, publicly traded, government and non-profit sectors from the US in a 32 pages report. The report compares current records management initiatives across five best-practise areas.

These 5 best practise areas are

- Policies and Procedures
- Retention
- Index and Access
- Privacy and Disposal
- Audit and Accountability

These 5 best practise areas are defined as the foundation for a compliant records management programme and a proactive framework for the protection of the organisation's most valuable assets.

By studying the report I learned more about some surprising perspectives and key records management issues and what areas that was the most challenging. There are challenges related to all of the 5 best practise areas, like the report highlights described below show us.

Records Management Industry Highlights

- 29% of all respondents say that they have no written employee notification procedure should there be a need to cease disposal of records related to actual or anticipated legal actions, investigations, or audits.
- Only 13% of all organisations surveyed manage digital records in compliance with a records retention schedule.
- 63% of all respondents do not have a records management training programme.



Training of employees in the area of Records Management.

To narrow down my research on the 5 Best Practice areas I have focused more closely on the details in these 5 Best Practice areas. I have chosen to focus on records management training in this Master thesis.

The reason I find it interesting is that as much as 63% of all respondents from the 2.679 organisations interviewed have no records management training programme. I will find out if this trend is the same here in Norway and highlight what could be the risks and consequences by not having this training in place.

As the volume and visibility of new laws and regulations appear, together with an explosion in technology that has a direct impact on records, I find it more and more important to provide training for employees. This will make it easier for organisations to phase the increased litigations and regulatory investigations.

Lack of general employee knowledge in the area of records management, and lack of knowledge on the existing procedures and policies regarding records that are vital for the business continuity, puts the organisation on a severe risk. Both regarding compliance, possible sanctions, loss of rights and business continuity in general.

Policies and corresponding procedures and guidelines must be made known to everybody and solidly implemented in the organisations. Even if procedures and guidelines have been made available for employees, it is a well-known fact that we humans need continuous training so that we keep up to speed with the “way of doing things”.

To demonstrate how important training is for Iron Mountain I refer to their Compliant Records Management program and the below drawing showing that training has been made a part of every step in the Health Indicator. If you aim to get full score on the health scale you need to provide employees “Formal training consistently provided across the enterprise”.



Training of employees in the area of Records Management.

	Undetermined	Emerging	Variable	Formalized	Optimal
Program Health Indicators	Policies are not designed or implemented	If policy exists, it is implemented on an individual-basis	Existing policies implemented by multiple business units	Policies are designed but inconsistently applied	Policies are designed and implemented across the enterprise
	A program does not exist	A program does not exist	Program in infancy	Program exists but inconsistently applied	Program is designed and implemented across the enterprise
	Record types and media are not identified	Addresses limited record types and select media	Addresses limited record types and select media	Addresses most, if not all record types and media	Addresses all records and media, including electronic
	No training offered	Training is done on an individual-basis	Inconsistent and limited training	Occasional training by business units	Formal training consistently provided across the enterprise
	No compliance monitoring	Compliance monitoring is done on an individual-basis	Business units may provide limited compliance monitoring	Records management department provides compliance monitoring for all business units	Compliance monitoring is implemented across the enterprise

*As you see from the drawing above, Training is a vital part of the Best Practice areas.

More information about the Health Scale and definitions of the 5 Best Practise Areas in Appendix 1.

1.1 Aim of assignment

Some companies neglect training of employees in the area of Records Management. This master thesis will examine what might be the risks and consequences by not performing this training and hopefully reveal through a survey if training is provided across companies.

As described in the below figure from the IGBS (Ref.10) conducted in 2014, nearly one-half of respondents contend that the RIM Network (48%) receives training at least every two years, whereas only 35% of respondents assert that training for all employees occurs at least every 2 years. Problematically, over 50% of survey participants convey that employees never really receive any RIM training.

The model shows a great lack of training when it comes to Records Management. Later on in this assignment I will find out if my own survey provides similar results.



Training of employees in the area of Records Management.

	RIM Network	All Employees
Annually or more often	39%	23%
Every 2 years	9%	12%
Less than every 2 years	10%	12%
Only when role is assigned	29%	27%
None	13%	26%

* (Ref.10) The 2013/2014 Information Governance Benchmarking Report was performed by Cohasset Associates, ARMA, AIIM & Iron Mountain. Feedback is provided by nearly 12.000 employees from different companies working with roles like RIM and IG (Information Governance). See appendix 2 for the complete survey.

