

Appraisal in an Organizational Context

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Aim of this lecture/seminars

- Put Appraisal and Corporate Memory in the context of an Organization

 - Records Continuum

 - Information science, Organizational science, Sociology, Behaviour sciences

- > Enlarge your vision on appraisal

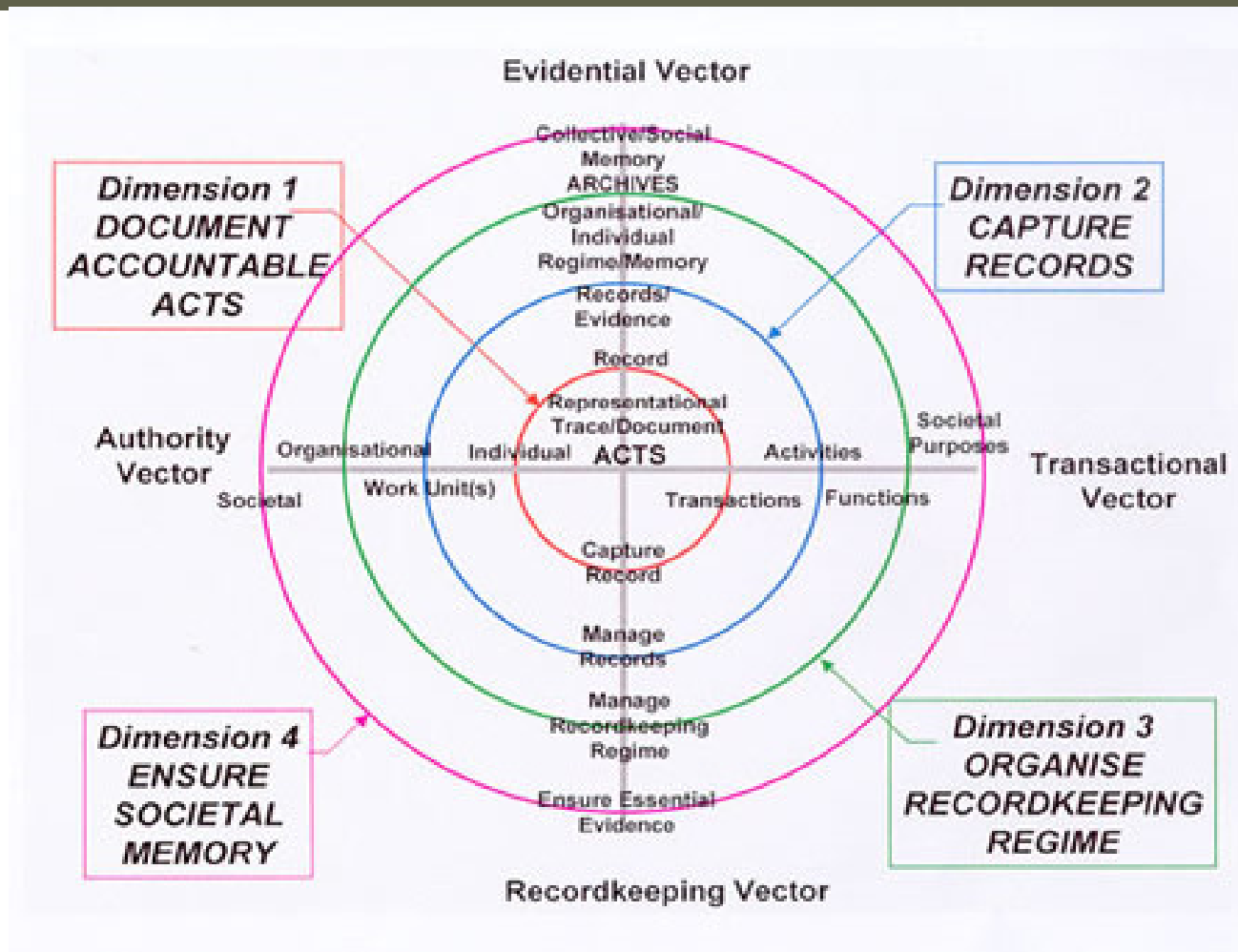
The Issues

- Definition of terms
- What factors influence corporate appraisal + organizational memory?
- Are the actual appraisal methods successful and do they serve:
 - business needs?
 - corporate memory and -broader- social memory?
- When should they be applied?

