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Leadership and team building factors that contribute to the success of archives and records management institutions

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Leadership and Team Building Factors that Contribute to the Success of Archives and Records Management Institutions

By

Jordan Lydia Grimmer

Accepted in Partial Completion
Of the Requirements for the Degree
Master of Arts

Kathleen Kitto, Dean of the Graduate School

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MASTER'S THESIS

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Jordan Lydia Grimmer
May 2014

Leadership and Team Building Factors that Contribute to the Success of Archives and Records Management Institutions

A Thesis
Presented to
The Faculty of
Western Washington University

In Partial Fulfillment
Of the Requirements for the Degree
Master of Arts

by
Jordan Lydia Grimmer
May 2014

ABSTRACT

This thesis examines archival and records management institutions' organizational culture, as well as the impact that organizational culture has on supporting the success and goals of the institution. Most archival organizations are comprised of a limited number of staff, along with very limited funding. The intent of this research thesis is to explore and identify the essential components of leadership and teambuilding that are most effective in the unique setting and structure of archival and records management institutions. In order to identify the essential components that correlate with the overall success of the archival and records management institution, a survey was distributed over the Society of American Archivist's listserv. The survey was utilized to establish organizational demographics and quantifiable identifiers that correlated with overall institutional success. In order to measure more subjective areas, such as leadership and teambuilding, the participants were asked to evaluate and appraise the presence, or effectiveness, of leadership and teambuilding factors. These factors include: collaboration, goal-setting, management style etc. Finally, to provide a quantification of overall institutional success, I asked participants to classify and appraise the overall success of their institution. The final section of this thesis summarizes the results of the survey. In summary, the components that correlate most with the overall institutional success are: leadership from the middle, participative management style, work team collaboration, and goal setting.

ACKNOWLEDGEMENTS

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INTRODUCTION

The 2003-2006 Society of American Archivists A*CENSUS revealed disappointing viewpoints regarding the development of leadership skills in the archival community. Only one percent of respondents listed "Leadership" as a pertinent issue for their archives.[1] The A*CENSUS results revealed archivists' attitudes toward leadership development: that leadership development is a lower priority than other issues facing archival and records management institutions. Additionally, the 2003-2006 findings suggested that leadership, as well as subareas of leadership (team building and group cohesiveness), were viewed as less relevant to archivists and records managers than these concerns were to associates and professionals in the corporate environment. While many archivists are capable managers who successfully perform and carry out the daily archival and records management responsibilities, there is definitely room for archivists to utilize the inherent advantages that come with leadership and team-building skill development. Although proper management skills are essential to the success of an organization, they should not be considered to be a substitute for adequate leadership skills. Despite some of the highly motivated and leadership-oriented archivists and records managers, those who favor management concerns over leadership concerns cause the archival profession on a whole to suffer.[2]

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[1] Bruce W. Dearstyne, "Setting the Stage: Challenges and Opportunities in Leading Archives and Records Programs," in *Leading and Managing Archives and Records Programs: Strategies for Success*, ed. Bruce W. Dearstyne (New York: Neal-Schuman Publishers, Inc., 2008), 3.

[2] Bruce W. Dearstyne, "Leadership of Archival Programs," in Leadership and Administration of Successful Archival Programs, ed. Bruce W. Dearstyne (Westport: Greenwood Press, 2001), 113.

Additionally, when SAA's A*CENSUS survey inquired about current managers'

professional development plans, only 5.7% of the 1,253 respondents indicated that they would

be interested in "continuing education courses targeted toward managing people."[3] This low

percentage clearly shows that archives managers do not place a high priority on leadership and

team building, and that effective leadership skills are lacking within the entire archival

profession. Resistance towards leadership development may arise from *seniority-priority* based

promotions or from inherent organizational structural limitations (where archives are generally

composed of a limited number of staff with only a few individuals who compete for promotion

and advancement). According to Bruce Dearstyne:

> Too often, people are promoted to leadership positions because of their
> technical proficiencies, achievements, and seniority. Promotion to management
> or leadership positions is the only option for advancement…people may assume
> leadership positions for reasons unconnected with a real desire to lead…[4]

Consequently, leadership skills are not deemed as necessary as technical skills for assuming a

leadership or managerial position. Additionally, advancements or promotions are not

necessarily dependent upon the demonstration of leadership skills. The structure of archives

and records management institutions is unique in that many times smaller archival operations

are combined into a larger library organization. Perhaps many smaller archival institutions

presume that the onus for leadership and team-building development resides within the

context of the parent organization or larger institution. Although not identical to archival

culture, the library and information science field's inherent structure and culture provide some

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[3] Victoria Irons Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States,"
American Archivist 69 (Fall/Winter 2006): 405.
[4] Dearstyne, "Setting the Stage," 14.

parallel insights towards leadership, team building, and management. A 2010 survey on library

culture indicates that:

> Individuals with high potential, who are viewed as future leaders by their
> colleagues, felt that they are not able to contribute as much as they might due to
> organizational culture factors. This could represent a loss to the organization in
> the terms of possibilities, creativity, and productivity from disenfranchised staff.[5]

The findings of this library survey may be indicative of the value of leadership. Furthermore,

these same findings also demonstrate that because of a lack of emphasis on leadership skills

and development, archival institutions could be in jeopardy of losing those future archivists

with the highest potential to succeed, those that may have a unique and dynamic vision to

promote and to ensure the long-term success and mission of archival and records management

institutions.

Leader vs. Manager

The characteristics of a leader are separate and distinct from the characteristics of a

manager. A manager maintains control, and focuses on short-term goals. A leader, innovates,

inspires, fosters trust and collaboration and focuses on the long term potential and growth of

the organization.[6] Bruce Dearstyne provides a clear description of the difference between

managers and leaders:

> Managers are well organized, focus on the work at hand, are performance and
> outcome oriented by nature, and pride themselves on getting the work
> done…Leaders are change agents; they envision a better future for their
> programs, articulate goals, inspire employees, represent needs clearly, advocate

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[5] Heather Davis and Peter Macauley, "Taking library leadership personally," *Australian Library Journal*
60 (Feb 2011): 46.
[6] Warren Bennis, *On Becoming a Leader: The Leadership Classic* (New York: Basic Books, 2003), 39.

passionately, have a flair for program building…[Leaders] have a sense of destiny.[7]

A manager divides and organizes individuals into groups, while a leader plays a crucial role in the personal development of individuals, and in team potential. The "leaders develop the team concept, choosing people with varying talents and allowing them to do what they do best, while simultaneously moving towards an assigned goal."[8] Archival leadership may be exercised on an ad hoc basis or focused on particular issues and problems, but archival leaders need to encourage individual team members to develop their own sets of leadership skills.

It is difficult to define what leadership skills and components are relevant within the archives field. Related fields like library science have sought to define leadership competencies. The California Library Association (CLA) Statement of Professional Competencies for librarians describes "a leadership competency" whereby a leader "set[s] an example for others to follow…values the contributions of others…and helps them to achieve their full potential."[9] Perhaps a comprehensive view and definition of leadership and team building skills and competencies can be established, creating a tangible working model for archival managers to emulate within their institutions.

Structural Nature of Small-Staff Archival Institutions

In general, the structure of archives institutions and archivists, operating within a larger organization, consists of small-staff with limited interaction between various departments.

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[7] Donna E. McCrea, "Learning to Lead: Cultivating Leadership Skills," in "Leadership Skills for Archivists," George Mariz et. al., *American Archivist* 74 (Spring/Summer 2011): 105.
[8] Dearstyne, "Setting the Stage," 22.
[9] Florence M. Mason and Louella V. Wetherbee, "Learning to Lead: An Analysis of Current Training Programs for Library Leadership," *Library Trends* (Summer 2004): 193.

Therefore, as a result of the small number of staff, leadership and team building have often been viewed as ineffective and an unnecessary expenditure. Archives and records management groups, and the institutions that they fall under, could benefit from putting a greater emphasis on team results and team goals. The Ohio State University Health Science Library provides some relevant evidence of the emphasis of team building and supporting the mission and success of archives and records management. In 1998, Ohio State University Health Science Library dissolved the hierarchal structure of the library and created collaborative teams by forming The Reference and Information Services Team. The References and Information Services Team was structured as a

> Group of interdependent, highly trained employees who are responsible for managing themselves and the work they do. They set their own goals, in cooperation with management, and the team plans how to achieve those goals how their work is to be accomplished…Employees on a self-directed team handle a wide array of functions and work with the minimum of direct supervision.[10]

The Ohio State University Health Services Library's implementation of team methodology and results-oriented directives facilitated the improvement of user-education programs, the development of improved reference services, the better management of librarian reference activities, and the development of a new experimental position: the reference assistance.[11]

This case study from the library science field can be correlated and paralleled into the archival science and records management field as compelling evidence as to why leadership skills and team building strategies could be employed in archives and records management institutions as a method for furthering the programs' missions, goals, and success.

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[10] Pamela S. Bradigan and Carol A. Powell, "The Reference and Information Services Teams: An Alternative Model for Managing Reference Services," *Reference & User Services Quarterly* 44 (Winter 2004): 145.
[11] Bradigan and Powell, "The Reference and Information Services Teams," 146-147.

Current Archival Economic and Job Situation

With the recent global recession and the 2008 economic downturn many organizations and businesses have been heavily impacted. Obviously, archives and records management organizations and institutions have not been immune, nor have they been insulated from this economic crisis. Consequently, in times of scarce financial resources, economic instability and uncertainty require archivists and records managers to seek innovative solutions to the ever-diminishing funding, resources, and staffing for archival and records management organizations. To combat the lack of financial and budgetary resources, managers and supervisors within archives and records management institutions should increase their efficiency by utilizing leadership and team building competencies and strategies to maximize the benefits available to the organization.

Archivists and records managers need to extend their view beyond the short-term perspective of processing goals, and instead should realize that the future and vitality of their institutions can be secured through leadership strategies and team building efforts. These aspects have been proven to facilitate change and innovation in both the business and social sector. Fundamentally, archival team leaders' commitment to implementing teamwork and collaboration techniques furthers the archival mission and vision.

Advocating Archival Leadership and Archival Teams

Edie Hedlin (past president of the Society of American Archivists, archivist of the Smithsonian Institution Archives, first corporate archivists for Wells Fargo Bank, and archivist

within the National Archives and Records Administration) advocated for leadership within the archives profession by exemplifying the characteristics of a leader.

Hedlin offered her practical experience and leadership expertise on how she implemented leadership techniques and team building strategies in the National Archives and Records Administration's Machine Readable Branch and in the Smithsonian Institution Archives. Hedlin established teams connected to the functional arrangements that already existed in most archives: the formation of team units according to "reference, records management, arrangement and description, and preservation."[12] Furthermore, Hedlin advocated that each team, even if consisting of only one person, "has the authority to choose its leader, define goals, and objectives, create priorities and work plans, and establish team rules."[13]

The results of Hedlin's leadership skill development and team building implementation strategy, although not unexpected, were nothing short of impressive. Not only was there an increase in staff productivity, but there was also a reduction in hours that managers spent on other remedial tasks which allowed for managers and supervisors to focus more on long term goals and objectives, or special projects, which had been previously less accessible.[14]

Research Proposal and Future Directions

Within the archives and records management field there have been some proposals, case studies, and practical experiences outlining the benefits of leadership and team building within the context of archival and records management institutions. However, the overall

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[12] Edie Hedlin, "Meeting Leadership Challenges: Lessons from Experience," in *Leadership and Administration of Successful Archival Programs,* edited by Bruce W. Dearstyne, (Westport: Greenwood Press, 2001), 174.
[13] Hedlin, "Meeting Leadership Challenges: Lessons from Experience," 174.
[14] Hedlin, "Meeting Leadership Challenges: Lessons from Experience," 174-176.

impact of leadership experiences and team building, along with its effectiveness on the long-term success and mission of archival and records management organizations, is an area of research that should be explored and examined more extensively. This research thesis seeks to measure the effect of leadership, team building, and collaboration strategies on the overall success of the archival organization and institution. The intended aim of this research is trifold: 1) advocate that while most archival and records management organizations are generally comprised of small staff with limited interactions with various departments within the parent organization, these small-staff operations can greatly benefit from the increasing investment of leadership and teambuilding focused atmosphere; 2) provide an examination of the archival and records management organizational culture and its relationship to supporting the success and goals of archival institutions; and 3) explore and define the essential components of leadership and teambuilding and evaluate how these aspects are essential to the success of archival and record management institutions.

In order to assess the level of utilization and the presence of leadership skills and team building in archives and records management institutions, a survey was distributed over the Society of American Archivists listserv. In addition to baseline information including organization type and size, respondents were asked to rank their institution's success in outreach, budgeting, and overall success of the institution. Furthermore, questions were designed to ascertain concerns about mentoring, collaboration, goal-setting, management and leadership styles in order to provide an organizational profile concerning baseline leadership and team management levels within archives and records management institutions. The objective of the survey was to discover whether there was a high correlation between

successful institutions and the incorporation of leadership and team-building elements into their archival mission statements and goals. Additionally, the hypothesis of this research thesis postulates that there is a strong relationship between successful archival institutions and the application of leadership skills and team management competencies. This examination seeks to uncover whether or not resistant attitudes towards archival and records management leadership skills and team building techniques could have adverse ramifications on the success of the institution.

The first chapter provides an overview of literature and previous studies within the archival field on archival employment, career placement, career satisfaction, employment outlook, and employment demographics, as well as case studies and practicum experience on effective employment of leadership and team building strategies within the context of archives and records management institutions.

The second chapter examines some of the structural or fundamental components of archival and records management institutions that are perceived as constraining the profession from fully implementing and embracing leadership techniques and team building skills. This research paper will utilize investigations from the library and nonprofit communities to discuss how leadership and team building techniques can be effectively implemented into the archival and records management field, despite difficulties.

The third chapter provides a criteria and definition of leadership, which is derived from research within the business and management field. Additionally, an overview of a case-study regarding the affectivity of systematic collaboration with staff of the CUAA's business school will be presented. This leadership criteria, along with the collaboration model, are offered as a

framework to evaluate the (forthcoming) survey results, and are also offered as a way to evaluate the effectiveness of leadership and teambuilding elements within ARM repositories.

The field of leadership and teambuilding within archives is a growing research area. To add to the body of research on leadership and team building and its impact on the success and mission of the archival and records management institution I developed a research survey to gather new primary evidence on these questions. The final chapter details and explores the results and findings from this survey.

CHAPTER 1: Literature Review

Archival leadership and team management research is continually examining the role of leadership and team management within the archival workplace. It will be important for the archival and records management profession to further develop its research and understanding of leadership and team building within the profession, not only to gain an insight into the nature and demographics of the profession, but also to maintain relevancy within the larger context of society. The following literature review serves as a "gap analysis" in evaluating the current and available research on archives and records management institutions organizational culture. Furthermore, this "gap analysis" is a method to detect the need for future directions as proposed by this research thesis.

I examined an expansive body of archival and records management literature in order to provide a comprehensive understanding of the current knowledge base of career placement, career satisfaction, employment outlook, and employment demographics within the archives and records management field. Throughout the development of the thesis, previous studies from the archival, records management, and library science communities have been consulted. These studies provide insight into the composition of the intersections of career satisfaction, career development, young archival professionals, archival education, and professional affiliations within the archival and records management profession.

The current research concerning the archival profession can be divided into two basic trends: survey results and data gathering; and professional experience and case studies. The following pages provide a summary of research on archival education, archival profession and

professional demographics, archival marketplace, and eventual trend towards theoretical

discussions, and case studies concerning archival leadership as an essential component of

archival professionalism.