1.2 Limitations

- My survey has been conducted to 25 persons in 20 companies.
- Validation of the data provided can have its limitation because it presents only the 20 companies experience.
- Validation of the data provided can have its limitations because it presents only the 25 persons experience.
- Results from the survey might be inconsistent with some of the large organizations interviewed since it is only one person's opinion that has been brought to attention.
- Results might be inconsistent with some client's global initiatives, as only the Norwegian parts of these organisations have been interviewed.
- Survey has mainly been conducted within the Oil & Gas industry and might not reflect other branches that well.

1.3 Method

There have been several sources to gain relevant information to this Master thesis and to analyse it. I have used different ISO Standards, books, reports, articles from the internet and the 2014 Information Governance Benchmarking Survey conducted by ARMA & AIIM. For full reference listing please see chapter 9.

I have chosen the above mentioned literature as I see it relevant for my Thesis. There are not that much relevant literature describing my subject but by using input from several



Training of employees in the area of Records Management.

authors, articles and surveys, I have concluded that the literature used should be more than sufficient to support, analyse and to conclude.

In addition I have performed a survey conducted by 20 companies and 25 respondents. Beside the survey and the mentioned reports and technical literature from the internet, I have used ISO 18128 (Ref. 2: ISO/TR 18128 - 2014 Information and documentation) as a reference tool for analysing the risks and consequences. Find more information about these sources in section 1.3.1 below and in my reference listing in section 9.

The results from my survey has been analysed and I have compared this against literature that I have read related to this Master Thesis.

I could have performed interviews instead of a survey. But to get as much people as possible to answer my questions and be most time effective I choose to perform a web based survey. There are pros and cons using both; an example could be that interviews could capture emotions and behaviours, but then again to capture motions and behaviours are not part of my goal for this assignment. After having studied pros and cons I found out that a web based survey would be the correct choice for my Master Thesis. (Ref.16: Advantages and Disadvantages of Face-to-Face Data Collection)

1.3.1 Literature

As theoretical background it has been used ISO Standards, literature from the internet, magazines and journals. A complete list of literature and standards can be found in Chapter 9 References.

I would especially highlight Jørgen H. Martinsen's book, named "Arkivdanning, veiledning i arkivarbeid". Jørgen has worked in Riksarkivet in Norway for many years with several roles and responsibilities. One of his main focus areas has been training. I have used Jørgen's book to gain information about how important training is within Records Management. (Ref. 1: Arkivdanning – Veiledning i arkivdanning)

ISO/TR-18128:2014 has been a base for developing my survey that is described further on in this report. I used it to analyse if risks related to records processes and systems that create or store records, are handled in the different organisations. (Ref. 2: ISO/TR 18128 - 2014 Information and documentation)

DS/ISO 15489-1:2016 Information & Documentation has recently been launched. This updated standard now contains information about competence and training related to Records Management, and I have used this information to support my Master Thesis. (Ref. 3: DS/ISO 15489-1:2016 (2016.04.15) – Information and Documentation)



Training of employees in the area of Records Management.

Other smaller internet articles have been used to support smaller parts of this assignment.

I have used the above mentioned literature to support facts and best practises related to records management training, and I have then compared this against my observations during the survey.

I have chosen the specific literature because it covers all topics of my assignment and I see it as very relevant. It has been interesting to read and there are some interesting statements that I will cover in this assignment and reveal if the statements go along with my findings.

1.3.2 Survey and distribution

To gain first-hand information I have conducted a survey using www.polldaddy.com as my tool for creating and distributing the survey.

The questions are based on the "IGBS" survey (Ref.10), ISO 18128 (Ref.2) and Christopher Peters "How to design and analyse a Survey?(Ref. 4: How to design and analyse a survey)

For survey results and analysis see chapter: 5

I have distributed the survey via e-mail to persons within my own organisation, clients and other companies. There have been responses from oil companies, service companies related to the oil industry, lawyer firms, aviation branch, drilling companies and Public Sector archives. It is mainly Records and Data Managers who has responded.

1.4 Definition

Following definitions are used in this assignment
(See appendix 3 for more definitions related to this assignment).

1.4.1 CRM

The term CRM is a short for Compliant Records Management.