Overview of the lecture

- introduction: Appraisal in the Records Continuum (MR)
- What is: Organizational and Social Memory? (MR)
- How does an Organization functions: 3 dimensions (F)
- Models of Organizations: appraisal and organizational memory(F)
- Conclusions: power structures in Appraisal and Organizational Memory...
- ...and other conclusions

The 3rd dimension of the RC



(Re)definition of appraisal

Process of evaluating business activities to determine

- which records need to be captured
- how long the records need to be kept

to meet

- business needs
- the requirements of organisational accountability
- community expectations.

» Australian Standard 4390, 1996

Critical appraisal points (Reed 2005)

- **Capture**

- Determine what records need protection of RM processes to carry them through time

- **Reach**

- Determine how to enable records to be understood over time

- **Migration**

- Determining of records usable format through system changes

- **Destruction/retention**

- Determining which records to retain and for how long

Organizational/corporate memory

= an organizational knowledge base

= important in problem-solving, decision-making, strategic planning

= focus on social network knowledge and on capacity to access and use the expertise and experience (learning organization)

(Hammer & Clark 2010)

Organizational Memory

- Embedded in processes, systems, services and cultural norms
- Encoded in routines, in established policies and procedures, in products, in the way a business is organized, in the beliefs and routines in which employees are trained and the cultural norms that guide how staff interact and share knowledge (Cross 2000)

OM – organizational archives

Explicit knowledge, knowledge repositories

- important in storing and making organizational knowledge accessible but have limited role
- individual and organizations keep records and files as a memory aid