Survey Results and Data Gathering

In 1998, Anne Gilliland-Swetland provided one of the first comprehensive data mining

studies on archival graduate education, the archival job marketplace, and archival knowledge

management. Gilliland-Swetland advocated that to maintain professional relevancy, it was

crucial to the archival profession to harvest data and statistical information within this specific

field that could be utilized to understand and further grow and develop the profession.

Gilliland-Swetland contended that contemporary graduate archival education focused primarily

on

> Immediate employment needs of the profession and entry-level archivists.
> Optimally, such education programs should nurture a deep conceptual base in
> archival science (the paradigmatic component of archival theory and practice),
> sound knowledge of archival and other standards and their value and role,
> together with a forward-looking perspective that will in turn help to empower
> constructive change in the nature of the marketplace and the profession as a
> whole.[1]

 Gilliland-Swetland expanded upon archival research by examining placement success after

graduation of those that identified themselves professionally as archivists and had formal

archival training or had some formal archival coursework. The profiles of those examined were

at the intersection of the following populations: archival educators, academic placement

officers, and recent graduates of archival education programs.

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[1] Anne J. Gilliland-Swetland, "Graduate Archival Education and the Professional Market: Perspectives on Data and
Data Gathering," *Archival Issues 23* (1998): 94.

Some of the conclusions provided from Gilliland-Swetland's study found that archival educators were very "vigorous" in assisting students and archival graduates in finding positions. Furthermore, "[t]he mean estimate for placement within one year of graduation was 83 percent, with an only slightly narrower range of 50 percent to 100 percent."[2] Archival graduates indicated that they accepted the first job offer and ceased their job hunt after securing their first position.[3] Gilliland-Swetland indicated that perhaps their second job position would be a more effective barometer for career satisfaction, as it appeared that recent archival graduates most likely accepted the first job position out of apprehension of not being able to find another position. Additionally, Gilliland-Swetland examined recent archival graduates' perspectives and opinions on archival education and collected information on archival salaries.

Gilliland-Swetland's conclusions provided a retrospective view that improvement in graduate and archival education would come from research and data mining about the "dynamics of employment markets and the shifting composition of the archival community."[4] While Gilliland-Swetland's work was a seminal research project for embarking into researching archival education, the archival profession, and the archival marketplace, it failed to provide any information concerning the organizational culture and professional environment within the archival workplace. Instead, Gilliland-Swetland focused narrowly on graduate placement, entrance into the profession, and salary demographics. Gilliland-Swetland's approach sought to improve formal archival education by evaluating and researching the placement of recent

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[2] Gilliland-Swetland, "Graduate Archival Education and the Professional Market," 102.
[3] Gilliland-Swetland, "Graduate Archival Education and the Professional Market," 103.
[4] Gilliland-Swetland, "Graduate Archival Education and the Professional Market," 94.

archival graduates. It appears that her research was compelling as much of today's formal

archival education features a deep conceptual base combined with archival theory and practice.

Research in the early 2000s expanded upon Gilliland-Swetland's emphasis on recent

archival graduates and young archival professionals. Two years after Gilliland-Swetland's work,

Elizabeth Yakel published her research findings. Yakel continued with Gilliland-Swetland's

concentration on data mining and shifted her focus to include analysis of archival continuing

education and demographic information on recent archival graduates, including length of time

since graduation, age of time at graduation, time to complete education program, diversity of

the graduate student population, the employment of graduates, salaries, and professional

membership. Of the 392 respondents to Yakel's research, 65% were working as archivists or

had job functions that had some archival element to them.[5] Yakel examined education and

background areas and their corresponding professional experience, and discovered that those

archivists that had a background in history had more years of professional experience when

compared to those archivists that had a background in the library and information science

field.[6]

In addition, Yakel expanded upon a topic lightly examined in Gilliland-Swetland's

research[7] and included additional research on the feminization of the archival profession.[8]

Subsequently, Yakel examined the professional retention rate among young archivists, which

was 66%, with some citing salary compensation as their reason for leaving the archival

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[5] Elizabeth Yakel, "The Future of the Past: A Survey of Graduates of Master's-Level Archival Education Programs in the United States," *American Archivist* 63 (Fall/Winter 2000): 305.

[6] Yakel, "The Future of the Past," 306.

[7] "Educators made very few comments relating to the diversity of the student base: four educators indicated that there appear to be more women than men coming into the programs…" Gilliland-Swetland, "Graduate Archival Education and the Professional Market," 100.

[8] Yakel, "The Future of the Past," 309.

profession.[9] This particular area of Yakel's research focus was enlightening to the archival

community. Later researcher Amber L. Cushing would expand upon Yakel's finding concerning

retention rate of young archival professionals and its ramification within the larger context of

the profession. Cushing provided further indication of the tension between young archival

professionals and long-term career archivists. Overall, Yakel's research expounded upon

Gilliland-Swetland initial venture to statistical demographics of the archival profession,

providing a more comprehensive and in-depth examination of not only entrance into the

archival profession, but also the career trajectory and elements of career satisfaction among

young archival professionals.

Within the same issue of the *American Archivist* as Yakel's article, David Wallace

expounded upon Gilliland-Swetland's notion of data gathering on young archival professionals.

Wallace examined 150 archives and record management students from ten universities.

Wallace's survey provided foundational demographic information concerning their educational

backgrounds, their work history and experience, as well as how these students initially

discovered the archival profession. Furthermore, these students responded to questions

concerning employment expectations, such as: desired job title, salary expectations, willingness

to relocate for an archival position, and whether or not they were interested in furthering their

education post-graduate school. Wallace's survey, much like the ones done by Yakel and

Gilliland-Swetland, sought to examine the development of archival education within the

broader context of the archival profession and its implications for the entire profession. While

Gilliland-Swetland's research indicated that those with the most work experience came from a

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[9] Yakel, "The Future of the Past," 310.

history educational background, Wallace discovered that "half of respondents enter their

program with no prior work experience." Furthermore, " the other half have a least some

direct ARM work experience ranging from less than a year to more than five years, though only

a slim portion have more than two years."[10]   While Wallace provided research findings on work

experience backgrounds, he failed to provide any possible conclusions or analysis of the

implications of the professional dynamics within the work environment and the implications or

effects of limited work exposure to the profession as a whole.

Victoria Irons Walch et. al. substantially added to the body of research concerning the

archival and records management profession. In 2004, they reported results of the first broad

scale survey of the archival community, conducted by SAA, which has been seminal and

instrumental in furthering research and knowledge about the larger archival profession.   SAA's

A*CENSUS provided extensive quantitative research and surveyed a substantial proportion of

the archival community, with 5,620 respondents.[11] As Walch et. al. reported, this

comprehensive research project provided an overview of archivists'

> positions, employers, demographics, credentials, job functions and
> specialization, salaries, career paths, issues, professional identity, and affiliation.
> There were additional questions for those with management responsibilities,
> and specific questions for members of certain professional associations.[12]

Walch et. al. developed Yakel's topic concerning retention among young archival professionals,

but they expanded the discussion to focus on the dynamic between "baby boomer" archivists

(those that would likely retire in the next ten to fifteen years) and those in "generation Y" that

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[10] David A. Wallace, "Survey of Archives and Records Management Graduate Students at Ten Universities in the United States and Canada," *American Archivist* 63 (Fall/Winter 2000): 297.
[11] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States,"294.
[12] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 294.

would take their place.[13] Of particular importance is the observation that archivists expressed

concern with finding replacements for the number of "baby boomers" that would soon reach

retirement age, and simultaneously and incongruently, Walch et. al. also concluded that

"several recent studies indicate that both library schools and graduate history programs are

taking in more students than they can successfully place upon graduation."[14] These two

conclusions, while illuminating, seem contradictory in that there appears to be apparent

anxiety over the lack of professionals able to replace the future job-openings as a result of the

retirement of "baby boomers" and the simultaneous concern over the lack of available

positions within the profession for archival graduates. The lingering question is whether or not

research conclusions and analysis provided by Walch et. al. still remains relevant to the current

professional environment of archivists, following the 2008 global economic recession.

In 2010, Amber L. Cushing expounded upon the results and demographic information

provided in Walch et. al.'s comprehensive research about a subjective experience within the

profession and attempted to quantify satisfaction with the profession, job duties, and job

environment. She placed particular emphasis on those archival professionals under the age of

35. Cushing examined the following topics: career satisfaction, professional associations and

experiences with leadership positions, and the tension between "baby boomer" archivists and

the incoming "generation Y" archivists. The global economic recession of 2008 changed the

archival professional landscape, as many individuals seeking to find employment sought post-

bachelor education as a method for gaining a career advantage. This coupled with many long-

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[13] In 2010, Amber L. Cushing would explore this topic in further detail with her examination of archival professionals under the age of 35.

[14] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 313.

term archival professionals delaying their retirement, created a "scarce resources model,"

causing many individuals to compete to acquire or maintain positions. This topic will be

discussed in the research findings of this article along with its effect on collaboration and team-

building within archival and records management organizations.

Cushing expanded upon this research on young archival professionals to present

information on their opinions about leadership positions within professional associations. She

provides an interesting finding that:

> Many respondents believe that they are not qualified or lack the necessary
> experience to be appointed or elected to leadership positions. Most often they
> said, "*I don't think I'm ready*." Interestingly, when SAA releases a call for
> participation, it lists no required level of expertise or experience. A number of
> the respondents who claimed that they lacked experience or qualifications at the
> same time reported a number of years of experience in the profession.[15]

A potential area for further research analysis would be to identify the reasons or possible

impediments for the ability of young archival professionals to become leaders within archival

professional organizations. While Cushing's work provided more detailed research on

leadership within the archival professional societies and community, it still did not provide

research and insights concerning leadership and team management in the archival workplace.

Professional Experience and Case Studies

Running in parallel to the quantitative data and research survey studies, corresponding

material on professional case studies and professional experience provided insights into

leadership within the archival and records management profession. These case studies serve to

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[15] Amber L. Cushing, "Career Satisfaction of Young Archivists: A Survey of Professional Working Archivist, Age 35 and Under," *American Archivist* 73 (Fall/Winter 2010): 618.

demonstrate and evaluate the effectiveness of leadership implementation within ARM

repositories.

In 2001, Edie Hedlin presented a consideration of leadership in archives, focusing on her

professional experience and effective utilization of leadership skills in order to meet the needs

of practical experience in archival programs.[16] In the latter half of the decade, archival research

expanded upon the concepts presented by Hedlin and the exploration and examination on the

role of archives and archival leadership surged.

Bruce W. Dearstyne's 2008 work focused not only on management styles within archival

and records management organizations, but also on examining the role and impact of archival

leadership. Dearstyne suggested that despite the few highly motivated and leadership-oriented

archivists, there are an insufficient number of strong leaders within the profession, causing

archival organizations to suffer by privileging management concerns over leadership

concerns.[17] Furthermore, Dearstyne noticed that Walch et. al.'s research indicated that only

one percent of respondents listed "Leadership" as a pertinent issue for their archives.[18]

Additionally, Dearstyne asserted that beyond the occasional one-day workshop, archival

professional organizations fail to offer much in terms of leadership or management training.[19]

Dearstyne also discussed the challenges of trying to learn leadership skills on the job; and that

developing leadership skills at the professional level can be more of a challenge than

anticipated. Dearstyne suggested that "people at just about any level in the program can play a

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[16] Hedlin, "Meeting Leadership Challenges: Lessons from Experience," 163-182.

[17] Bruce W. Dearstyne, "Leadership of Archival Programs," in *Leadership and Administration of Successful Archival Programs*, ed. Bruce W. Dearstyne (Westport: Greenwood Press, 2001), 113.

[18] Bruce W. Dearstyne, "Setting the Stage: Challenges and Opportunities in Leading Archives and Records Programs," in *Leading and Managing Archives and Records Programs: Strategies for Success*, ed. Bruce W. Dearstyne (New York: Neal-Schuman Publishers, Inc., 2008), 3.

[19] Dearstyne, "Leadership of Archival Programs," 113.

leadership role," a concept that would be documented by later archivists.[20] Dearstyne

advocates for a leadership style that involves all members at every level of the organization.

In 2011, George Mariz, Donna E. McCrea, Larry J. Hackman, Tony Kurtz, and Randall C.

Jimerson evaluated the spectrum and the diverse nature and variety of leadership

configurations.[21] Furthermore, they documented their leadership experiences to demonstrate

how leadership impacts archival institutions and how leadership implementation can be utilized

within a larger context as a method of promoting the goals and mission of archival institutions.

In particular, Donna E. McCrea expounded upon a concept presented in both Hedlin's

and Dearstyne's work that leadership can be developed, cultivated, and demonstrated at any

level within the organization. Larry J. Hackman, who had worked as an archivist within the

federal and state government sectors and had provided a seminal work on advocacy for

archives, examined the critical components required for archival leadership. He advocated that

archival leaders need to be active in the long-term development of their program's

infrastructure and that archival leaders should understand that their own performance would

be judged long after their current archival position has ended.[22]

Tony Kurtz, a records manager at Western Washington University, explored leadership

and technology. One of the areas that Walch et. al.'s A*CENSUS survey suggested to explore

was the "place of technology in archives,"[23] and not only did Kurtz expand upon the ever-

changing technological environment, but he also expanded upon the intersection of technology

and leadership. He discussed the role of accountability, technology, and leadership, reflecting

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[20] Dearstyne, "Setting the Stage," 2.

[21] George M. Mariz et. al., "Leadership Skills for Archivists," *American Archivist 74* (Spring/Summer 2011): 102-122.

[22] Larry Hackman, "Leadership and Infrastructure in Archival Programs," in "Leadership Skills for Archivists," ed. George Mariz et. al., *American Archivist* 74 (Spring/Summer 2011): 109.

[23] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 326.

on his personal experience within the University Archives and Records Center. Kurtz also

discussed the need to develop leadership skills as a way of educating leaders at the higher

institution level that would have an influence on the basic policy and procedures affecting the

retention and preservation of records in an electronic management environment. He reviewed

his extensive collaboration with public records officers and the Human Resources Department,

in order to develop a training curriculum to support the mission of the records management

department. Additionally, Kurtz asserted that his collaboration and participation with a group

that included "the institution's chief information officer, internal auditor, and key records

custodians and professional and technical staff" was pivotal in

> re-writing the institution's public records procedures in the Washington
> Administrative Code, cocompiled and implemented an institutional protocol for
> the preservation and production of electronic records that are subject to legal
> proceedings or public disclosure requests, and given formal presentations to the
> group on records management, electronic records, and metadata.[24]

Additionally, Kurtz played a collaborative role in volunteering with a library strategic planning

group, a work group developed for digital assets. Through his work he "help[ed] to manage

those [digital assets] created throughout the institution. This role would serve the institution,

bolster the libraries, and help [the] program."[25]

Finally, Randall Jimerson, who has experience as an archival educator, conveyed his

experience with the emphasis of education and teaching of leadership within archival graduate

programs and continuing professional programs. Furthermore, Jimerson translated the

relationships between effective leadership implementation and effective advocacy for the

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[24] Tony Kurtz, "Leadership, Accountability, and Technology Change," in "Leadership Skills for Archivists," ed.
George Mariz et. al., *American Archivist* 74 (Spring/Summer 2011): 113.
[25] Kurtz, "Leadership, Accountability, and Technology Change," 114.

archival profession as a whole.[26] Jimerson provides insight into how leadership skills can be

fostered and developed in archival students already passionate about their future archival

careers.