1.4.2 RM

Records Management: Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

(Ref. 3: DS/ISO 15489-1:2016 (2016.04.15) – Information and Documentation)

1.4.3 RIM

Records management services (RM), also known as Records information management or RIM, is the professional practice or discipline of controlling and governing what are considered to be the most important records of an organization throughout the records life-



Training of employees in the area of Records Management.

cycle, which includes from the time such records are conceived through to their eventual disposal. This work includes identifying, classifying, prioritizing, storing, securing, archiving, preserving, retrieving, tracking and destroying of records. The purpose of records management is part of an organization's broader activities that are associated with the discipline or field known as Governance, Risk, and Compliance (or "GRC") and is primarily concerned with the evidence of an organization's activities as well as the reduction or mitigation of risk that may be associated with such evidence. (Ref. 5 Wikipedia: Records Management)

1.4.4 Gamification

Gamification is the use of game thinking and game mechanics in a non-game context in order to engage users and solve problems. (Ref. 6: Intro to Gamification – By Michelle Andreassen)

2 Survey background, design & method

As framework for the survey I have used ISO 18128 (Ref. 2) and “How to Design and analyse a Survey” written by Data scientist, Christopher Peters (Ref.4). I have formulated the questions so that I can compare them to the literature and draw conclusions based on it.

At first I included questions that divided the respondents into gender, age, company revenue and other segmentations. But Christopher Peters clearly states that the worst thing you can do is blindly choose categories that aren't meaningful to your assignment. Age groups and differentiation by sex are commonly seen market segmentations, but what will you actually do with that information? Based on this I chose to focus solely on specific questions related directly to my Master Thesis.

The survey has been answered by 25 persons working in 20 different companies. There are respondents from E&P companies, aviation, well and drilling companies, lawyer firms and archive functions within the public sector. It is mainly Records and Data Managers who has responded to the survey.

The survey was created by using a free web survey tool called www.poll daddy.com. Polldaddy is a tool for creating and managing polls and ratings. I found it helpful especially since I could view all results as they come in. The system was easy to customize as I could set a close date for my survey and also create multiple choice questions.

I sent the link to my survey together with a small intro to 35 respondents via e-mail. After the deadline for answering the survey I had received answers from 25 persons. This is a respond rate of 71,40% which I find very good. See appendix 5 for survey intro letter.



Training of employees in the area of Records Management.

My main goal was to measure the current focus that companies have on Records Management training and if Risks related to Records Management is taken into consideration. Therefore I had 4 questions related to each of the 2 topics, 8 questions in total.

1st question will reveal how training is delivered in the organisation and if it is delivered at all. I ask this question to reveal at what level the training is performed.

2nd question relates to administration of the training programme. Who is responsible for the training? Is it done internally or mostly externally? I will find out if there are companies who have dedicated personnel or departments handling the training, or if they use external trainers.

3rd question reveals if companies have a strategic plan for Records management training. I will also allocate at what level the plan is.

4th question has a direct link to ISO 18128 (Ref. 2) and should reveal if companies see Records Management as part of their organisations general Risk Management Process.

5th question has also been created based on the same ISO standard and it will identify if organisations put findings of identified risks related to Records Management into a risk register. See appendix 6 for Risk Register Example.

6st question defines if identified risks are being analysed. Do the company analyse the risks by determining the potential consequence and the likelihood of the risk being realized? See appendix 7 for example of scaling probabilities.

7th question is a question where every respondent should select the 5 scenarios that they think could have the most valuable impact on their organisation, if Records Management training was provided. I had defined 11 scenarios that they could choose from. All the scenarios were taken from either ISO 18128 (Ref. 2), the IBGR survey (Ref. 10) and literature related to my report.

8th question defines to whom training is provided. Is it delivered to specific personnel, all employees or just within different areas within the organisation?



Training of employees in the area of Records Management.

2.1.1 *How was the data analysed*

Data from the survey has been analysed using the Categorical method. I have calculated the numbers of responses and then divided the number in each category by the total. This is called a relative frequency statistic or percentages/shares. The most important aspect is that the sum should be 100%. (Ref. 4)

All survey questions, answers and results are available in Appendix 4.

I have used ISO/TR 18128 (Ref. 2) as part of my assignment to analyse risks related to records processes and systems.

Identifying and manage risks related to records processes and systems are usually the responsibility of the organisation's records professional and is an important part of organisations risk management programs. The ISO/TR 18128 (Ref. 2) has been written to help records professionals and other people responsible for records in their organisation, assess the risks related to records processes and systems.

The consequence of risk events to records processes and systems is the loss of, or damage to, records which are therefore no longer useable, reliable, authentic, complete, or unaltered, and therefor can fail to meet the organisation's purposes. It applies to risks related to records processes and systems and it covers;

- Risk identification
- Risk analysis
- Risk evaluation

Once the assessment of risks has been completed they should be documented and communicated to the organisation's risk management section. To see if records and information management is part of companies risk management process I have chosen to include the following question in my survey; [Is Records and Information Management part of your organization's general Risk Management Process?](#)

In the survey I want to see if there is any link between training within the area of records management and companies reporting their records management risks to the organization's general Risk Management Process. I will reveal these results in chapter 5.



Training of employees in the area of Records Management.