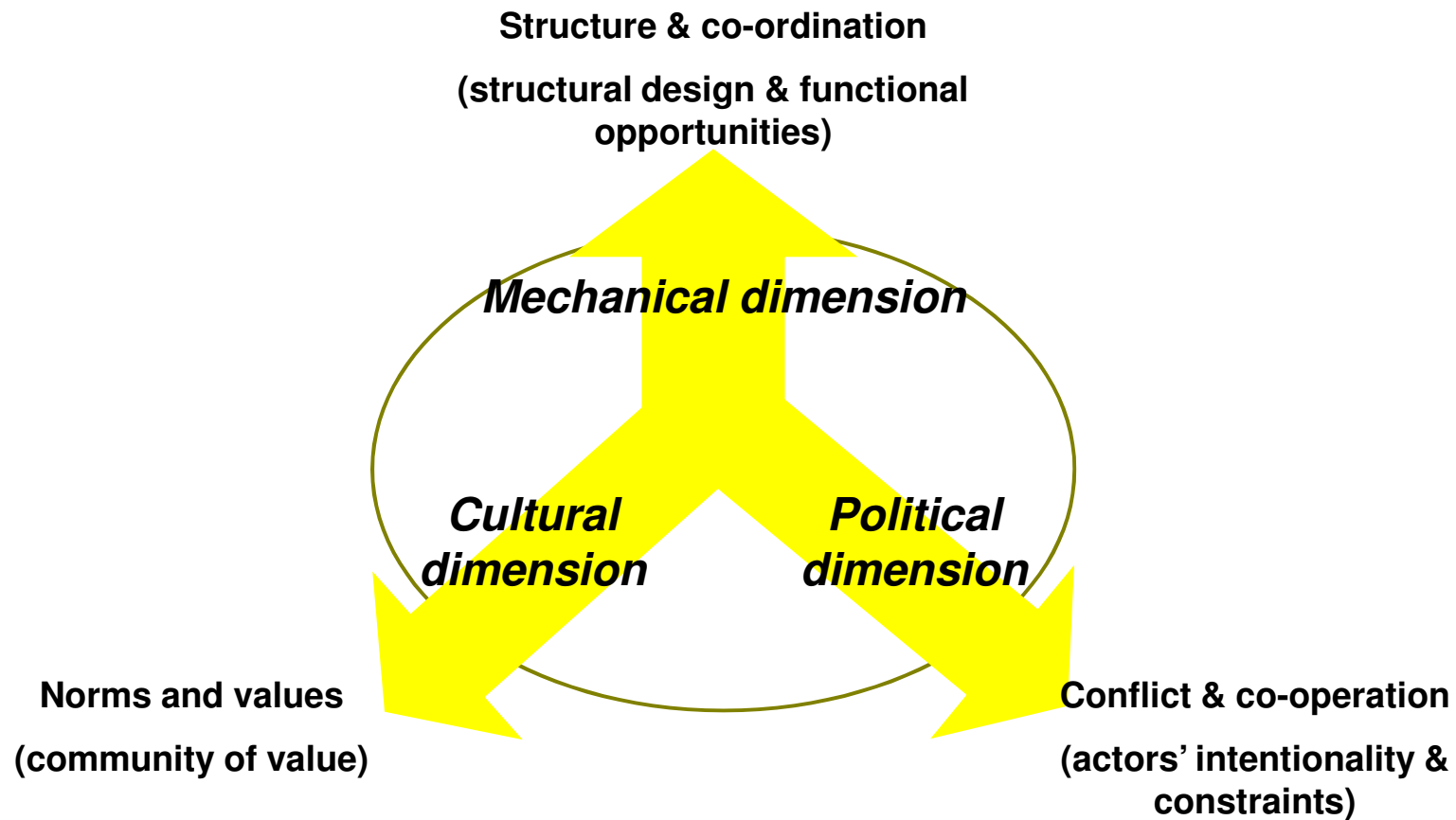
Archives

- Can organizational archives capture any features of OM?
- Is Organizational Memory part of a broader Social Memory?