     Over the past decade the archival community has provided much research about

archival education, the archival profession and professional demographics, the archival

marketplace, and archival leadership case studies and professional experiences. Within this

archival research there appears to be room for the development of research concerning data

gathering on the impact of leadership and team building within the archival organization and

culture. Additionally, there is a need for producing a greater body of literature on how

leadership and team-building influence the success of archival or records management

institutions.

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[26] Randall C. Jimerson, "Teaching Leadership," in "Leadership Skills for Archivists," ed. George Mariz et. al.,
American Archivist 74 (Spring/Summer 2011): 115-122

CHAPTER 2: Archival Organizational Environment

Leadership and team management practices that have been proven to be effective and influential on the overall success of businesses and corporations can be developed and tailored specifically to public and nonprofit organizations, such as archives and records management institutions. The following pages provide a summary of archival and records management workplace and/or organizational environment and structure that perhaps constrain the full implementation of leadership and team building skills across the profession. The topics covered are often viewed as impediments to adopting leadership and team building skills in the nonprofit and public sector (e.g. ARM institutions) however, through the course of this research thesis, evidence will be presented to indicate that the principles utilized in business and for-profit organizations can be implemented and adapted into archival and records management institutions.

Number of the Staff within the Institution

It is assumed that a small number of staff members hinder the progress of nonprofit organizations. Additionally, it is sometimes presumed that a small number of staff members is less productive when compared to larger number of staff members. However, with adaptation and proper leadership, small teams can be just as effective and efficient as larger teams.

In general, archives and records management institutions exhibit an inherent structure, commonly comprised of a limited number of staff, where there are relatively few individuals to complete all the required tasks. Many full-time archival employees have multiple roles, and

archives and records management institutions often rely on volunteers and interns to manage

an increasing workload with diminishing funding and resources.

Leadership skills and team building have long played a crucial role in the development of

many organizations that are similar in structure to archives and records management programs.

Within small-scale non-profit organizations and operations, leadership and team building skills

are not only necessary, but are one of the main elements that contribute to the success of the

organization.

The 2009 study conducted by Klein et al. evaluates the relationship between team size

and performance or functionality. The findings indicate that small-size teams (five members)

were just as effective as medium-sized teams (five to ten members) in generating levels of high

performance.[1] Another 2009 study of 329 working groups found that work groups that

contained three to four members were significantly more productive and developmentally

advanced on a number of measures than groups with five to six members.[2] Archivists can take

heart in these findings as they repudiate previous archival perceptions that small teams are

ineffective in ensuring levels of high performance. A good leader will understand this principle

and not let the team become discouraged because of limited staff.

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[1] Cameron Klein et. al., "Does Team Building Work?," *Small Group Research* 40 (2009): 212-213.
Results concerning team size and team building functionality and performance indicate that "[f]or small
teams, a meta-analysis of 7 effect sizes, representing 178 teams, indicated a mean true score correlation
[between team size and performance/function] of 28. For medium size teams of 5 to 10 members, an
analysis of 10-effect size representing 340 teams resulted in a mean true score correlation [between team size and
performance/function] of 27.
[2] Susan A. Wheelen, "Group Size, Group Development, and Group Productivity," *Small Group Research* (April
2009): 247. Of the 329 work groups, 186 (56.5%) were functioning in for-profit organizations and 143 groups
(43.5%) were functioning in nonprofit organizations. The groups ranged in size from 3 to 25 members. (252)

Non-profit status

It is sometimes incorrectly assumed by some that nonprofit organizations have little need for leadership, as leadership roles are often assumed to be essential in only revenue generating institutions. This assumption is not only false, but a strong argument can be made that nonprofits have just as great of a need (if not greater) for strong leadership roles as for-profit organizations.

Archives and records management (ARM) organizations do not generate revenue and most are strictly nonprofit organizations. This limits the leadership and team building strategies within ARM institutions, which do not generate revenue, like the majority of nonprofit and public organizations. Therefore many:

> …Public and nonprofit organizations may be less apt to adopt performance-enhancing work organization methods because they are under fewer pressures to raise performances. Recent discussions of sectorial difference call attention to several features leading to such an expectation. Nonprofit and public organizations operate under a "non-distribution constraint" prohibiting distribution of excess revenues, thereby reducing the interest of nonprofit and public managers in producing surpluses.[3]

With the lingering global economic recession many ARM institutions have seen a persistent decline in resources and funding. Furthermore, often the funding that does come from resources supports specific temporary projects/programs and not necessarily the longevity of the organization. Although not interested in producing surplus revenue, many of them are interested in maintaining the viability and sustainability of their operation.

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[3] Arne L. Kalleberg et. al., "Beyond Profit? Sectoral Differences in High-Performance Work Practices," *Work Occupations* 33 (2006): 273.

Many ARM organizations, like other public and nonprofit organizations, are far more susceptible to pressures from supervisory agencies as opposed to private organizations. Government archives, which receive financial allotments from federal, state, or local agencies are experiencing a decrease in budgeting in parallel with the overall government budget crisis. Academic archives and historical societies trying to petition for grant funding are confronted by the overall government budget and funding crisis. Private citizens have seen a decrease in their income and have less disposable income to provide contributions and donations to archives. Corporate archives are supported by the parent corporation or institution, and corporations or institutions faced with lay-offs and budget decreases are likely to restrict financial allotments to the archives and records management departments. The ARM organization must learn to develop its output not of money, but rather of resources (e.g. funding, time, and brand) in order to continually sustain and re-develop the mission on the organization.[4] Archival managers need to develop leadership vision in order to promote the success and performance of the organization.   Archivists and records managers should be highly motivated to protect the institution's viability and sustainability, and ensure that the ARM repository does not fall into possible decline.

Defining success within public and nonprofit organizations is inherently more convoluted as there is often not an agreed upon measure of "success" (i.e. financial gains) as there is within business and private organizations. However, Jim Collins[5] suggests that steps

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[4] Jim Collins, *Good to Great and the Social Sector: Why Business Thinking is Not the Answer*, (Boulder: Jim Collins, 2005), 18.
[5] Jim Collins, *Good to Great and the Social Sector,* 1-35.

can be taken to set goals and objectives measurable against the mission of the nonprofit ARM institution, consequently, performance of the institution can be measured against its mission.

Another element that could provide potential setbacks for implementation in nonprofits or ARM institutions is that many of these organizations rely on underpaid or not-paid-at-all volunteers or interns to assist with the effort, thus not allowing time for team cohesiveness or team development. However, Jim Collins suggests that many of these individuals are "highly committed to idealistic passions,"[6] an effective leader will know how to capitalize on this passion and transform this passion into motivation and results.

Work Teams

A common theme in many ARM organizations is that cross-functional training and work teams are not always necessary. Thus, many departments within ARM institutions operate in silos, independently from each other. The importance of cross-collaboration is often overlooked, and the need for cohesiveness can be easily disregarded. It is encouraging, however, to see a shift in this perspective, as some ARM organizations are beginning to modify and adapt team-building principles found in the business management sector to the needs and environment of the ARM institution.

While many high performance work practices[7] are utilized within the profit sector, committees and work teams can be effective in both for-profit and nonprofit organizations. Studies indicate that adopting high performance work practices, regardless of the

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[6] Jim Collins, *Good to Great and the Social Sector,* 15.
[7] High Performance Work Organizations demonstrate the following characteristics: (a) self-directed teams, (b) teams and offline committees, (c) multiskilling (cross-training and job rotation) and (d) performance incentives. Kalleberg et. al., "Beyond Profit? Sectoral Difference in High Performance Work Practices," 283.

organizational structure (i.e. profit, nonprofit, public, etc.) lead to better performance and

overall success of the organization.[8] A 1996 National Organizations Study (NOS-II) study was

conducted to assess and examine how the use of high-performance work practices differed

among nonprofit, public, and non-profit organizations.[9] The study showed that nonprofit and

public organizations were already implementing and utilizing work teams and cross-training

practices as a method for increasing productivity. "Nearly 40% of establishments report that

work teams are used in the core job; this varies from about 37% in for-profit establishments to

more than 60% for nonprofits."[10]

Archival institutions have benefited from this emphasis on work teams, team results and

team goals. The Ohio State University Health Science Library provides some relevant evidence

of the impact of results and goal orientation. In 1998, Ohio State University Health Science

Library dissolved the hierarchal structure of the library and created collaborative teams,

forming The Reference and Information Services Team. This team was structured as a

> group of interdependent, highly trained employees who [were] responsible for
> managing themselves and the work they do. They set their own goals, in
> cooperation with management, and the team plan[ned] how to achieve those
> goals how their work [was] to be accomplished...Employees on a self-directed
> team handle[d] a wide array of functions and work[ed] with the minimum of
> direct supervision.[11]

The Ohio State University Health Services Library's implementation of team methodology and

results oriented directives facilitated the improvement of user-education programs, the

development of improved reference services, the better management of librarian references,

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[8] Kalleberg et. al., "Beyond Profit? Sectoral Difference in High-Performance Work Practices," 272.
[9] Kalleberg et. al., "Beyond Profit? Sectoral Difference in High-Performance Work Practices," 275.
[10] Kalleberg et. al., "Beyond Profit? Sectoral Difference in High-Performance Work Practices," 283.
[11] Pamela S. Bradigan and Carol A. Powell, "The Reference and Information Services Teams: An Alternative Model for Managing Reference Services," Reference & User Services Quarterly 44 (Winter 2004): 145.

and the development of a new experimental position (reference assistant); ultimately

supporting the long-term goals and success of the institution.[12] Overall, this case study

illustrates the impact of successful collaboration on supporting the mission and efforts of the

organization.

Age Demographic in Leadership Positions

In 2004, SAA's A*CENSUS*[13] indicated that many of the members of the "baby boomer"

generation who are currently occupying many of the managerial and leadership positions

within archives were expected to retire in the coming years,

> [l]ike every other sector of American workforce, the archival profession has
> within it a large number of Boomer workers. Many will begin retiring in the next
> decade. Archivists and their librarian colleagues recognized several years ago
> that they needed to take action to responsibly manage the coming generational
> turnover.[14]

However, this does not reflect the post-2008 global economic downturn, where many of

the "baby boomer" generation and three-fourths of middle-class Americans expect to work well

beyond the traditional age of retirement. This includes the 25% of Americans who say they will

"need to work until at least age 80" before being able to retire comfortably.[15]

The issue remains how the increase in retirement age will influence and affect the

position availability and level of leadership within archival and records management

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[12] Bradigan and Powell, "The Reference and Information Services Teams," 146-147.

[13] It is important to note that the survey received over 5,620 responses. In 2004, there were just fewer than 12,000 members in the archival community. Consequently, the A*CENSUS provides a reliable cross-section of opinions and attitudes of the archival professional community.

[14] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 312. "Today there are some 61.5 million Boomers in the U.S. workforce, but there are only 43.5 million in the generation that follow…" (311).

[15] Blake Ellis, "Delaying retirement: 80 is the new 65," *CNN Money,* November 16, 2011, accessed February 7, 2014, http://money.cnn.com/2011/11/16/retirement/age/.

institutions. A study conducted by Dierdorff et. al. found that overall team performance

declines in the presence of a "free rider," the team develops a vacuum (a term that Dierdorff et.

al. refer to as the "sucker effect"). The "sucker effect," occurs when an individual team

member is perceived as not "pulling their weight" and the remaining team members decrease

their efforts to avoid "play[ing] the role of [a] sucker."[16] An example of how the "sucker effect"

can be found in archives and records management organizations is in archives where leadership

positions are occupied by individuals who do not have any leadership aptitude or potential.

Rather these leadership positions are assigned based on technical ability, skillset, or seniority.

Forewarnings of the "sucker effect" occurrence in archives was revealed in the 2004

A*CENSUS that illustrated that leadership roles that are currently filled by some "Boomers"

have the potential to create a "sucker effect" within archival and records management

institutions. The A*CENSUS argues that "[u]nless Boomers make a deliberate effort to step

aside from leadership positions or [roles], younger archivists may become frustrated by their

inability to advance and [develop] and may leave the field entirely, depleting the archival and

records management profession of potential leaderships to advance the profession as a

whole."[17] These "default leaders" not only prevent potential leaders from assuming a

leadership role or position, but also jeopardize the development and performance of the

archival team. Current employment trends could create potential issues for ARM institutions.

ARM institutions will need to find a way to manage and confront these potential issues in order

to secure their future and long-term success.

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[16] Erich C. Dierdorff, Suzanne T. Bell, and James A. Belohlav, "The Power of 'We': Effects of
Psychological Collectivism on Team Performance Over Time," *Journal of Applied Psychology* 96 (2011):
258.
[17] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 317.

The inherent nature of archives and records management organizations appears in some instances to simultaneously hamper and facilitate the maximum implementation of leadership and team building skills across the profession and within the workplace. ARM institutions are generally comprised of a limited number of staff, where many of the full-time archival employees have multiple roles. However, current research indicates that small-size teams correlate with high levels of performance. Most archival and records management organizations do not generate revenue and are nonprofit or public organizations. ARM institutions may not necessarily have an incentive to produce surplus revenue, but many of these ARM institutions are interested in maintaining the viability and sustainability of their organizations. Therefore, ARM institutions currently benefit or could start to benefit from the application of leadership and team building skills to support their efforts at organizational perpetuation. Finally, current employment trends, competition between outgoing "Baby Boomers" and incoming "Generation Y'ers" for limited leadership positions within ARM institutions will need to be addressed in order to sustain and support long-term success of the institution.

CHAPTER 3: Leadership and Team Criteria

The following pages provide an outline of relevant definitions, criteria, and models of leadership and team-building strategies that will frame the subsequent research findings and analysis presented in this research thesis.

Warren Bennis, a distinguished Professor of Business Administration and consultant to multinational companies and governments around the world, offers a working criterion for what attributes a leader must possess. Bennis surmised that leaders "assume the overall responsibility for the effectiveness of the organization."[18] Some of the attributes that a leader should possess are: a guiding vision (meaning that the leader has the determination to persist despite setbacks), passion, integrity, trust, curiosity, and courage.[19]

A leader differs from a manager in that while the manager maintains status quo the leader is interested in the future development of the team, organization, or institution and has an ability to focus on long-term perspective and potential.[20] Leaders utilize their vision to set both short-term and long-term goals and objectives that will promote and encourage the overall development and success of the institution. Leaders help to instill leadership values in others helping to develop passionate subject experts into micro-leaders. These micro-leaders spread their enthusiasm across the organization and develop leadership attributes and values in themselves and others. A micro-leader will begin to take ownership over their current role within the organization examining how their role fits into the "big picture." Changed perspective enables these micro-leaders to lead from any level of the ARM repository. Thus,

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[18] Bennis, *On Becoming a Leader,* 4.
[19] Bennis, *On Becoming a Leader,* 31-33.
[20] Bennis, *On Becoming a Leader,* 39-41.

actively engaging and contributing to the overall success of the ARM institution. Peter Drucker, one of the top management thinkers and subject experts on nonprofit management, states:

> The leader sets the vision, the standard. But he or she is not the only one. If one member of an organization does a markedly better job, others challenge themselves…And the greatest example is precisely the dedication to the mission of the organization as a means of making yourself bigger—respecting yourself more.[21]

An effective leader has the ability to motivate people in becoming leaders themselves.