3 Risks and Impact related to Records Management training

I asked my respondents to categorise the 5 most important impacts Records Management training could have in their company. I gave them 11 options to choose from.

These 11 options were taken from the literature, ISO 18128 (Ref. 2) and surveys I have read in relation to this project.

My understanding is that companies have a different view of risks related to Records Management training. Some see it as important when they take risks into consideration, while other companies do not see the same risks and therefore it is not that important to them. This is supported with findings in my survey. By asking these questions I was looking to see if there were large discrepancies between the respondents, or if they would all see the same risks as important. Each of the 25 respondents needed to tick of 5 of the alternatives.

Result from survey in figure below:

	0%	8.5%	17%	COUNT	PERCENT
It will enable us to meet our legal and regulatory obligations more easily, safeguarding against potential breaches of corporate security				21	17%
Records will be categorised according to their subject matter, importance, and date, making them more reliable and easier to retrieve, saving valuable time				16	13%
Increase security of vital records or information in case of business disruption or disaster				13	10%
Help to reclaim valuable office time and prevent costly Records Management operations.				12	10%
Increase protection against accidental or premature records destruction				12	10%
Make it easier to safely dispose documents at the appropriate time				11	9%
Minimize the risk of loss or damaged reputation				11	9%
Avoid that my company gets fines and penalties for not handling information in the correct manner.				8	6%
Ensure records are stored in the most appropriate format and medium				8	6%
It will help to avoid records being misfiled and minimise duplication				7	6%
Reduce cost related to records management				6	5%

All of the 11 options have been used by the respondents, even if they only could tick of 5 each. This tells me that the 25 respondents have different views about the risks related to their specific business.

The responses provided me the opportunity to visualise what the respondents see as most important for their company, in this instance it is to meet legal and regulatory obligations,



Training of employees in the area of Records Management.

safeguarding them against potential breaches of corporate security. 17% found this important.

Most unexpected was that cost reduction related to Records Management seem to have little impact in their companies if they provided RM training. As described in my next chapter of this assignment, chapter 4, cost would have impacts if training is provided. This chapter shows the pros & cons by performing RM training.

To visualize what risk Senior Management in a company is taking by not providing Records Management training, I have put the responses into a risk matrix. The matrix is based on the answers revealed in my survey and the numbers in the figures corresponds to the statements below:

Frequently					
Probable					
Occasional	4	2			
Remote		10	6/8	5/7	1
Improbable		11	9		3
Unbelievable					
	Negligible	Marginal	Critical	Very Critical	Catastrophic

1. It will enable us to meet our legal and regulatory obligations more easily, safeguarding against potential breaches of corporate security
2. Records will be categorised according to their subject matter, importance, and date, making them more reliable and easier to retrieve, saving valuable time
3. Increase security of vital records or information in case of business disruption or disaster
4. Help to reclaim valuable office time and prevent costly Records Management operations.
5. Increase protection against accidental or premature records destruction
6. Make it easier to safely dispose documents at the appropriate time
7. Minimize the risk of loss or damaged reputation
8. Avoid that my company gets fines and penalties for not handling information in the correct manner.
9. Ensure records are stored in the most appropriate format and medium
10. It will help to avoid records being misfiled and minimise duplication
11. Reduce cost related to records management



4 Records Management training overview

4.1 How to provide good methods of learning

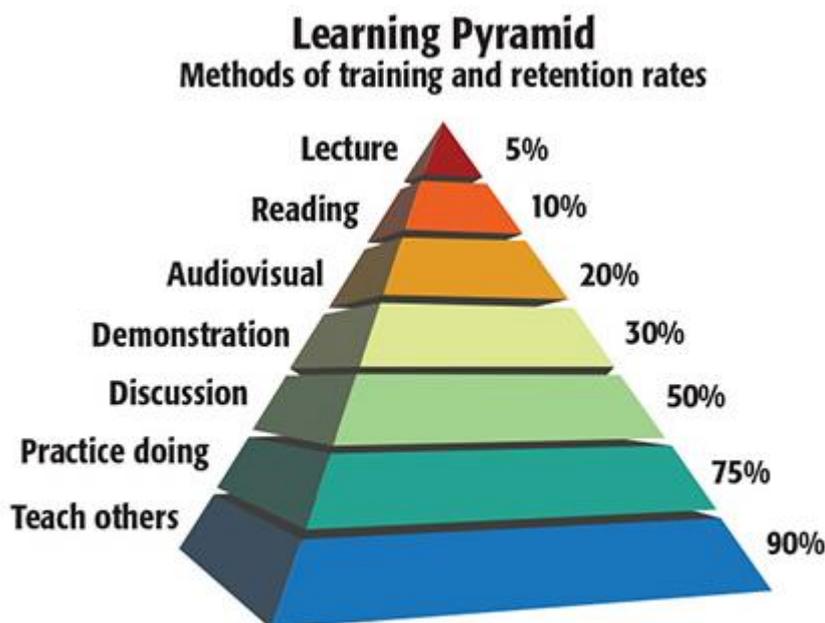
There are various methods a learner can engage in which will allow employees to learn and adapt information. I have chosen to focus on using the Learning Pyramid. (Ref. 7: The Learning Pyramid)