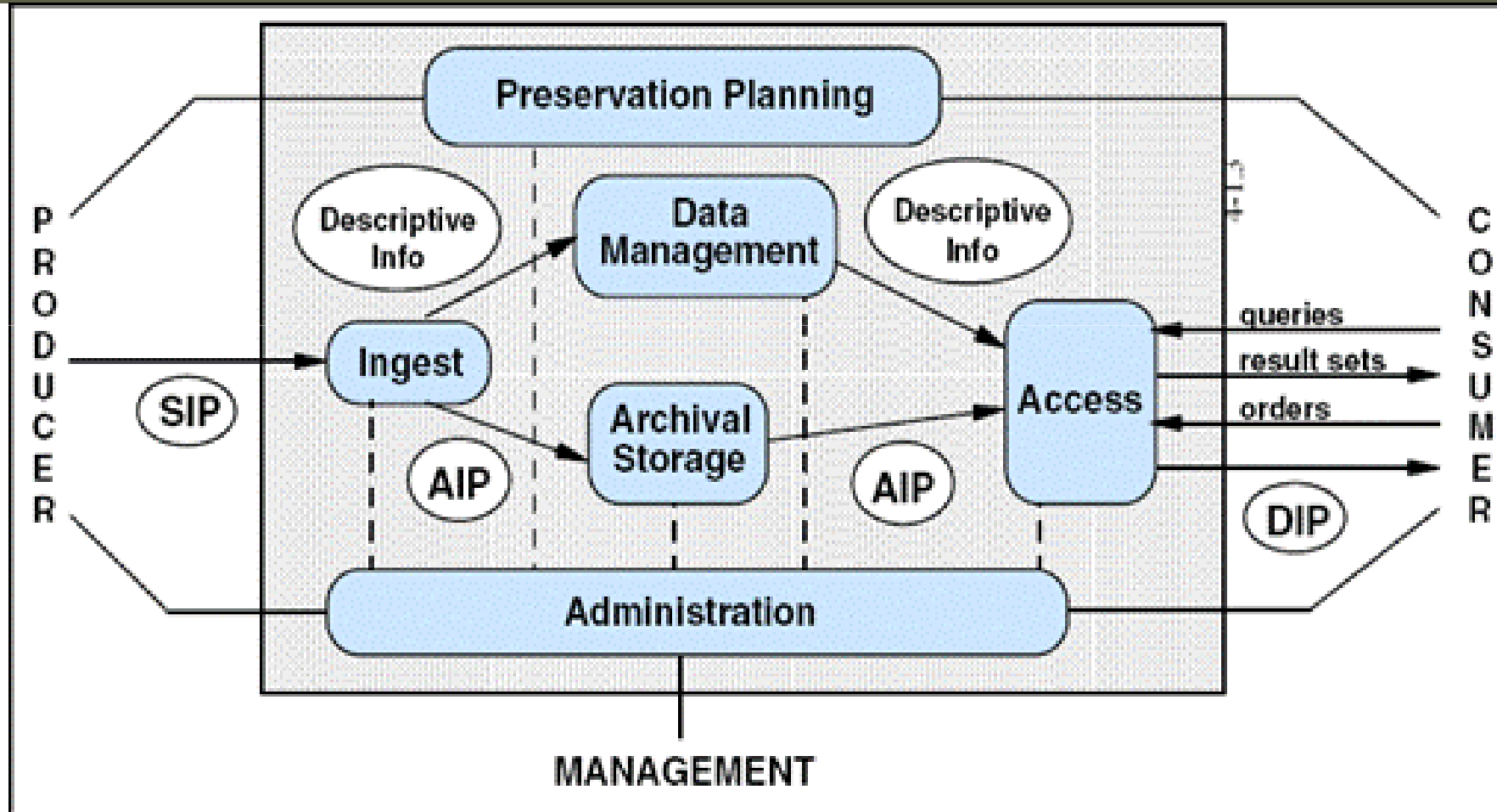
Basics of Organizational functioning

1. Structures: 3 dimensions
2. Vertical and Horizontal...
3. The bigger, the more formalized

1. How does an Organization functions: 3 dimensions



OAIS = Mechanical: Where is appraisal/corporate memory?



2. Basics of Organizational Structures...

Vertical = control

- hierarchy, many rules
- V-communication
- few teams
- centralized
- specialized tasks

Horizontal = learning, collaboration

- Relax. hierarchy, few rules
- H-communication
- many teams
- decentralized
- shared tasks

Hierarchical Organizational Structure (+/- until 1980)

- Advantages
- Disadvantages
- lack of flexibility
- lack of creativity
- incompatible workstyles
- poor communication



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Appraisal in a hierarchical Organizational Structure

Needs:

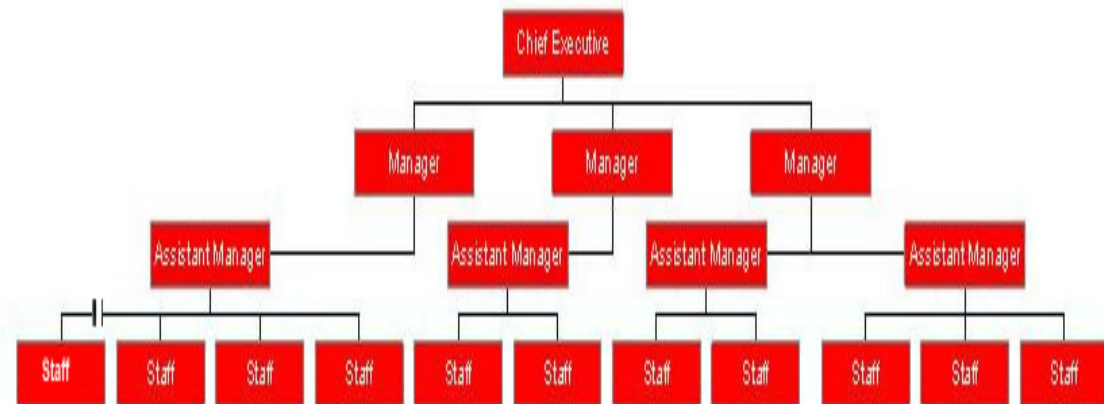
- Policies approved by top
- Good contacts with middle management
- High rank of archivist
- Support of archives commission
- Tools supporting functional approach work well (standards, retention schedules)
- Vertical information systems
- (Low participance of outsiders)