The Four Levels of Leaders

William L. Weis, Ph.D. hypothesizes that there are four different styles of leadership that create four different outcomes on team potential and, subsequently, four different phases in the creation of leaders. Weis refers to the "Level 1 Leader" as a *negative leader,* indicating that this leader adds negative value to the team, and ultimately the team is worse off because of this leadership style.[22]   Perhaps this is the individual in the archival institution that is promoted based on promoted based on seniority, technical skill, or is available to fill the position. This *negative leader* has little or no interest in developing the leadership skills necessary to supporting team-building efforts. Most likely, this *negative leader* focuses only on processing quotas and fails to create contingency plans to secure funding for the next year's budget, or undermines cohesiveness among staff members. This negative leader may be one that fails to

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[21] Peter F. Drucker, *Managing the Nonprofit Organization: Principles and Practices*, (Harper Collins Publishing: New York, 1990), 193.
[22] William L. Weis, "Leadership Results: The Bottom Line," (Lecture, Seattle University, 2005).

listen to the input of his inferiors, and readily dismisses their concern without seeking resolution. As a result of this type of leader's critical and negative demeanor, staff members will feel unmotivated and overwhelmed. Not only can a frustrated staff cause higher turnover within an organization, but can also have disastrous ramifications on the whole the archival institution.

The next stage in leadership development is the "Level 2 Leader," the *innocuous to positive leader*. This type of leader has positive results with minor improvements. Perhaps this is the archival leader that has good intentions for outreach programs or grant proposals, but fails to utilize team building and vision in any particular direction. Overall, the majority of archival leaders fall into this category; they have good intentions, but lack the leadership skills necessary to fully and efficiently mobilize a team.

The "Level 3 Leader," the *good to great leader,* offers something new ideas and insights to the archival staff, increases performance, albeit temporarily, but this *good to great* leader falls short, because the *good to great* leader fails to capitalize and develop the strengths of the individuals within the team, and more importantly, the *good to great leader* fails because she or he does not *create* new leaders*.* The success of the team is entirely dependent upon the presence of this leader.

The next level of leadership should be maintained as the standard for archival institutions, because it will ensure the successful preservation of the archival mission long after the leader has left their position. The "Level 4 Leader," the *outstanding leader*, "creates a climate of mutual inspiration" one that starts the process of creation of "[a] culture of

excellence that will endure beyond [the leaders] presence."[23] The *outstanding leader* focuses

and relies on the success of the individuals on the team, facilitating the leadership skill

development in each of the archival staff members. The *outstanding leader* harnesses the

current technical capabilities, subject expertise, and passions of each of the individuals within

the archival institution. The *outstanding leader* is crucial to the "shaping, directing, and

changing of programs and, overall, ensuring effectiveness, progress and success, which matters

a great deal in [this] field."[24] The *outstanding leader's* emphasis on team building creates an

army of *outstanding leaders* that are critical to furthering the archival goals and missions.

Team Formation and Collaboration Case Study

Leadership can affect and promote the collaboration of team members.

"Transformational leaders inspire and motivate followers to identify with a shared vision and

work for the common good, even through sacrifice."[25]

The small Concordia University-Ann Arbor's School of Business (CUAA) incorporated

effective and systematic collaboration as part of team building initiatives and concerted effort

to achieve their long-term goals of redesigning and developing their program. They

implemented two fundamental collaborative methods: they increased "formal and informal

communication" techniques, and they capitalized on "red flags" opportunities, which allowed

for brainstorming, opportunity and problem identification, the generation and evaluation of

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[23] Weis, "Leadership Results: The Bottom Line."
[24] Dearstyne, "Setting the Stage," 2.
[25] F.K. Marsh, "High Performance Team: Building a Business Program With Part- and Full-Time Faculty," *Journal of Education for Business* 85 (2010): 188.

alternatives, and allowed each team member "veto power" on major decisions.[26] Within the

space of twenty months, the small faculty team of ten people (eight of them part-time

members) had "envisioned a new program, built new mission and vision statements, program

and course objectives, revised the curriculum and syllabi for the business program."[27] These

results from CUAA's School of Business are compelling as the success that can be achieved by

utilizing communicative collaboration in efforts to support the goals of the ARM institution.

Furthermore, the fact that CUAA's School of Business consisted of a small staff (the majority

part-time) should resonate as to what can be accomplished in small archival institutions.

The CUAA's School of Business embraced collaborative techniques, and ultimately

created a dynamic and powerful working tool which transformed their organization. There is a

lot to be learned from this case study, along with the leadership criteria and definitions

previously outlined. First of all, the manner with which collaboration contributes to the overall

team development and organizational success is very apparent within the case study. The team

clearly demonstrated that effective collaboration, even with a small number of staff, led to

large sweeping changes for the CUAA's School of Business. Secondly, the leadership criteria, as

provided by Warren Bennis, Peter Drucker, and William Weis, are powerful illustrations of not

only the characteristics of an effective leader but also of the fact that multiple leadership styles

exist.

What does this mean for ARM repositories? What affect could visionary leadership and

cohesive collaboration have on the overall success of ARM institutions? The (forthcoming)

survey analysis focuses not only on how much archivists and records managers collaborate, but

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[26] Marsh, "High Performance Team," 191.
[27] Marsh, "High Performance Team," 192.

also on the proficiency of their collaboration. Additionally, the survey analysis concentrates on the two most contrasting leadership styles as presented in Weis' fable. The survey categorizes the "Level 1 Leader" as the "Absentee/Negative" leader and the "Level 4 Leader" as the "Participative" leadership style. The subsequent research provides the required examination of the effectiveness of leadership and collaboration within ARM organizations.

CHAPTER 4: Survey Findings

Purpose

The intention of this research study was fostered by a desire to contribute to the body

of literature concerning leadership and team building within the context of archives and

records management organizations. Furthermore, the aim was to provide more statistical

techniques and analysis of data that advocate that leadership and team-building skills are

effective in contributing to the overall success of archival and records management

repositories.

The research and analysis presented in the following chapter attempts to fill the gap in

ARM literature in order to identify factors that contribute to success within ARM institutions.

The hypothesis and framework for this research surmised that institutions that exhibited high-

levels of collaboration, mentorship, goal setting, and positive feedback would be assessed as

being overall successful.

Survey Approach

The anonymity and confidentiality under which the survey was conducted provides a

forum that allows respondents to feel more open and candid in their response, perhaps

providing a more accurate assessment of the workplace than another research methodology

(e.g. interview, case study, etc.) The survey questions were designed to assess ARM workers'

viewpoints and perceptions,[28] in order to interpret the environment in which respondents

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[28] It should be consider that ARM workers' appraisal of overall institution success could be subject to confirmation bias and influenced by other factors within their workplace environment. In hindsight, a baseline question

work. This survey and subsequent analysis resulting from the research, measures respondents'

perceptions of their workplace on how they view the implementation of leadership and

teambuilding strategies within their institution, as well as the overall supposed effectiveness of

leadership and teambuilding strategies within their organization. Furthermore, the survey

research method was utilized for its ability to reach a larger sample size than other research

methods.

Methodology

In order to examine the archives and records management organizational culture and its

relationship to supporting the success and goals of organizations, I distributed a survey to

professional archivists in December 2013. I used Survey Monkey, an online survey platform, to

design a twenty question survey which included questions that were open-ended, close-ended

with unordered responses, multiple-choice, multi-select, as well as options to write-in

responses when applicable choices did not apply (see Appendix). Some of the questions were

utilized to establish organizational demographics and quantifiable identifiers. The remaining

questions were utilized to establish a baseline for establishing the perceived success of the

archival organizations. To provide quantification of such success, I asked participants to classify

and appraise the success of their institution.

The survey was distributed over the Society of American Archivists listservs. I utilized six

listservs for the following five sections and one roundtable: College and University Archives

Section, Archives of Religious Collections Section, Government Records Section, Business

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regarding job satisfaction could have been utilized to identify any correlations between job satisfaction and overall
assessment of the institution's success.

Archives Section, and Archives Management Roundtable.[29] I sought the help of current chairs of

the various sections to assist in facilitating responses for the questionnaire. The section leader

from the Museum Archives Section was contacted, but I received no response for the

distribution of the survey.[30] The survey was live and posted to various archival listservs from

December 2, 2013 to January 6, 2014. Rachel Vagts notified the University and Archives Section

of the questionnaire on December 4, 2013. Dave Evans, chair of the Government Records

Section posted on December 5, 2013. Steve Hausfeld, Business Archives Section chair notified

the section on December 4, 2013. Colleen McFarland, Archives of Religious Collections Section

chair, provided an email alert to ARCS members on December 12, 2013. Under the direction of

Linn Mott, Archives Management Roundtable chair, I posted a link to the Archives Management

Section on December 18, 2013.

       The majority of the respondents completed the survey on the date December 18, 2013.

Participation was anonymous and voluntary, and participants had the option of skipping any

question, excluding the first that asked for their Informed Consent. The Archives Management

roundtable generated the most interest and provided the best cross-section representation. In

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[29] The utilization of the SAA Listserv privileges those archivists that identify with archival societies and organizations and not those archivists that participate with historical societies or libraries. A particular area of research that could be explored further is those archivists that are employed within historical societies, historical institutions, or libraries.

[30] Additionally, Museum Archives was not presented as a category for question 2 (See Appendix). However, of the 16 respondents who wrote in their responses for a category of "Other, Please Specify," 5 wrote in "Museum" representing 3.37% of the 148 total respondents. Additionally, 4 of 5 respondents who wrote in "Museum" participated in the survey on December 18, 2013, the day the listserv was posted in the Archives Management Roundtable; consequently, the Archives Management Roundtable apparently helped to provide a comprehensive and reliable cross-section population sample. It is acknowledged that the lack of respondents from museum archives could present an inadequate sample of museum archivists. However, it is felt that the cross- sections of listservs adequately captured museum archivists employed within a larger organization, i.e. corporation, university, or religious institution. The underrepresentation of this population has been considered in the evaluation of the results. Additionally, the A*CENSUS indicates that total respondents that were employed in a history or other museum was 13.7%. Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 345.

hindsight, the various dates of posting on multiple SAA listservs at different times could have led to some discrepancy in the data. However, the method of garnering responses provided a broad scope of the archival profession and, therefore, I believe the results generated from the survey are still accurate and reliable. Overall, the survey assembled enough responses to provide quantifiable and qualitative information on leadership and team building within current organizational culture.

Respondents Profile

Overall, 183 participants started the survey, however, only 148 participants completed the survey in its entirety.[31] The 148 respondents to the survey represented a cross-section of archival professionals. The 148 respondents that completed the survey beyond the "Informed Consent" requirement will be the benchmark for analysis.

The archival sector that was most represented was college and university archives. Of the 148 respondents, 61 (41.22%) were employed at a university or college archives (see Table 1).[32] This data is confirmed by similar data and studies conducted on archival employment. Elizabeth Yakel's 2000 study indicated that highest employment sector for archivists was college and universities with the highest number of respondents (85 of 243) selecting college and universities as the employing institution and "research demonstrating the strength of the

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[31] 183 survey participants completed the "Informed Consent" requirement. 35 of the 183 completed only the "Informed Consent" requirement and did not complete the remainder of the questionnaire. These 35 respondents did not answer any questions beyond the "Informed Consent" and did not provide any responses to the actual survey portion of the questionnaire. Therefore, the total number of respondents considered in the analysis was 148.

[32] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 1.

education sector, particularly college and universities as the primary place of employment for

archival graduates."[33]

Employment institution, n=148		
Question 2: What type of institution are you currently employed in?		
Type of Employment Institution	**%**	**#**
Nonprofit Archives	15.54%	23
Religious Archives	10.81%	16
Corporate Archives	6.76%	10
Government Archives	14.19%	21
University/College Archives	41.22%	61
Records Management	2.70%	4
Historical Society	5.41%	8
Library/Special Collections	20.27%	30
Other	10.81%	16

Table 1. Employment institution

Sixteen of the respondents chose to write-in their answers for the employment

institution question, rather than choose from the options provided. Of the write-in responses,

five of the 16 (31%) were "museum" archives. Also among the write-in responses were the

following: medical archives, tribal archives, private school archives, and archival consulting.

With the exception of the write-in "museum archives" responses, the other write-ins did not

represent a significant trend.

Arguably, the lack of respondents from the records management field could be

attributed to the forum for survey distribution via the SAA listserv. Consequently, the analysis

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[33] Elizabeth Yakel, "A Survey of Graduates of Master's – Level Archival Education Programs in the United States," *American Archivist 63* (Fall/Winter 2000): 312.

and discussion of the implications of these results will be focused on the archival profession

rather than on the whole ARM field.[34]

The majority of the respondents (132 of 148, 89.19%) were employed full-time.[35]

Notably, a number of studies have indicated that full-time employment provides more

opportunities for leadership development. Additionally, studies indicate that full-time

employment fosters greater commitment to the institution, potentially providing a better

environment for leadership and mentoring of younger colleagues.[36]

When asked about the most rewarding aspect of their current position, 62.41% of

respondents indicated "Interest for the Subject," while only 8.27% respondents indicated that

their paycheck was the most rewarding aspect.[37] Because nonprofit organizations are generally

formed to support moral, intellectual, aesthetic, or religious principles, organizational goals of

nonprofits are best achieved by intrinsically motivated employees and by employees who

identify very closely with the goals of the organization.[38]

A large number of respondents indicated that their background is in a field other than

archival science with only 18.24%[39] of respondents with a "Degree/Education in Archival

Science" (see Figure 1). Additionally, 61 of 148 indicated that they had either a degree or some

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[34] The survey underrepresents the area of records management; this is potentially due to the forum utilized for distribution of the survey questionnaire, the survey could have benefit from distribution on records management professional association, such as, ARMA.

[35] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 2.

[36] Claudia Bernhard-Oettle et. al, "Well-Being and Organizational Attitudes in Alternative Employment: The Role of Contract and Job Preferences," *International Journal of Stress Management* 15 (2008): 355.

[37] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 10.

[38] Laura Leete, "Wage equity and employee motivation in nonprofit and for-profit organizations," *Journal of Economic Behavior and Organization* 43 (2000): 424.

[39] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 5.

formal education in library science; respondents provided write-in details showing that seven of

the respondents had a master's degree in library science with some archival coursework or

specialization responses. This is a finding that could indicate that those with archival or library

science educations have been exposed to some of the principles of leadership and business

management that are provided through their formalized education and coursework.[40]

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[40] Randall C. Jimerson, "Teaching Leadership," 117.

Background or entrance into the profession, n=148

Question 5: How did you enter the records management/archival science profession?

- ■ Degree or Education in Library Science, n=61
- ■ Degree or Education in History, Political Science, Cultural Studies, n=31
- ■ Degree or Education in Archival Science, n=27
- ■ Other, n=17
- ■ Volunteer work at Archival Institution, Historical Soceity, or Records Center, n=12
- ■ Degree or Education in Records Management, n=0
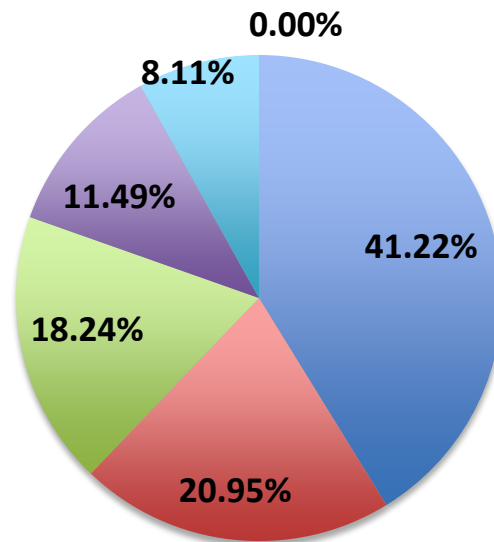
Figure 1. Background or entrance into the profession

There are many programs and workshops through SAA and other organizations, such as

the Archives Leadership Institute, currently held at Luther College, that provide formal training

for archivists to focus on theories, skills, and knowledge for the archival manager. While formal

leadership and mentoring programs through graduate schools benefit all that have access to

them, many archival professionals currently working in the profession may not have access to

such programs or curriculum during their educational training. Therefore, the onus could be on either the ARM institution or professional organizations and affiliations to ensure the transfer and development of leadership skills and effective management techniques.