Based on research from the National Training Laboratories (NTL) in Bethel, the least effective method would be a lecture. Long term retention rates of a typical lecture, where an individual merely stands in front of people and talks is considered to be around 5%. However, if people get actively involved and collaborate with others, his or her retention rate dramatically increases. The difference in retention between passive and active methods is significant.

NTL's history began in 1946, with the vision of Kurt Lewin, founder of modern social psychology and a pioneer in the field of action research. Lewin, then Director of MIT's Research Center for Group Dynamics, concluded from his experiences that increased awareness of self and others could be accomplished through facilitated group dialogue in Training groups that advocates open- minded appreciation and inclusion of differences. Lewin concluded that the participants who learned by experience, rather than lecture and reading, provided high potential for diagnostic study, evaluation and, most important, for changing behaviour's. His conclusions formed the basis for the NTL Learning Experience and later on the Learning Pyramid. (Ref. 7)

Fig below. Learning Pyramid, Methods of Training.

Training of employees in the area of Records Management.



*Figure 3: The Learning Pyramid; Source:
National Training Laboratories, Bethel, ME*

The Learning Pyramid demonstrates that the best methods for learning retention are at the Base of the pyramid.

Therefore, it is best to design lessons and activities with this information in mind to ensure the learners are actively engaged in the learning process. This is achieved through discussion groups, practise activities, collaboration and teaching others.

The Learning Pyramid (Ref.7) was first published back in 1967 but is still relevant today even if more modern research shows that there are other trends taking place. We can look at the study report "Emerging Trends in Training and Development" from the International Journal of Scientific and Research Publications to validate this. The report is written by R.Suhasini (Research Scholar) and Dr. T.Suganthalakshmi (Assistant Professor) from 2 different universities in Coimbatore, India.

(Ref. 8: Emerging Trends in Training and Development)

The report was written in 2015 and states that organisations in India are very serious about their learning and development functions. IT tools are often used since the trends clearly move towards online computer generated training. This type of training becomes critical especially as companies search ways to become more cost efficient and train their employees more effective. Today, a number of computer-based training approaches have arisen and continued to develop.



Training of employees in the area of Records Management.

This way of training turns out to involve employee's in a way that can be seen negative in relation to The Learning pyramid (Ref.7).

The Learning pyramid focus on the bottom of the pyramid, stating that teaching each other is the best way of learning. Looking at the new computer based trends, they seem to focus on the top of the pyramid providing training like online lectures, audio-visual and online demonstrations.

This could mean that new training trends are more efficient and cost effective, but does not provide as good results as training that engages employees does.

4.2 Advantages & Disadvantages with Records Management training

4.2.1 Advantages

By performing regular Records Management training you will develop your skills and increase your ability to pass audits related to your role within records management. You, your department and your company should always be up to speed and try to do things better and more efficient.

ISO 15489 – 2016 (Ref.3) clearly states that people with assigned responsibilities within Records Management should be competent to perform these tasks. To be competent they should regularly perform training and develop such competencies and skills.

Lack of training could result in legal and operational implications as well as business disruptions resulting from being unprepared. All this has a potential cost and risk related to it. Internal training is essential to ensure that your organization is following its internal standards and practices, but also for developing the employees so that they are up to speed with laws, regulations and other related regulatory criteria's.

4.2.2 Disadvantages

Keeping up to speed with records management training can have a cost impact on your business. It could be time consuming and your company must allocate personnel to handle the training. Other departments that will be trained will also be affected and this might cause frustration and ineffectiveness during the training period.

An investment in a proper records management training function is for many companies a cost of doing business. Smaller businesses could manage using simpler internal training. Larger companies may need a system and the technology that handles the training process for them so the personnel meet the records management requirements. If those requirements include successfully meeting legal and regulatory compliance, their records management training function will also need a regular policy of records management training, which in turn require time and training.



Training of employees in the area of Records Management.

If your organisation does not handle the training it selves but choose to hire an external trainer, there could also be disadvantages. Some could be Time, Learning curve, confidentiality and money.