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OM in a hierarchical Organizational Structure

- Org Memory = Official
 - serves corporate image
 - approved by top
 - sustained by designed services: PR, archives service, ...
- 'Officious' Org Memory at Lower Levels
- result of forces between top/bottom = org. memory
- > = how it is seen by external world



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Horizontal structure

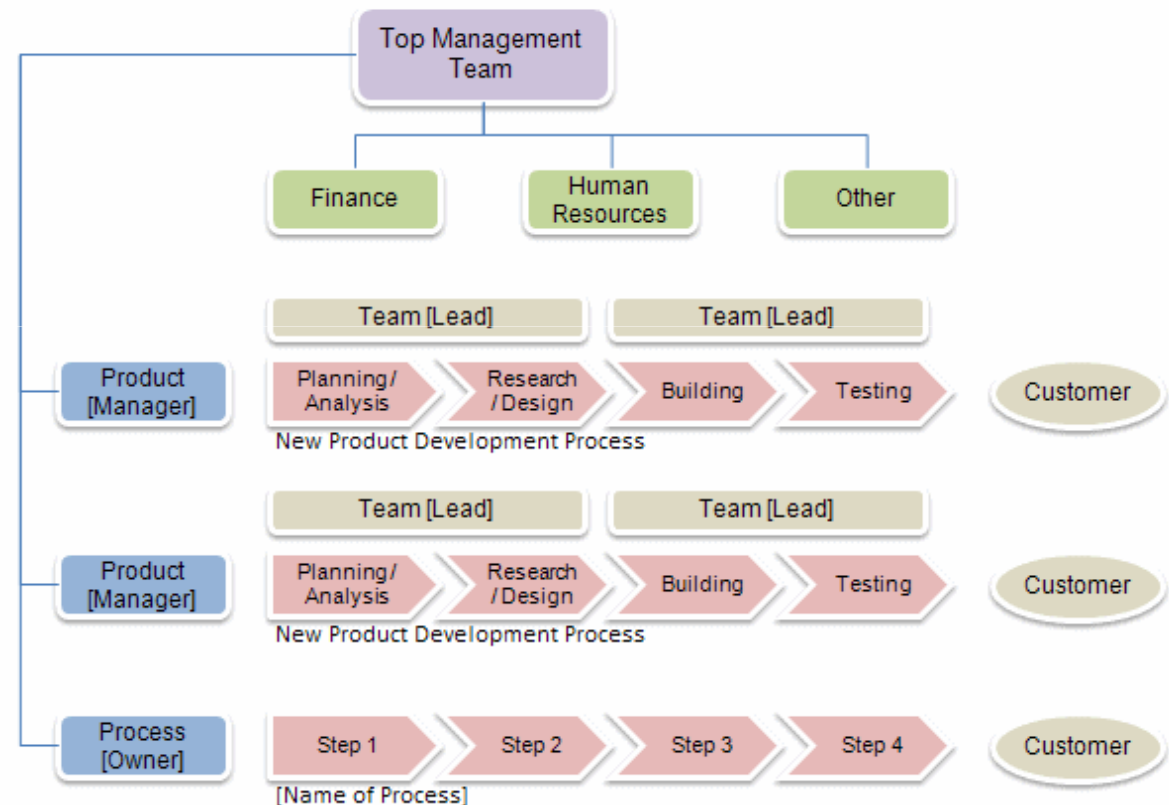
Advantages

- improved communications
- team spirit
- expertise in teams
- flexibility
- fast decision making

-disadvantages

- less influence of central regulations
- need follow up
- costly in time and Human Resources
- rational idea of collaboration