In examination of the length of the employment[41] at the current institution, the majority of the respondents (38 of 148, 25.68%) had twelve or more years at their current institution (see Figure 2). This could be attributed to the fact that the length in a profession could correspond to continuing participation in professional associations and activities.[42] Furthermore, the survey questionnaire was distributed via SAA listserv, a professional association for archivists, which may explain the high number of long-tenured respondents. Amber L. Cushing stated that there has been an upward trend in professional association by those young archival professionals entering the field, "[b]etween May 2005 and May 2009, the number of student members of SAA more than doubled from 614 to 1,285: student members now make up 26.04% of SAA membership."[43]

The comparison of respondents with those employed under five years with those employed over five years was as follows: a total of 66 of the 148 (44.59%) respondents had under five years experience, while 82 of the 148 (55.41%) had over five years in their length of their employment (see Figure 2, Figure 3). The majority of respondents have length of employment longer than five years.

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[41] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 3.
[42] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 524.
[43] Cushing, "Career Satisfaction of Young Archivists: A Survey of Professional Working Archivist, Age 35 and Under," 602.

Length of employment at current institution, n=148

Question 4: How long have you been with the current institution where you are employed?

■	Under 5 Years, n=66
■	Over 5 Years, n=82

44.59%

55.41%
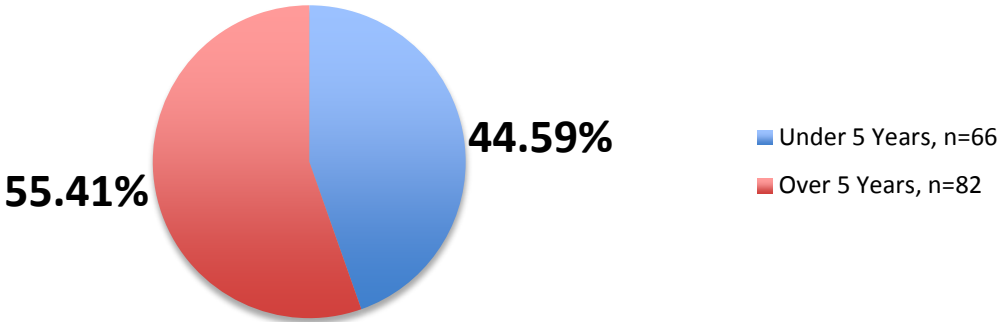
Figure 2. Length of employment at current institution

Employment length at current archival institution, n=148

Question 4: How long have you been with the current institution where you are employed?
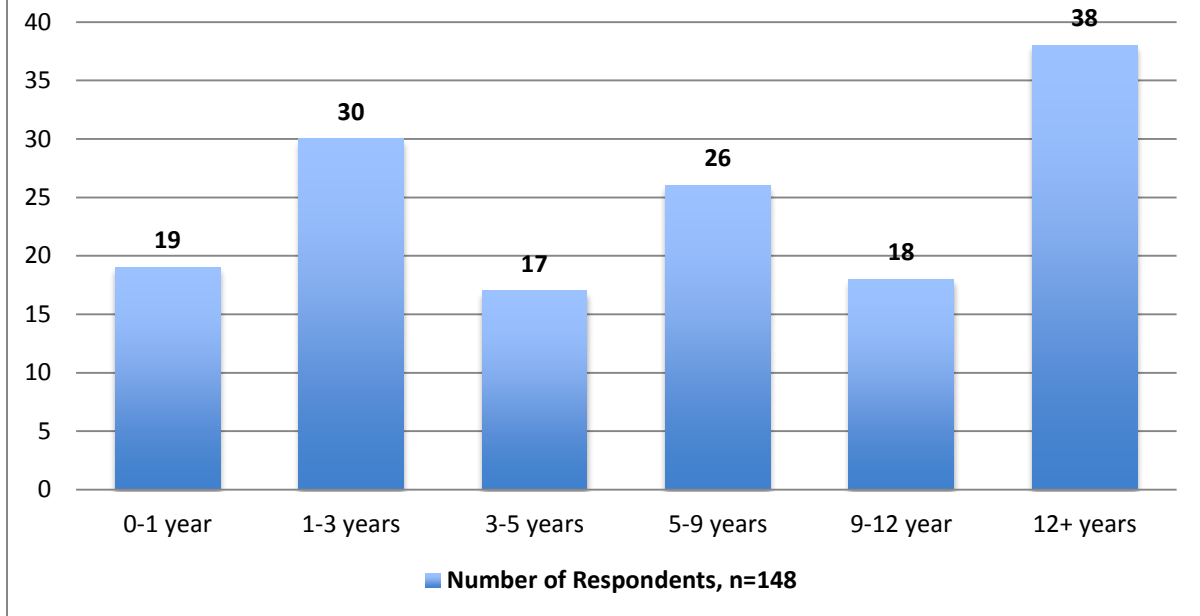
Figure 3. Employment length at current archival institution

In hindsight, the survey question concerning length in the profession may not be specific enough, and therefore may be somewhat misleading; it would have been more valuable to request additional information regarding length of career in the archival profession and amount of time until expected retirement. Additionally, the question concerning length at the current institution does not provide qualitative information concerning lateral or horizontal position moves within the organization. Overall, the results concerning length at current institution and the years at a current institution provide an operational benchmark for evaluation.

At the beginning of the millennium Elizabeth Yakel's study indicated that of young

archival professionals surveyed, there was a 66% retention rate within the archival profession.[44]

In SAA's 2004 study, A*CENSUS, Walch estimated that most "baby boomer" archivists would

retire between 2010 and 2020.[45] Walch et. al. voiced concern over "making room" for younger

professionals to enter the field. Based upon the respondents' answers, regarding the length of

employment at current institution[46] it appears that in 2013 and 2014 a quarter (38 of 148,

25.68%) of these archivists had been in their current position prior to the A*CENSUS survey and

are continuing their tenure in positions past the start of the intended retirement phase. It

remains to be seen as to whether or not these tenured staff will remain in their current

positions after 2020. This coincides with the national trend evaluated earlier in this paper that

indicates that many working professionals in other sectors are remaining in their current

positions and are delaying retirement.[47]   Although those with twelve plus years at their

institution was not a significant majority when compared with other responses, it supports

some of the conclusions raised by other researchers in the archival field (Walch, Yakel, Cushing,

and Gilliland-Swetland) concerning the competition for positions being occupied by "baby

boomers."

Of the respondents, 131 of 148 (88.51%)[48] indicated that there are both "limited paid

employment positions available" and also strong "competition for obtaining a full-time paid

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[44] Yakel, "A Survey of Graduates of Master's – Level Archival Education Programs in the United States," 310.

[45] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 313.

[46] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 4.

[47] "Delaying retirement: 80 is the new 65."

[48] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 12.

position." Only 14 of 148 (9.46%)[49] of the respondents indicated that there is "high

employee/volunteer turnover." The results indicate that those who are in employment

positions tend to stay put for a long time. While the retention of recent graduates in archival

education programs was not addressed within this research study, a comparison of pre-2008

recession retention levels of recent graduates to those of the post-2008 recession retention

levels could be an area of exploration and investigation for future research.

Organizational Profile

Survey questions were designed to assess the organization's current profile. While

previous studies and articles were utilized to identify attitudes on leadership and team building

within the archives and records management field or case-study examples in which leadership

and team building strategies were successful, the goal of this survey questionnaire was to

identify corresponding and correlating characteristics that relate to the overall success of

archives and records management institutions.

Respondents were asked to assess their growth and progress within their institution.

When asked a multi-selection question regarding their current state of business development in

their organization, the two highest categories selected were "Steady Expansion" (30.96%) and

"Budget Decreases" (39.09%) (Figure 4).[50] These responses appear somewhat puzzling as it

appears that ARM institutions are both simultaneously expanding and the budget with which to

support the institution is decreasing. What is affirmed is that there is an apparent trend across

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[49] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 18.
[50] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 6.

ARM institutions that there is a lack of funding to support the mission and viability of the

organization. ARM institutions could employ creative and innovative strategies, such as team

building and leadership development, to mitigate this budget crisis.

State of development, n=148

Question 6: What is the current institution state of development at your organization?

State	Percentage
Budget Decreases	39.09%
Steady Expansion	30.96%
Institutional Downsizing	11.17%
High Employee or Volunteer Turnover	8.63%
Budget Increases	6.09%
Rapid Growth, Hiring, and Program Development	4.06%
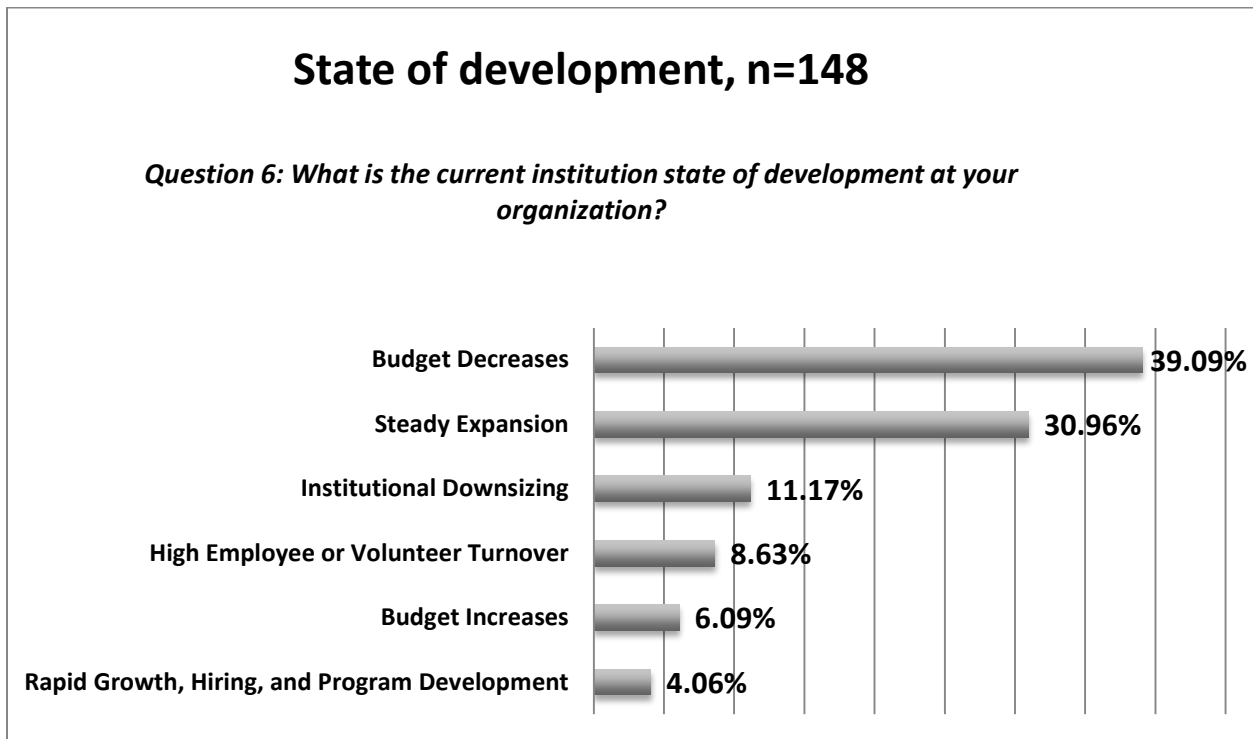
Figure 4. State of development

Collaboration

With declining budgets, it could be expected that attempts at collaboration could be

utilized to combat the problem of limited financial resources while bolstering human capital

resources; i.e. work teams and collaboration. The majority of respondents, 80 of the 148

(54.05%),[51] indicated that their institution had "some collaboration" and that this collaboration

was considered to be generally "positive" (see Figure 5). Of the respondents that reported that

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[51] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 7.

there was "some collaboration" or "little collaboration"[52] (97 of 148), a large majority (94 of the

97, or 97%) also answered that there was "less than 3 hours per month"[53] spent on leadership

and team development within their organization.[54] Additionally, among those that stated they

had "little collaboration" (17 of 148), a good portion (76%) asserted that they do not always

receive "positive feedback."[55] Among these 17 respondents 11 indicated that their "goals are

constantly changing."[56] Moreover, 65% (11 of the 17) also indicated that their organization was

"unsuccessful at budgeting."[57] Furthermore, among the respondents that indicated that there

was "little collaboration" a majority (14 of the 17, or 82%) evaluated their institution as

"unsuccessful" or only "somewhat successful."[58]

     These data suggest the importance of collaboration within organizations. It appears

that the organizations with weaker implementation or utilization of collaboration also lack a

devotion to leadership development, positive feedback, consistent goals, budgeting success,

and also display a lack of overall success.

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[52] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 7.

[53] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 8.

[54] This finding represents a cross-tabulation between question 7 and question 8. This category of respondents' answers was compared with their responses to question 8 to provide a joint distribution between the variables presented in these two questions.

[55] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 9. Cross tabulation of question 7 with question 9.

[56] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 7 with question 13.

[57] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 19. Cross tabulation of question 7 with question 19.

[58] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 7 with question 20.

Level of collaboration at organization, n=148

Question 7: How would you rate the level of collaboration at organization where you are currently employed/volunteer?

■ Collaborative, interactive and successful. Goals are set and achieved. There are opportunities for mentoring among the staff, n=51

■ Some collaboration and generally positive. Limited goal setting. Staff works autonomously, n=80

■ Little collaboration. There is little to no goal setting. Staff works independently of one another, n=17
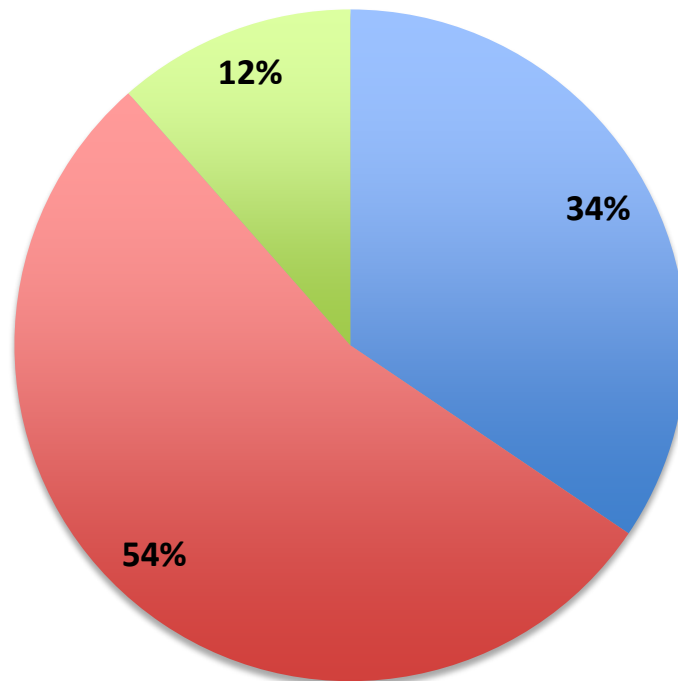
Figure 5. Level of collaboration at organization

While not directly affirmed in the results of the survey questionnaire, an area of possible exploration could be to examine the potential correlation between levels of collaboration at an institution and the availability of positions. Of the total number of respondents to the survey, 131 of 148 (88.51%) affirmed that "Yes, there are limited paid positions/opportunities at my

organization. There is competition for obtaining a full-time paid position."[59] Perhaps a high rate

of competition for limited number of paid positions may undermine and negate efforts at

collaboration resulting in little collaboration. A possible explanation could be that individual

members tend to avoid collaboration, as potential collaboration could be perceived as

providing a competitive edge to rival colleagues.