- Time: An external trainer might not be hired without an RFP, this could be a time consuming process involving interviews and reference checks.
- Learning Curve: Getting an external trainer up to speed could be both complex and time consuming.
- Confidentiality: Your external trainer will most likely get access to confidential, private and sensitive information. This may put confidential information at risk.
- Money: Your external trainer may demand a higher rate than your own employees.

4.3 Cost related to Records Management training

Records Management training may result in some cost issues. Employees need to be involved when training takes place. This might be at their desk, home office, meeting rooms or they might need to travel nationally or abroad. Training of personnel, production or re-writing of policies & procedures and perhaps a new mind-set and way of working needs to be rolled out in the whole organisation. Involvement of staff usually generates cost issues and it most likely needs to be supported by management.

If the organisation does not have the skills needed to do this work, they could train existing personnel, make use of a vendor that have the appropriate skills or they could make use of Best Practices.

Best Practices from similar companies that have been successful making their records and information management compliant, could make a good platform for further work within your organisation.

Another interesting theme is training in times of economic crisis in a company. How would this affect training?

Education in time of an economic crisis is still important. Companies need to evaluate the training that is being provided and choose to continue training were it is expected to have the most impact for the company in the future. Research from 2009 done by the World Bank in Washington has evaluated how economic crisis effects education around the world. Their conclusion is that Wealthy companies are responding to the crisis by using growth stimulus spending to promote skills development programs, taking advantage of the



Training of employees in the area of Records Management.

contraction in jobs to provide incentives for laid-off workers and youths to skill up for the future. (Ref. 9: The World Bank – Education In A Time Of Global Economic Crisis)

I have provided a list below showing some of the relevant challenges a company could face when it comes to implementing Records Management training:

- Cost issues
 - Needs to invest in training personnel with competence
 - Needs to develop or invest in training systems
 - Will create cost like travelling and could be time consuming for employees
- Management involvement
 - Time consuming
 - Lack of focus, just another project for the management to deal with.
- Production of new policies & procedures
 - Needs skilled resources
- Re-writing of policies & procedures
 - Needs skilled resources
- New mind-set and way of working needs to be implemented in the organisation
 - Could be time consuming to implement in the whole organisation
 - Difficult to get all the employees “on board” since Records Management is not a part of their business and responsibility.
- Collaboration with vendors or similar companies to learn more about Best Practices
 - A vendor might be expensive.
 - A vendor might not know your business well enough to contribute in a beneficial way.
 - Similar companies (Competitors?) will not reveal their best practices.

4.4 Summary of advantages & disadvantages related to Records Management Training

In summary there are mainly two disadvantages that are described above; Time and money! Time and money are familiar factors when decisions should be made. The upside of performing regular training is very high and one must weigh the business’s needs and gains against time and money. The potential costs of being non-compliant must be taken into consideration and I would absolutely recommend a risk analysis. Not implementing and retain a Records & Information Management programme, and make periodic training to support the programme, could have fatal consequences.



Training of employees in the area of Records Management.

When it comes to internal or external training I would recommend both. Regularly training should be performed by the company itself by people who are familiar with the business and business processes. Internal training could be provided monthly, quarterly or annually, depending on the size of the company and scope of the training.

Some companies have both internal and external training programs and very often records managers provide the training, and in addition there is an external training program.

All of this comes at a price that often needs to be justified to senior management. This might be the reason that computer-based online training is on the rise.

4.5 Competence and Training

The effect of increased Competence and Training within the Records Management area should not be underestimated. DS/ISO 15489-1:2016, the recently updated version from April 2016 now includes aspects of this. (Ref.3)

When people have assigned responsibilities related to RIM services they must be capable and competent to perform their responsibility. To be competent the standard clearly states that regularly training and training programs should be implemented where required.

The training programs should be ongoing and address all members of management and personnel that is responsible for any business activity related to Records Management.

It also states that the training program should be supported and promoted by senior managers and it should include contractors, volunteers and personnel of other organisations where relevant.



Training of employees in the area of Records Management.

5 Survey Results & Analysis

To analyse results from the survey I have used “How to Design and analyse a Survey” written by Data scientist, Christopher Peters (Ref.4). Based on his recommendations I have chosen to analyse the results using the “Categorical Data” method.

Categorical Data method = Calculate the total number of responses and then divide the number in each category by the total. These are called a relative frequency statistics. Many just call them percentages or shares, but the important aspect is that the sum should be 100%.

(Ref. 4: “How to Design and analyse a Survey” written by Data scientist, Christopher Peters)

I have focused on the High-Points and the Big Picture when presenting me results below. I have started with the largest differences and not the most unusual. To view the whole survey and the different results, please see appendix 4.