Sample Horizontal Organizational Structure

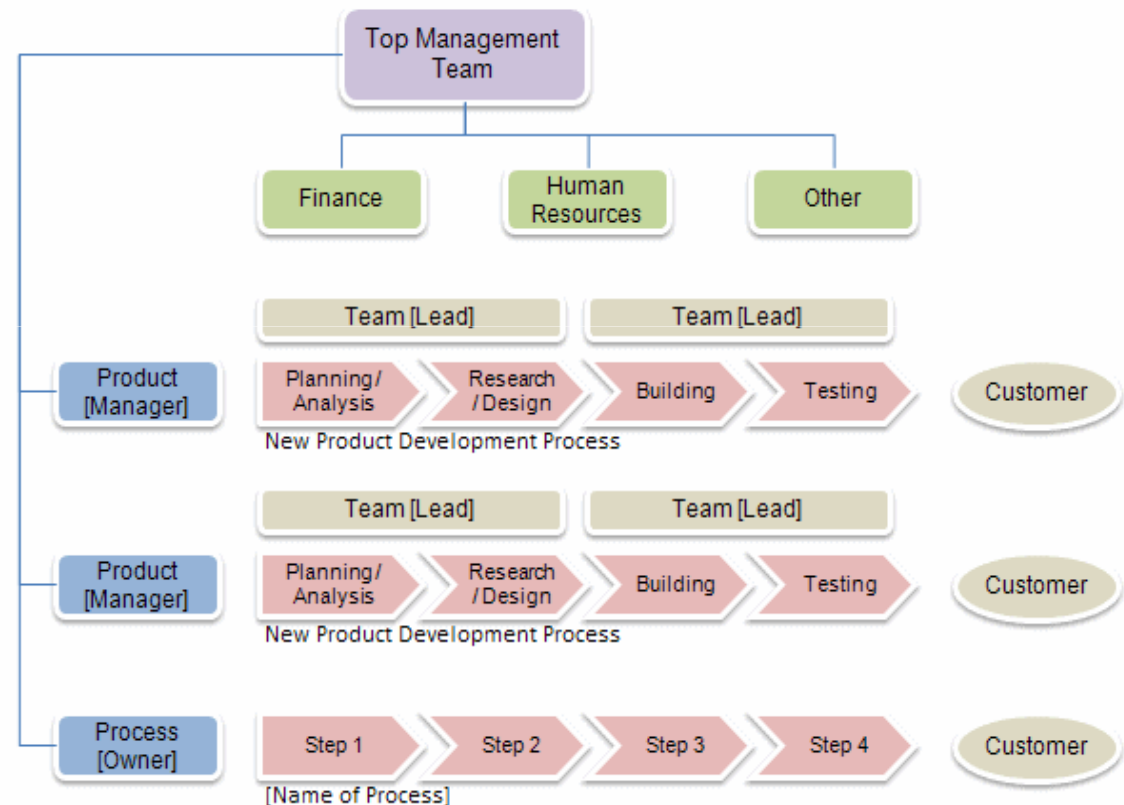


Appraisal in Horizontal Structure

Needs:

- Policies approved:
 - by top (retention schedules)
 - by bottom
- good contact with integrator (coördinates)
- education of beginning staff to influence RM in task forces
- establish liaison persons in the project-teams
- make a permanent task-force RM
- offer consultancy
- Tools that support appraisal:
 - cross-functional RM systems or information systems with archival capacities
 - Guidelines, templates, courses,
 - your creativity: user involvement by tagging, games, fora, cult. heritage expert group