While causation cannot be determined, there is, however, strong correlation between

collaboration and overall success of the institution. This could be, in part that collaboration

creates a process of team-exchange, team formation, role compilation and team compilation.

During team collaboration and other team-bonding activities, according to Dierdorff et. al.,

"team members begin to connect with one another and figure out how their actions affect

other members. Members also focus on having their needs met and what they must do to help

others."[60] The findings of Dierdorff et. al. indicate that teams that displayed high levels of

quality during "team member exchange" or "collaboration" reaped greater long-term

performance goals.[61] Collaboration allows organizations to facilitate group cohesion,

commitment, communication, effective decision-making, and to refocus and maintain their

commitment to long-term objectives and goals. This could have a profound impact on the

performance and success of archival and records management institutions.

Among survey respondents, 45 of 148 indicated that they have both opportunities for

collaboration and cross-functional training within their institution (see Figure 6).[62] Among

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[59] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 12.
[60] Dierdorff et. al., "The Power of 'We'," 248.
[61] Dierdorff et. al., "The Power of 'We'," 258.
[62] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 14.

these 45 respondents, 42 (93%) appraised the level of collaboration (see Figure 7) as "always look for opportunities to collaborate and help one another, and that the success of the project is the most important goal" or "we work well on projects together to get the project completed."[63] None of the 45 respondents who suggested they have both opportunities for collaboration and cross-functional training indicated that they had any hesitancy on working together on projects.[64]

Opportunities for collaboration and cross-functional training, n=148

Question 14: How would you descirbe opportunities for collaboration and cross-functional training between colleagues?

- Both collaboration and cross-functional training on projects, n=45
- Cross-functional training on projects, n=6
- Collaboration on projects, n=79
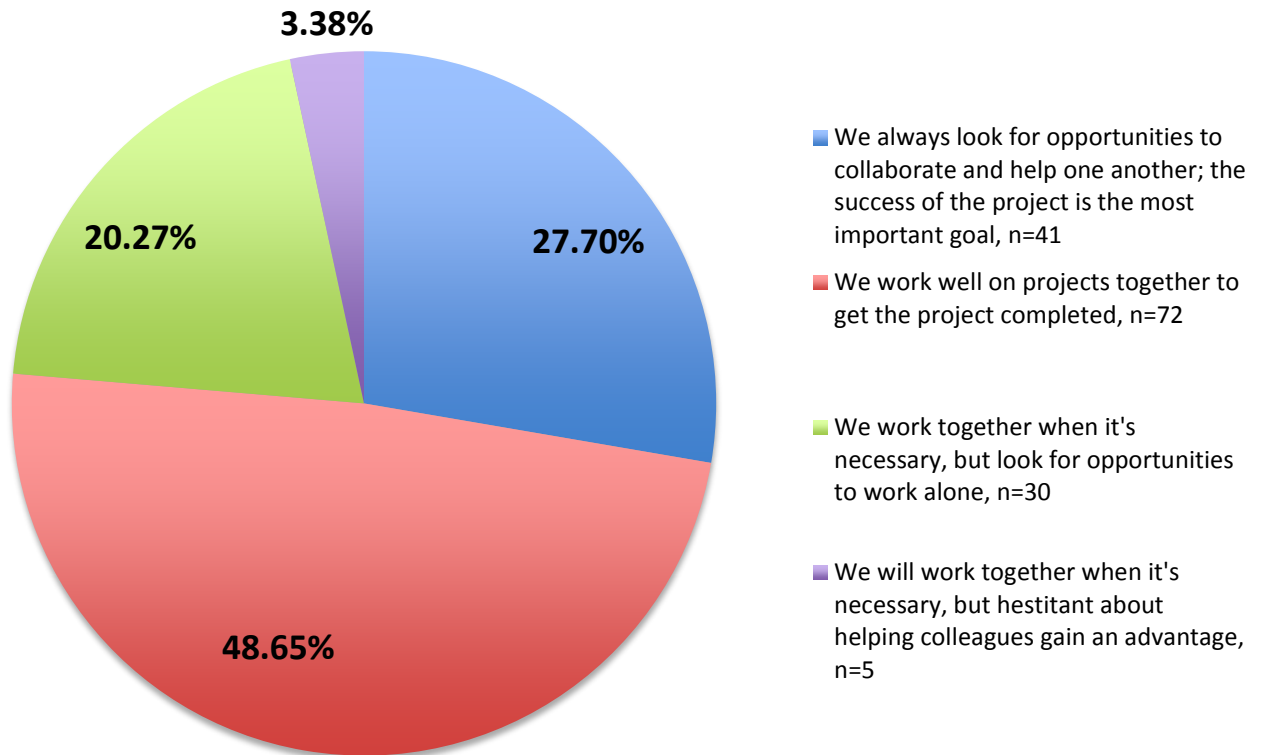- No collaboration and/or cross-functional training on projects, n=18

Figure 6. Opportunities for collaboration and cross-functional training

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[63] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 15. Cross tabulation of question 14 and question 15.
[64] Cross tabulation of question 14 and question 15.

Level of collaboration between colleagues, n=148

Question 15: How would you rate level of collaboration between you and your colleagues?

3.38%

20.27%

27.70%

48.65%

- We always look for opportunities to collaborate and help one another; the success of the project is the most important goal, n=41
- We work well on projects together to get the project completed, n=72
- We work together when it's necessary, but look for opportunities to work alone, n=30
- We will work together when it's necessary, but hestitant about helping colleagues gain an advantage, n=5

Figure 7. Level of collaboration between colleagues

Of those respondents, 18 of 148, that indicated that they had "no collaboration and/or cross-functional training on projects," 11 of these 18 (61%) also indicated that they either "work together when it's necessary, but look for opportunities to work alone"; or that they are "hesitant about helping colleagues gain an advantage."[65]

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[65] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 15. Cross tabulation of question 14 and question 15.

High levels of collaboration correlate with high levels of trust; an environment of trust

and security allows archival staff opportunities to "look forward to opportunities to work as a

group," "admit weakness and mistakes," and to "appreciate and tap into one another's skills

and experience."[66] Furthermore, an environment of trust and collaboration provides

opportunities for leaders, developing leaders, and team members to discover one another's

strengths and to facilitate collaboration on problem solving, goal setting, and objectives.

Institutions that provide this type of an atmosphere can create a cyclical effect of collaboration

and reinforcement of trust, and exhibit higher levels of performance. The 2010 case study by

de Jong and Elfring provides quantitative support for the assumption that trust and

collaboration have a significant and positive relationship on overall team cohesion and team

performance.[67]

Mentoring

Michael J. Kurtz, in *Managing Archival and Manuscript Repositories,* suggested that

mentorship is a responsibility of leadership: "The archival manager is responsible not only for

his or her own self-knowledge and development, but also for the development of leadership

and management skills of subordinates on the staff."[68] Walch et. al. suggested that the

"transferring of critical knowledge to the next generation" is achieved via leadership and

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[66] Patrick Lencioni, *The Five Dysfunctions of a Team: A Leadership Fable* (San Francisco: Jossey-Bass, 2002), 197.

[67] Bart A. De Jong and Tom Elfring, "How Does Trust Affect the Performance of Ongoing Teams? The Mediating Role of Reflexivity, Monitoring, and Effort," *Academy of Management Journal* 53 (2010): 542. Results corroborated with prior studies of ongoing teams that have a shown a significant, positive relationship of trust and team performance. Positive Relationship, Reflexivity (ß = .54, p < .001), Monitoring (ß = .52, p < .001), and Effort (ß = .58, p < .001).

[68] Michael J. Kurtz, *Managing Archival and Manuscript Repositories,* (Chicago: Society of American Archivists, 2004), 33.

mentoring.[69] Gilliland-Swetland discussed that while the role of mentor-mentee relationship in archival professional development is indirectly discussed, "the mentor-mentee relationship often becomes the invisible sustenance that nurtures the development of young professionals and stays with them throughout their career."[70] Furthermore, archival leaders can foster trust among the staff by creating an environment where individuals feel comfortable with being vulnerable enough to voice their issues or concerns without retribution. From the library science field, Deborah Hicks advocates, "mentorship is often considered one of the best ways to develop leadership potential in new library and information professionals. Mentors act as teacher, role model, and cheerleader..."[71] Mentoring relationships are different than supervisory roles; mentors focus on the development of the protégé, assessing the protégé's skills and professional development. Supervisors are more focused upon the daily job responsibilities and functions.[72] Additionally, mentoring activities are effective development tools; they can provide new professionals with leadership skills and a means of integrating new professionals into the organizational culture.[73] Consequently, the survey attempted to capture the effect of leadership styles and their ramifications on the environment or success of the archival institution.

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[69] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 318.

[70] Anne J. Gilliland-Swetland, "Archival Research: A "New" Issue for Graduate Education," *American Archivist* 63 (Fall/Winter 2000): 259.

[71] Deborah Hicks, "The practice of mentoring: reflecting on the critical aspects for leadership development," *The Australian Library Journal* (February 2011): 66.

[72] Hicks, "The practice of mentoring: reflecting on the critical aspects for leadership development," 67.

[73] Mason and Wetherbee, "Learning to Lead: An Analysis of Current Training Programs for Library Leadership," 206.

In response to a multi-select question regarding professional development, (11.40%) respondents indicated that "mentoring and coaching by senior staff"[74] are among the professional and career development opportunities provided by their institution (see Figure 8). When these same respondents who affirmed that they had mentoring and coaching by senior staff were asked to evaluate the opportunities for collaboration and cross-functional training at their institution, 30 of 31 (96.77%) indicated that they had either "both collaboration and cross-functional training on projects" or "collaboration on projects" (see Figure 9).[75] Additionally, of the 31 that had mentorship opportunities at their organization 29 of 31 (93.54%) rated their level of collaboration as either "look for opportunities to collaborate and help one another" or "work well on projects together to get the project completed" (see Figure 10).[76] These data suggest the importance of mentoring programs within organizations, and that such programs can, perhaps, influence the attitudes with which employees approach collaboration.

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[74] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11.

[75] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 14. These results cross tabulate the 31 of 148 respondents to question 11 (mentoring and coaching by senior staff) with their responses to question 14.

[76] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 15. These results cross tabulate the 31 of 148 respondents to question 11 (mentoring and coaching by senior staff) with their responses to question 15.

Opportunities for professional and career development, n = 148

Question 11: What types of opportunities Professional/Career Development does your organization provide?

- ■ None. The organization does not provide opportunities for professional/career development,
- ■ Mentoring and Coaching by Senior Staff,
- ■ Continuing Education Seminars/Workshop,
- ■ Time-off for Professional Development Workshops & Seminars (i.e. S.A.A),
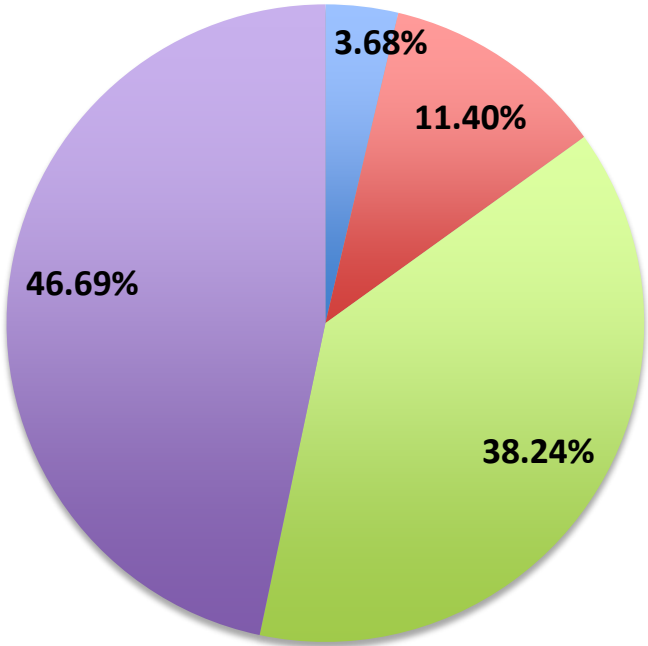
Figure 8. Opportunities for professional and career development

Cross tabulation between mentorship and coaching opportunities and opportunities for collaboration and cross-functional training, n =31*
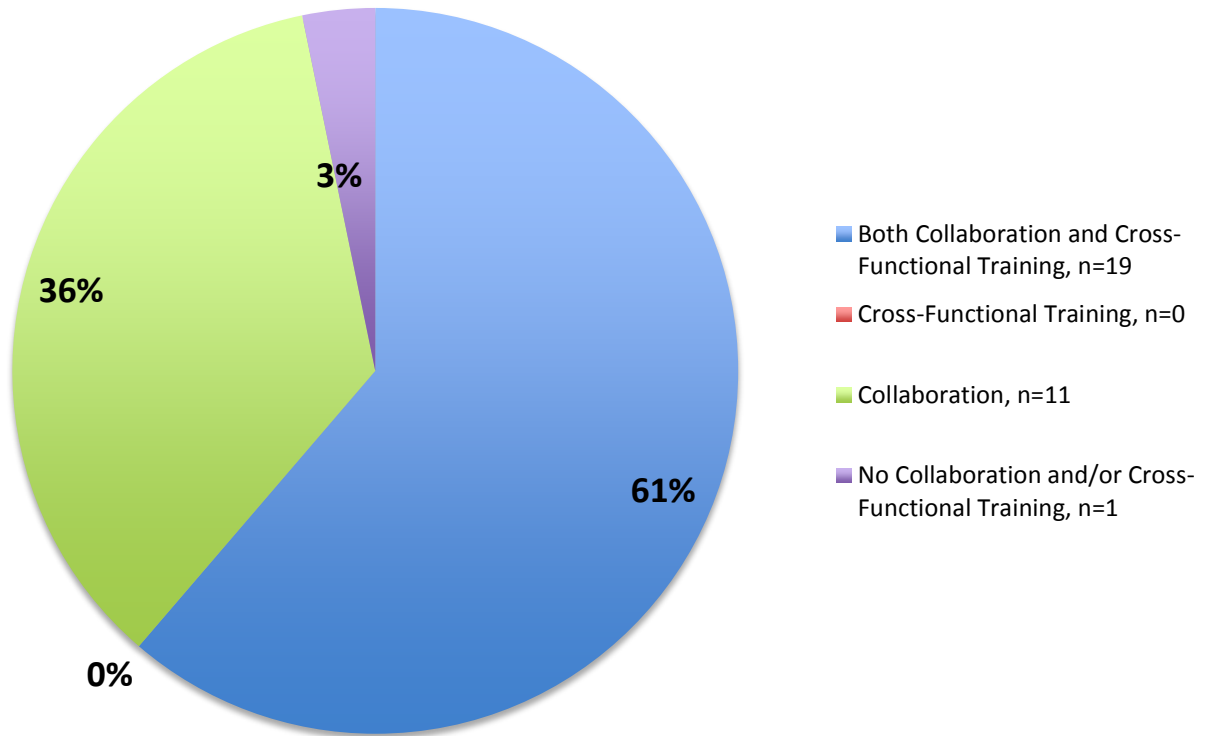
- ■ Both Collaboration and Cross-Functional Training, n=19
- ■ Cross-Functional Training, n=0
- ■ Collaboration, n=11
- ■ No Collaboration and/or Cross-Functional Training, n=1

*n=31 represents the number of respondents that answered question 11, with "mentoring and coaching by senior staff." Their responses were cross-tabulated with their answers to question 14 regarding opportunities for collaboration and cross-functional training at the institution.