Result Highlights

Both question number 1 & 8 indicates that 32% of the respondents DO NOT offer or perform Records management training:

This result show a much better trend then the IGBS survey conducted In the US where as much as 63% did not perform RM training. I take this as a sign that we are a step ahead at the moment in Norway when it comes to training within the area of Records Management.

Question	Answers	Skips
01 How is Records Management training delivered in your organisation?	25 100%	0 0%
	0%	16.5%
	33%	COUNT PERCENT
We do not offer Records Management training	8	32%
Question	Answers	Skips
08 To who is training provided in your company? (you can tick of all applicable options) (Mandatory)	25 100%	0 0%
	0%	16.5%
	33%	COUNT PERCENT
We do not perform Records Management training	9	32%



Training of employees in the area of Records Management.

48% of the respondents answer that they do not have specific administration for training in place:

With nearly half of the respondents answering that there is no administration in place, I draw the conclusion that the training provided must be provided on an ad-hock basis.

Question	Answers	Skips
02 How will you describe your Records Management training program administration?	25 100%	0 0%

	0%	24.5%	49%	COUNT	PERCENT
There is no specific administration for training in place				12	48%

58% of the respondents say that they do not have a strategic plan for Records Management training:

With no strategic plan in place I think this supports my interpretation of question number 2, that training is provided mostly ad-hock. With no plan in place it might be that employees educate themselves as they find it necessary.

Question	Answers	Skips
03 Describe your organisation's strategic plan for Records Management training.	24 96%	1 4%

	0%	29.5%	59%	COUNT	PERCENT
We do not have a strategic plan for records management training				14	58%

64% of the respondents have not, or only at a very limited level, Records Management as part of their organisations Risk Management Process.

By not taking risk into consideration this might be an indicator that Management does not take Records Management seriously enough and they do not know the real impact and damage poor Records Management could do for their company.

Question	Answers	Skips
04 Is Records Management part of your organisation's general Risk Management Process?	25 100%	0 0%

	0%	22.5%	45%	COUNT	PERCENT
On a very limited level				11	44%
Yes it is				7	28%
No it is not				5	20%
I don't know				2	8%



Training of employees in the area of Records Management.

52% does not have identified risks related to Records Management documented in a Risk register.

I draw the same conclusions as to question number 4. Management does not take Records Management seriously enough and they do not know the real impact and damage poor Records Management could do for their company.

Question	Is identified risks related to Records Management documented in a risk register?	Answers	Skips			
05		25 100%	0 0%			
		0%	26.5%	53%	COUNT	PERCENT
	No it is not				13	52%

58% does not analyse risks by determining its potential consequences and the likelihood of the risk being realized:

Question 4, 5 and 6 has very similar answers and by a score of 58% risks are clearly not being identified. Once more I think that Management seriously enough and they do not know the real impact and damage poor Records Management could do for their company.

Question	Are risks being analysed by determining its potential consequences and the likelihood of the risks being realized?	Answers	Skips			
06		24 96%	1 4%			
		0%	17%	34%	COUNT	PERCENT
	Yes it is				8	33%
	On a very limited level				7	29%
	No it is not				7	29%
	I don't know				2	8%



Training of employees in the area of Records Management.

In question number 7 each respondent had to choose the 5 scenarios that could have the most valuable impact in their organisation, if records Management Training was provide.

Interpretation of question number 7 has been made in chapter 3, Risks and Impact related to Records Management training. In chapter 3 I have also put the results into a Risk Matrix based on the results.

Question 07	Select the 5 scenarios that could have the most valuable impact for your company if Records Management training is provided? <i>(Mandatory)</i>	Answers 25 100%	Skips 0 0%
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<https://poll daddy.com/surveys/2271505/report>

12/04/2016

'Training of employees and Risk' Survey Results | Poll daddy.com

Page 3 of 3

	0%	8.5%	17%	COUNT	PERCENT
It will enable us to meet our legal and regulatory obligations more easily, safeguarding against potential breaches of corporate security				21	17%
Records will be categorised according to their subject matter, importance, and date, making them more reliable and easier to retrieve, saving valuable time				16	13%
Increase security of vital records or information in case of business disruption or disaster				13	10%
Help to reclaim valuable office time and prevent costly Records Management operations.				12	10%
Increase protection against accidental or premature records destruction				12	10%
Make it easier to safely dispose documents at the appropriate time				11	9%
Minimize the risk of loss or damaged reputation				11	9%
Avoid that my company gets fines and penalties for not handling information in the correct manner.				8	6%
Ensure records are stored in the most appropriate format and medium				8	6%
It will help to avoid records being misfiled and minimise duplication				7	6%
Reduce cost related to records management				6	5%



Training of employees in the area of Records Management.