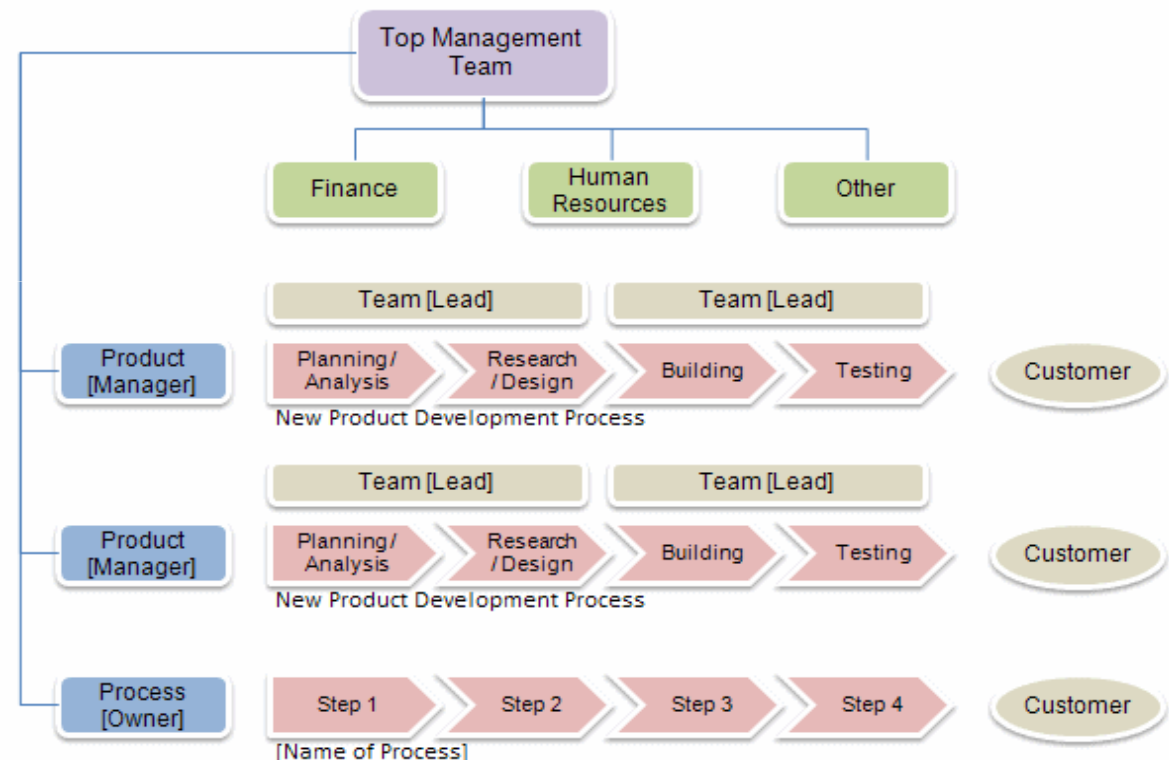
Sample Horizontal Organizational Structure