Figure 9. Cross tabulation between mentorship and coaching opportunities and opportunities for collaboration and cross-functional training

Cross tabulation of mentoring and coaching opportunities and level of collaboration at the institution, n=31*

- ■ Look for opportunities to collaborate and help one another; the success of the project is the most important goal, n=11
- ■ Work well on projects together to get the project completed, n=18
- ■ We work together when it's necessary but look for opportunities to work alone, n=2
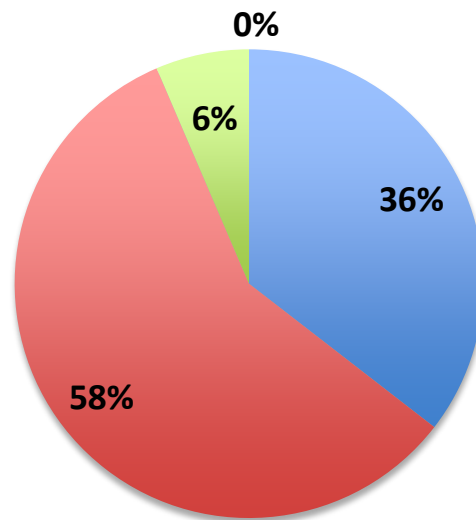- ■ We will work together when it's necessary, but hesitant about helping colleagues gain an advantage, n=0
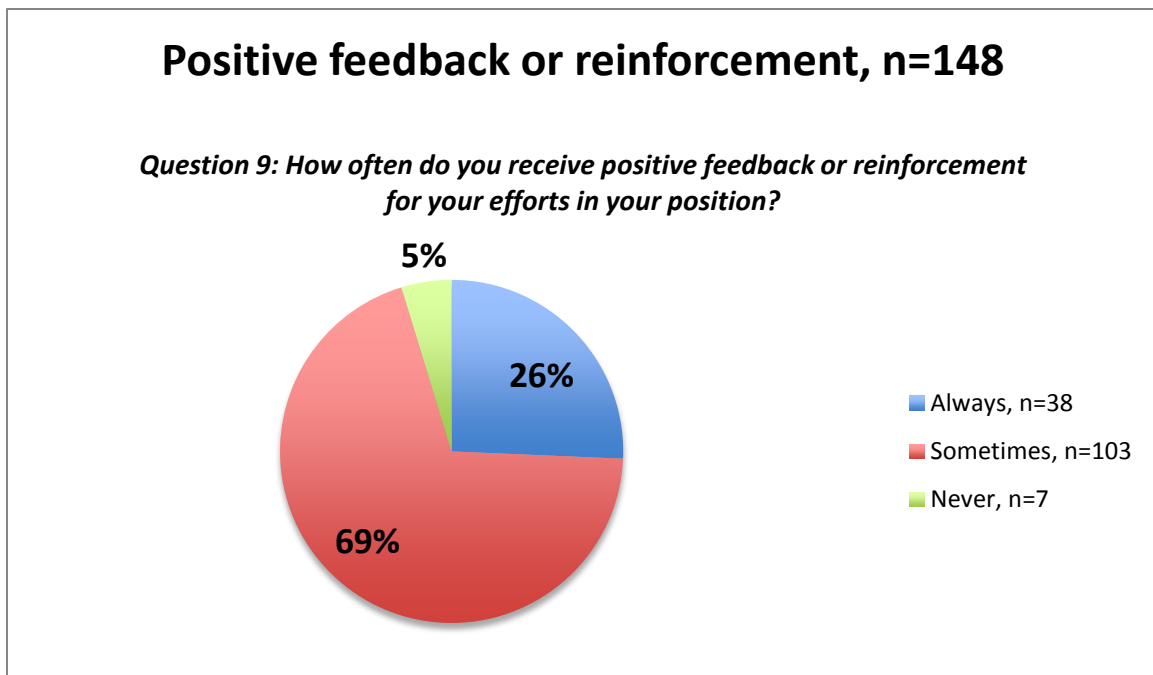

*n=31 represents the number of respondents that answered question 11, with "mentoring and coaching by senior staff." Their responses were cross-tabulated with their answers to question 15 regarding level of collaboration at the institution.

Figure 10. Cross tabulation of mentoring and coaching opportunities and level of collaboration at the institution

Lack of Positive Feedback

In an examination of the effect of positive feedback, of the participants (110 of 148) (see Figure 11) that responded that they do *not* always receive positive feedback for their efforts,[77] 90 of these 110 respondents (82%) also affirmed there were no mentoring opportunities available.[78] Furthermore, 73 of the same 110 (67%) respondents indicated that the goals of the institution are constantly changing and there is a lack of long-term focus.[79] Overall, 78% of the respondents that did not always receive positive feedback for their efforts suggested that they don't consider their institution to be very successful.[80]

Positive feedback or reinforcement, n=148

Question 9: How often do you receive positive feedback or reinforcement for your efforts in your position?

5%

26%

69%

- Always, n=38
- Sometimes, n=103
- Never, n=7

Figure 11. Positive feedback or reinforcement

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[77] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 9.

[78] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Cross tabulation of question 9 with question 11.

[79] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 9 with question 13.

[80] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 9 with question 20.

In 2010, researchers Fishbach et. al. evaluated the effect of positive and negative feedback and the influence of feedback on goal motivation.[81] Fishbach et. al. concluded that feedback is essential for goal pursuit, but more specifically, the type of feedback for either a novice or an expert is a factor in obtaining goals:

> Novices are concerned with evaluating their commitment and they are more likely to adhere to a goal after receiving positive (versus negative) feedback, in a dynamic of highlighting. In contrast, experts are concerned with monitoring their progress toward the goal and they are more likely to adhere to a goal after receiving negative (versus positive) feedback.[82]

Although the occurrence of negative feedback was not measured in this survey, the rate of positive feedback (or lack thereof) was measured. For the purpose of this study, those respondents who had less than a year experience at their current institution (19 of 148)[83] were considered to be "novice." Among these 19 "novice" respondents, 11 indicated that they "Always" receive positive feedback, with the remaining eight respondents indicating that they "Sometimes" receive positive feedback or reinforcement (see Figure 12).[84] Among the novice respondents that always receive positive feedback everyone[85] indicated that their institution was either successful (2 of 11) or somewhat successful (9 of 11).[86] These results suggest that perhaps the presence of positive feedback enables novice archivists to feel that they are in an atmosphere in which they can take positive risks, innovate, and seek opportunities to grow at their current institution. Thus it can be inferred that positive feedback allows these novice

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[81] Ayelet Fishbach et. al., "How Positive and Negative Feedback Motivate Goal Pursuit," *Social and Personality Psychology Compass* 4/8 (2010): 517-530.

[82] Fishbach et. al., "How Positive and Negative Feedback Motivate Goal Pursuit," 527.

[83] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 4.
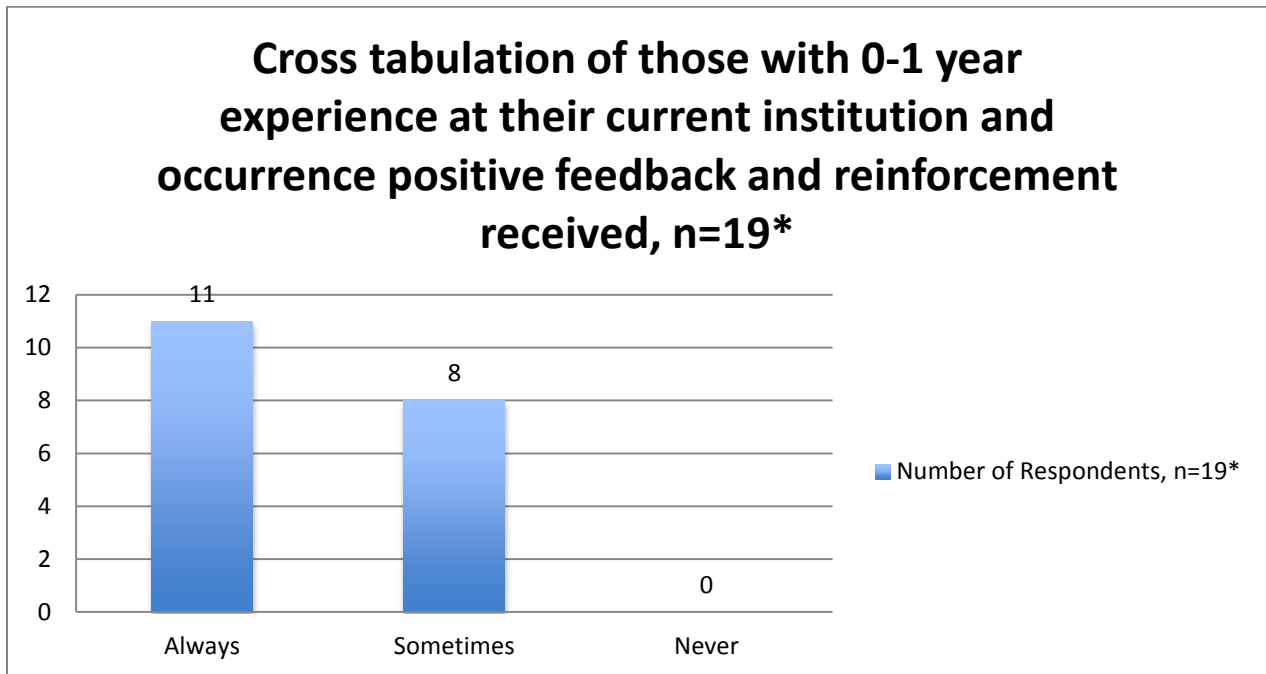
[84] Cross tabulation of question 4 with question 9.

[85] Cross tabulation of question 4 with question 9.

[86] Cross tabulation of question 4, question 9, and question 20.

employees to appraise the institution as successful. This data also suggests that positive

reinforcement fosters a willingness to be more engaged in efforts that contribute to the success

of the institution. Overall, it appears that archivists in supervisory positions are doing a

sufficient job of providing feedback to novice archivists at their institutions, which could be a

factor in the overall success of the institution in meeting its goals and objectives.

Cross tabulation of those with 0-1 year experience at their current institution and occurrence positive feedback and reinforcement received, n=19*

	Number of Respondents, n=19*
Always	11
Sometimes	8
Never	0

*n=19 represents the number of respondents that answered question 4, with "0-1 year" experience at their current institution. Their responses were cross-tabulated with their answers to question 9 regarding occurrence of positive feedback and reinforcement received.

Figure 12. Cross tabulation of those with 0-1 year experience at their current institution and occurrence positive feedback and reinforcement received

Absentee or Negative Leadership

The survey asked respondents to identify and evaluate the leadership and management

style that best corresponded with their institution (see Figure 13).
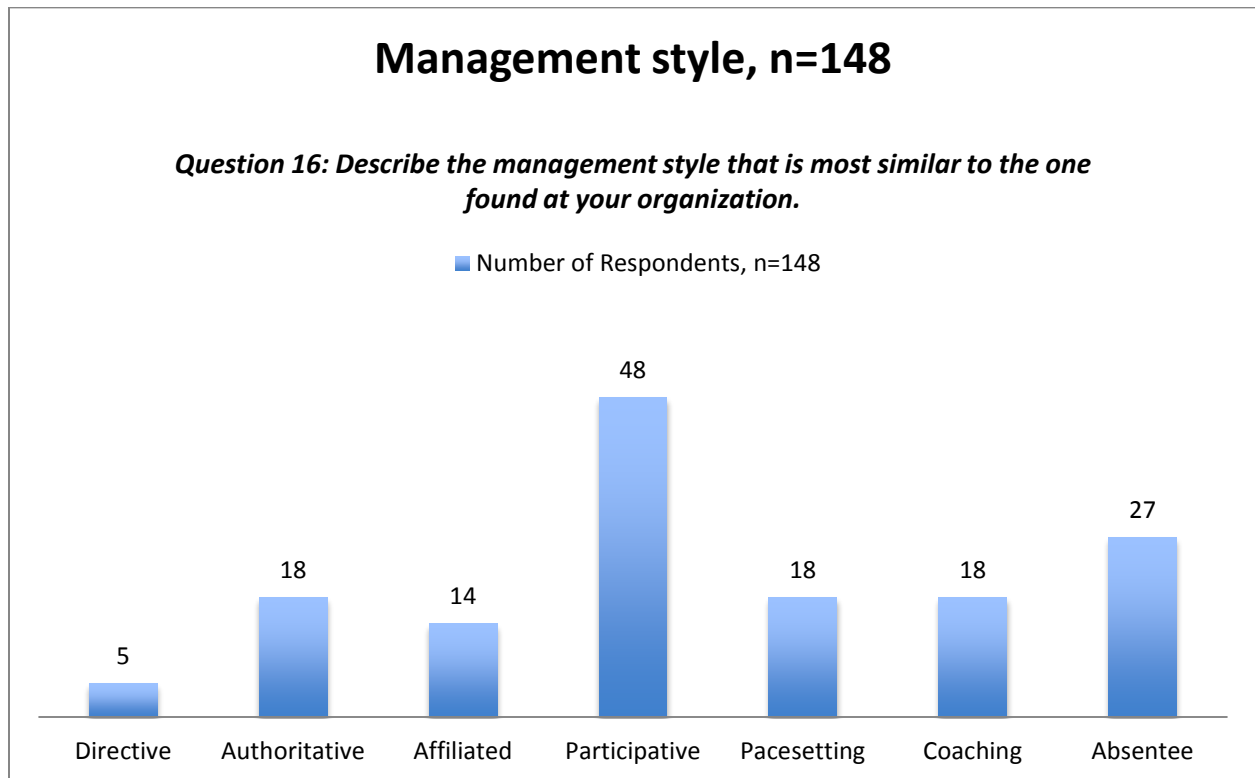
Figure 13. Management style

Overall, 27 of the 148 respondents described the management style presented at their

organization as "Absentee, that there is limited leadership and management involved."[87]

Perhaps as a result of this absent manager style, 26 of these 27 respondents, or 96%, felt that

there was only some, or only very little collaboration at their institution.[88]   Additionally, of

these 27 respondents that indicated they had an absentee leadership style, all of them (100%)

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[87] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 16.
[88] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 7. Cross tabulation of question 16 with question 7.

affirmed that they did not always receive positive feedback on their performance.[89] An additional effect of an absent manager can be seen when viewing the lack of available mentorship opportunities. Of the 27 respondents with an absentee leadership style, 26 of them (96.29%) indicated that they do not receive mentoring by senior staff.[90]

Among respondents with an absentee style of management, 17 of 27 (63%) indicated that their institution was not "very good" at "budgeting." Additionally, 17 of the 27 absentee leadership style respondents indicated that they also have declining budgets.[91] Moreover, 22 of 27 respondents (81%) indicated that they had all three of these circumstances within their organization: 1) they have no or limited success at "outreach programs"[92]; 2) they have changing goals or only short-term goals[93]; and 3) they have limited employment opportunities.[94] Only one of the 27 respondents in this absentee leadership style category (3.7%) indicated that they have mentoring programs or mentoring opportunities.[95]

These findings suggest that within institutions that lack a strong leadership presence, there is a correlation between an absence of collaboration amongst colleagues, lack of positive feedback, lack of positive reinforcement, and lack of mentoring.