Question number 8.

68% answered that their company has some kind of training related to Records Management.

- **29% train all of their employees**
- **21% train only employees working within the Records management area**
- **11% train people working on specific projects**
- **7% has on-board training of new employees**

In total 50% train all of their employees or employees working within the records management area. The result differentiates from the US result from the IGBR survey and it is easy to draw the conclusion that Norway is in a leading position in relation to the US. It might also be that the Oil & Gas industry, that I have mainly focused on, is better positioned than all the US companies from across many branches that answered the IGBS survey.

Question	To who is training provided in your company? (you can tick of all applicable options) (Mandatory)	Answers	Skips
08		25 100%	0 0%
		0%	16.5%
		33%	
		COUNT	PERCENT
	We do not perform Records Management training	9	32%
	All employees	8	29%
	Only to employees working within the Records Management area.	6	21%
	To employees working on specific projects	3	11%
	Training programme for new employees (on-boarding)	2	7%

Summary of the survey.

There is an overall high score for not performing, planning or delivering Records Management training in the organisations surveyed. The same results also govern the questions related to Risks Management. Even though, we are better off than the IGBS survey conducted in the US (Ref.10). Reasons for this might be that I have mainly focused on the Oil & Gas industry whilst the IGBS survey has a much wider audience from a wider range of different sectors. It might also be that companies in Norway have a larger focus on training their employees compared to what they have in the US.

Several Companies that received the survey has actually contacted me because they found the topic very interesting as they were actually in the process of developing training systems related to Records Management. Both companies did admit that they scored low on several of the questions.



Training of employees in the area of Records Management.

6 Conclusion

Clearly there are companies neglecting training of employees in the area of Records Management. This has been demonstrated by results from the survey I have conducted. There are few companies that have a training programme or strategic plan when it comes to Records Management training.

Risk analysis in the area of Records Management turns out to be performed on a very limited level.

From the survey I can clearly see that there is a large potential for improvement when it comes to training and risk analysis related to Records Management, just as the IGBS survey from the US revealed in the beginning of this thesis. Even though there were poor results from my survey, we are better off than the IGBS survey conducted in the US.

Escalating risks of events creating loss of data, legal fines, loss of shareholder confidence, damaging publicity, rising costs, and lost productivity are only some of the concerns from The World Bank. In today's heavily regulated business environment, organisations must start or continue, to proactively provide records management training for their employees to avoid all these concerns and pitfalls. My survey revealed that companies are most concerned about legal and regulatory obligations, being able to meet these and safeguard against potential breaches against corporate security.

A Program for training of employees in both new and updated procedures, laws and regulations and best practises related to Records Management must be made and regularly carried out. Laws and regulations are changing, new ways of doing things are adopted and risks by not perform training or risk analysis increases.

To be prepared and to continuously improve skills are important if you want your company and employees to be one step ahead. Know the laws and regulations, be a good example for other companies and be effective and precise in what you do is important. This is a good way of working and brings large benefits.

I know that these are topics discussed in many companies these days and I hope that my learnings from this assignment can be used to help raising company's awareness of these topics.



Training of employees in the area of Records Management.

7 Recommendations

My recommendation will clearly be to provide employees with regularly records management training. Be sure to look at the Learning Pyramid Model and provide the best and most active training so that the participants get engaged. If getting people engaged is a challenge, you might consider using “Gamification” as a tool.

Be aware that new trends are focusing on computer based online training and that this could be both effective and cost efficient, but might not provide the same results as more actively engaged training.

8 Strengths and weaknesses with this assignment

The strengths in my assignment are that I am a professional in the area of Records and Information Management. However, to use my experience has been put to a challenge in this assignment to combine experience and theory.

If I'd had more time it would have been interesting to find out more about the different Records Management Training Programmes. Like what do they cost and how the best RM training is actually performed.

The “Information Governance Benchmarking Survey” was originally conducted in the US, not in Norway. But instead of this being a weakness for my assignment I have made it positive since I now have compared the US rating VS the Norwegian ratings that I have reached.

There is not a lot of literature on Records Management training and it was hard to find the correct literature for me. By reaching out for help both in Norway and the US, I found helpful information and was guided in the correct direction. By also using reports published on the internet it turned out well. Using ISO/TR 18128 as a tool for identifying risks was also very helpful.

It has been time-consuming and it has been difficult to try to get relevant and correct information gathered in this assignment since this is a quite small area within Records and Information Management.

It is good to see that ISO-15489 has taken training seriously and incorporated it in the new updated standard from 2016.



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