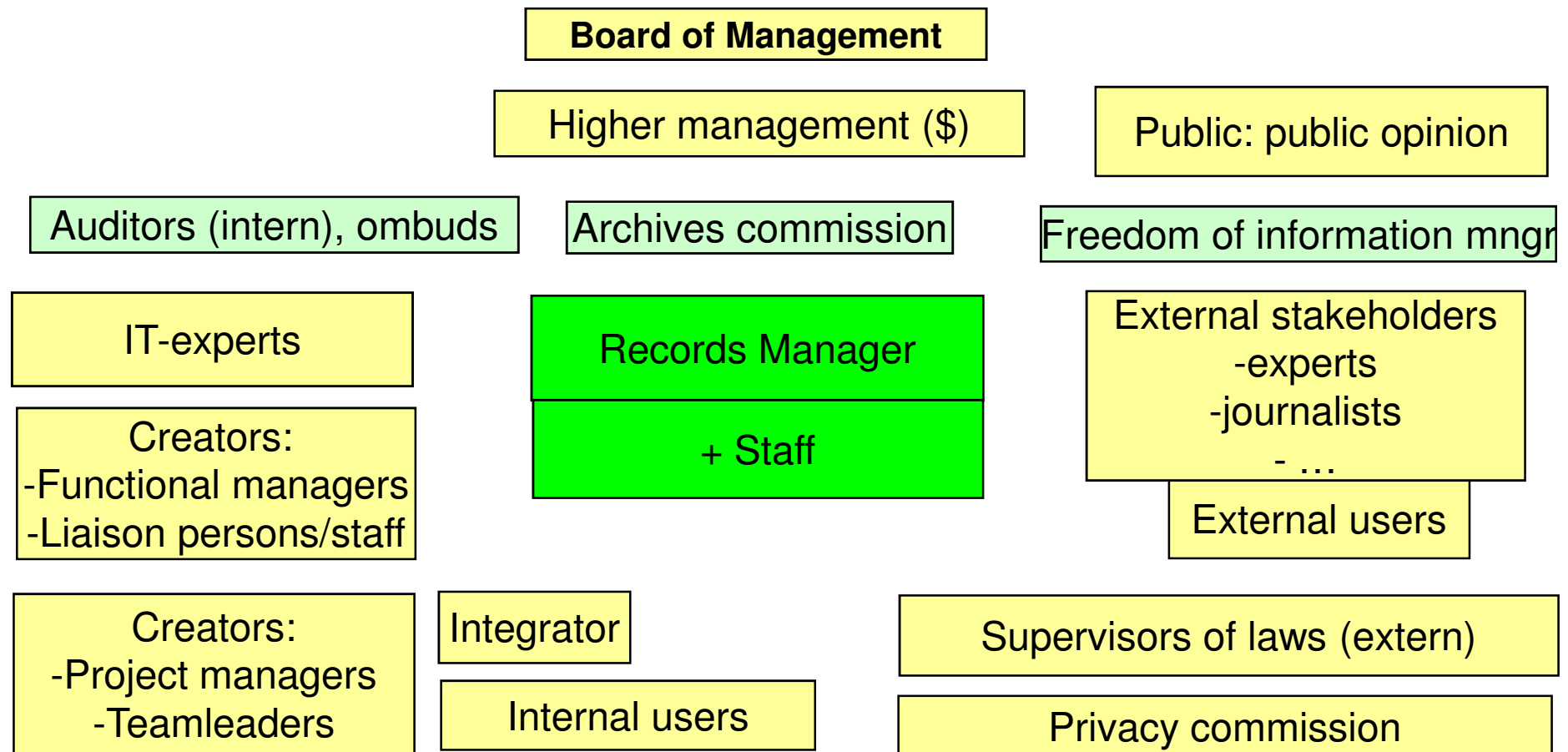
Org. Memory in Horizontal Structure

- Org. memory = common support of top, tasks forces and project teams
- Task forces can develop own visions on OM
- HS presents itself as well-balanced to external world

Sample Horizontal Organizational Structure



Conclusions: power groups, Appraisal and Org. Memory



Conclusions: methods

1. Are the actual appraisal methods successful and do they serve:

- business needs? -> YES !
- corporate memory and -broader- social memory? Depends of a lot of factors!

Conclusions: influences

2. What factors influence corporate appraisal + organizational memory?

- Power structures influence appraisal: take the 3 dimensions in account
- Different organizational structures need different tools for appraisal
- Automation = routine -> install automated appraisal

But non-routine: are there external participators (when setting up the system)?

- Keep the **horizontal** and vertical axes in mind. E.g. in horizontal structures:
 - Difficult to install formal appraisal procedures
 - Good basis for organizational memory and corporate cultural heritage

Conclusions: when?

3. When should appraisal be applied?

Appraisal in an organizational context = ongoing process (from system to bin/permanent conserv.)

Seminar / MRV

You are members of the organisational team, which is to design an organisation-wide records management program.

The task:

try to recognise and trace factors, actors and different issues which has impact on the electronic records life from creation to long term/ permanent preservation or destruction

The aim:

holistically see the records whole life and understand the requirements and needs of the continuum life-cycle management

Seminar FS

An appraisal situation in an organization is played in a hierarchic organizational structure.

Task: Students analyse what happens in power terms. Students form other groups and prepare reasons why the decision should be different. Then the situation is played again, with all players...

Aim: to understand how human relations and power structures influence appraisal and social memory