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[89] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 9. Cross tabulation of question 16 with question 9.

[90] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Cross tabulation of question 16 with question 11.

[91] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 6. Cross tabulation of question 16 with question 6.

[92] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 17. Cross tabulation of question 16 with question 17.

[93] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 16 with question 13.

[94] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 12. Cross tabulation of question 16 with question 12.

[95] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Cross tabulation of question 16 with question 11.

Leading from the Middle

The survey lacked the ability to adequately capture institutions that simultaneously exhibited more than one leadership style; however, for the simplicity of analysis and ability to analyze the results only one type of leadership style could be selected. Overall, a significant trend emerged that showed that archival institutions tended to operate with work teams and committees. It appears that within the setting of archives and records management institutions, a top-down leadership style is not implemented or utilized, instead a "leadership from the middle" type of structure. And as Donna E. McCrea asserted: "leadership can and often should be a shared process."[96]   Research studies in the nonprofit and public sectors indicate that nonprofit and public organizations employ a more participative management style with leading from the middle and work-team configurations. It appears that most ARM institutions follow the pattern of the nonprofit sector and utilize work team and committees to meet the workload of archival and records management institutions.[97]

The "leading from the middle" approach can best been seen in the participative management style, in which "'Everyone has Input.' This type of leadership style encourages employee input in decision-making. Management motivates by rewarding team effort."[98] Overall, out of the 148 respondents 48 (33%) assessed their institution's management style as participative.[99]   32 of these 48 (67%) respondents who selected participative management style concurrently indicated that they were able to establish some type of goals that didn't

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[96] McCrea, "Learning to Lead: Cultivating Leadership Skills," 106.

[97] Kalleberg et. al., "Beyond Profit? Sectoral Difference in High-Performance Work Practices," 283.

[98] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 16.

[99] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 16.

change with funding.[100] Additionally, 44 of these 48 (92%) respondents also indicated that their

institution capitalized on outreach activities, generating opportunities for outreach or at least

when it was convenient the institution participated in outreach activities.[101] Also, 32 of these

44 respondents (67%) indicated that their institution capitalizes on outreach activities (see

Figure 14).[102] When these 48 participative management style respondents were asked to

evaluate their institution's aptitude for budgeting, 47 of the 48 (98%) indicated that their

institution was either "somewhat good" or "very good" at budgeting, with 29 of these 47 (60%)

stating they were "very good" at budgeting (see Figure 15).[103] Furthermore, of the respondents

that indicated that their institution exhibited a participative management style, 46 of the 48

(96%) stated they regularly received at least some positive feedback for their efforts and

performance.[104] Overall, the participative management style garnered 96% (46 of 48) appraisal

of their institution as either "somewhat successful" or "very successful," with 24 of the 48

(50%) rating their institution as "very successful" (see Figure 16).[105]

This participative leadership style focuses and relies on the success of individuals on the

team, facilitating the leadership skill development in each of the archival staff members. The

participative or coaching management style emphasis on the team creates employee

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[100] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 16 and question 13.

[101] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 17. Cross tabulation of question 16 and question 17.

[102] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 17. Cross tabulation of question 16 and question 17.

[103] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 19. Cross tabulation of question 16 and question 19.

[104] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 9. Cross tabulation of question 16 and question 9.

[105] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 16 and question 20.
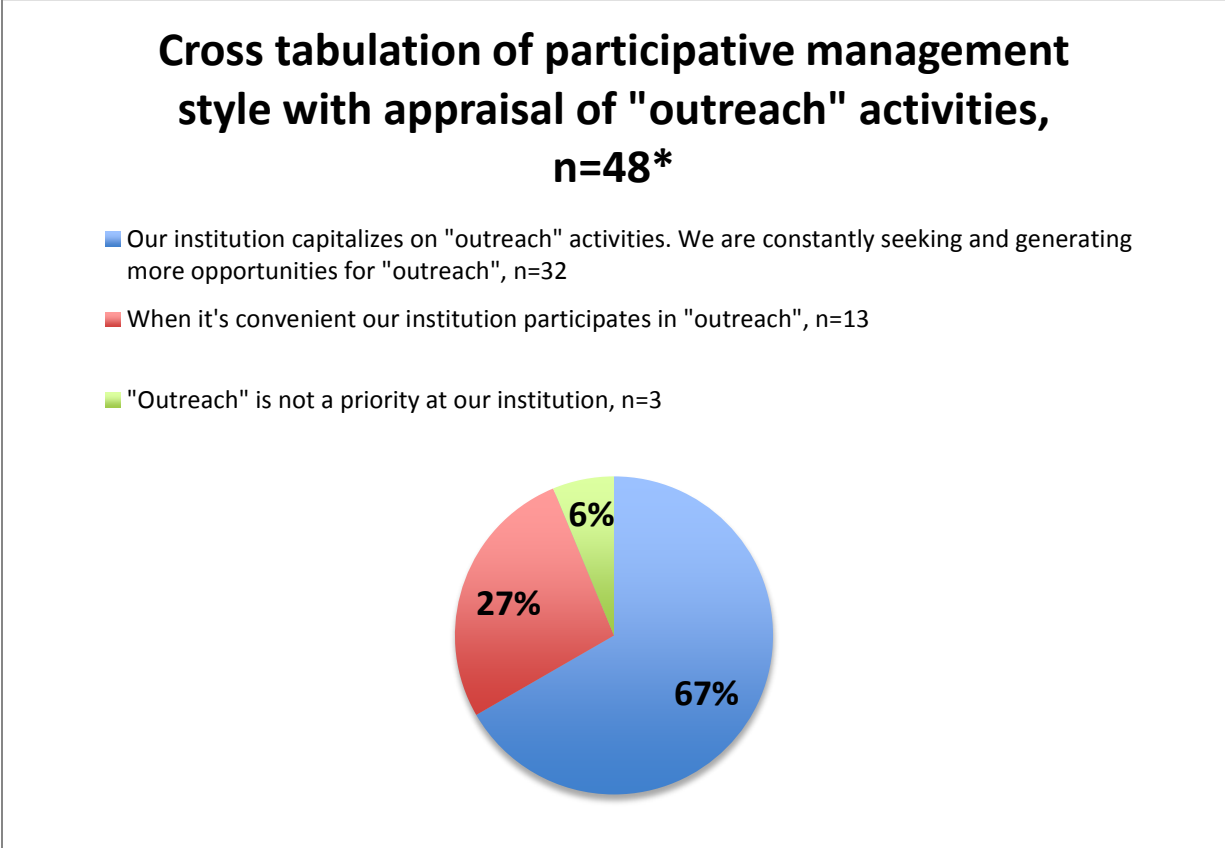
investment and produces more leaders within the organization who are critical to furthering

the archival institution's goals and mission.

Cross tabulation of participative management style with appraisal of "outreach" activities, n=48*

- Our institution capitalizes on "outreach" activities. We are constantly seeking and generating more opportunities for "outreach", n=32
- When it's convenient our institution participates in "outreach", n=13
- "Outreach" is not a priority at our institution, n=3

*n=48 represents the number of respondents that answered question 16, with "participative" management style exhibited at their current institution. Their responses were cross-tabulated with their answers to question 17 regarding their appraisal of "outreach" activities at their institution.

Figure 14. Cross tabulation of participative management style with appraisal of "outreach" activities

Cross tabulation of participative management style with appraisal of budgeting success, n=48*
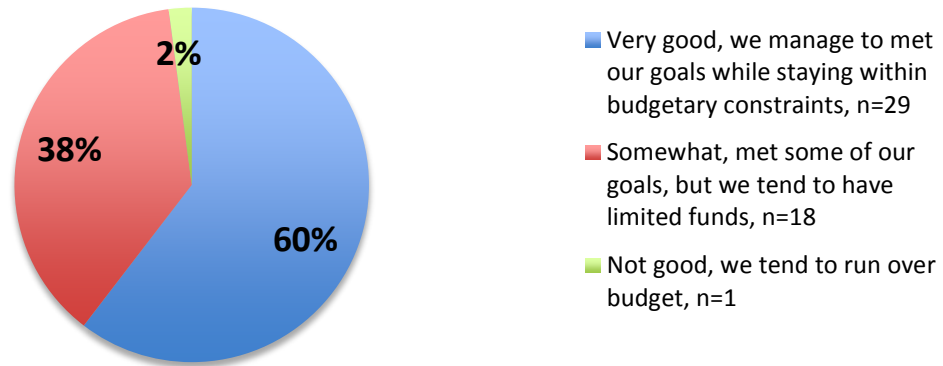
- Very good, we manage to met our goals while staying within budgetary constraints, n=29
- Somewhat, met some of our goals, but we tend to have limited funds, n=18
- Not good, we tend to run over budget, n=1

*n=48 represents the number of respondents that answered question 16, with "participative" management style exhibited at their current institution. Their responses were cross-tabulated with their answers to question 19 regarding their appraisal of the institution's success at budgeting.
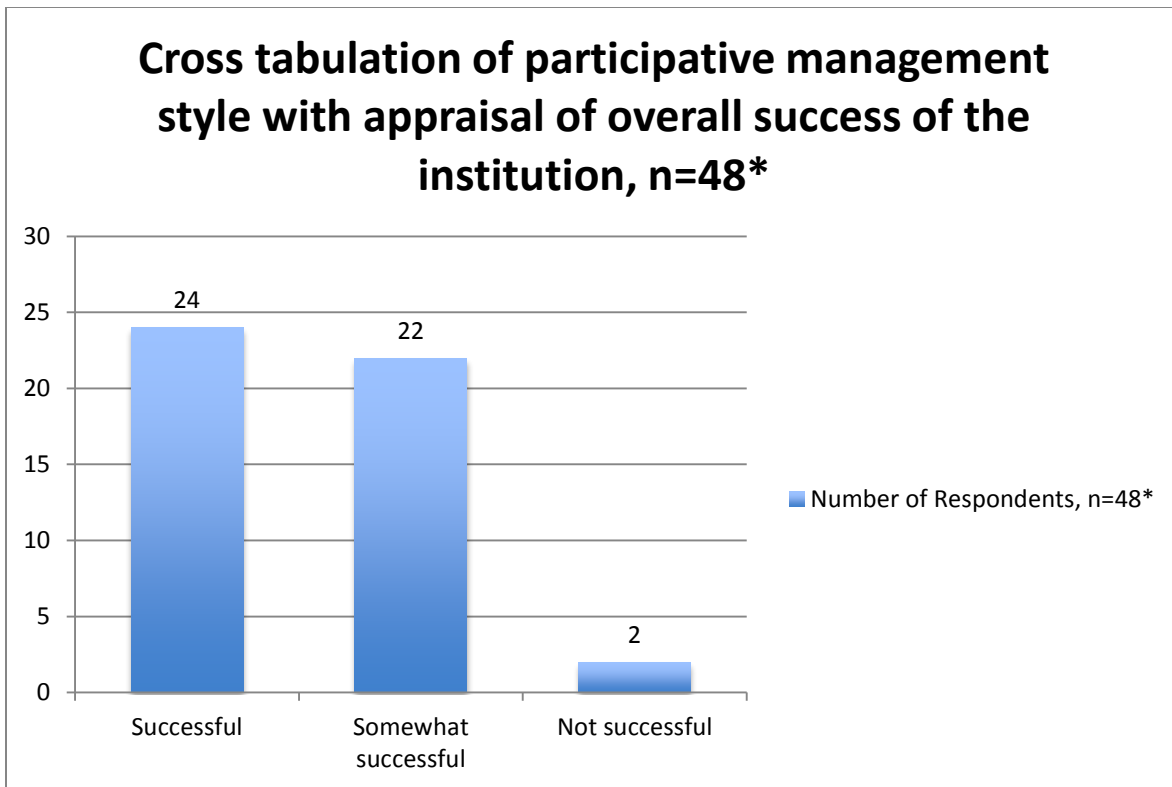
Figure 15. Cross tabulation of participative management style with appraisal of budgeting success

Cross tabulation of participative management style with appraisal of overall success of the institution, n=48*

*n=48 represents the number of respondents that answered question 16, with "participative" management style exhibited at their current institution. Their responses were cross-tabulated with their answers to question 20 regarding their appraisal of the institution's overall success.

Figure 16. Cross tabulation of participative management style with appraisal of overall success of the institution

In consideration of those that do *not* consider their institution to be characterized as either "participative" or "coaching" management style (which amounts to 82 of the 148 respondents) a large number (58 of the 82, or 70%) said their goals are constantly changing and focused primarily on the short term.[106] Only 14 of 82 (17%) of these respondents (neither participative nor coaching management style) stated that they always receive positive feedback

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[106] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 16 and question 13.

for their efforts.[107] Overall, among these 82 respondents who indicated that their institution could be characterized as neither "participative" nor "coaching" management style, 11 of the 82 (13%) rated their institution as "very successful" with the 64 of the 82 respondents in this category indicating that they evaluated their institution as only "somewhat successful."[108]

Professional Development and Continuing Education

SAA's A*CENSUS study found that:

> Most managers reported that their employers support professional development for staff members, but academic institutions were more likely to provide such support. Government agencies lagged behind the rest of employer types…Overall, funding emerged as the biggest barrier to obtaining professional development.[109]

A decade after the 2004 SAA A*CENSUS funding still remains the biggest barrier to professional development. In response to a multi-select question regarding opportunities for professional and career development at their organizations, some of the respondents provided additional comments or clarification for their response.   According to one respondent, "Funding for workshops/seminars varies and has declined substantiall[sic] for several years."[110] Furthermore, when this respondent asked about the state of development within their institution, the respondent indicated that her/his organization was experiencing "Budget

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[107] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 9. Cross tabulation of question 16 and question 9.

[108] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 16 and question 20.

[109] Walch et. al., "A*Census: Archival Census and Education Needs Survey in the United States," 400.

[110] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Respondent 176.

Decreases."[111] Another respondent wrote, "There are limitations on how much I can spend on

professional development per year."[112] This same respondent when asked about the

organization's interest in short-term or long-term goals and objectives selected "The

organization's goals and objectives change with funding and priority," indicating what could

reasonably be inferred as funding constraints within the institution.[113] In order to combat

some of this lack of funding for professional development, other respondents provided more

detail on creative approaches within their organization, such as, webinars and article access,

with a respondent indicating "Director regularly sends out notifications of pertinent webinars

and articles"[114] or a "Journal Club, Writing Support Group."[115]

The results of this survey indicated that of those respondents (104 of 148) that were

situated within organizations that supported continuing education opportunities, seminars or

workshops,[116] the vast majority (100 of the 104, or 96%) also appraised their institution as

either somewhat good, or very good at budgeting, with 48 of the 104 (46%) indicating that their

institution was very good at budgeting.[117] Perhaps institutions that have established and

maintained budgets also have extra funding or also have allocated funding for continuing

education, seminars, or workshops. Furthermore, 73 of these 104 (70%) respondents indicated

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[111] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 6. Cross tabulation of question 11 with question 6. Respondent 176.

[112] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Respondent 35.

[113] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 11 with question 6. Respondent 35.

[114] Respondent 100.

[115] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11. Respondent 83.

[116] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 11.

[117] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 19. Cross tabulation of question 11 with question 19.

that their institution has goals that don't change with funding (that the institution has either short term and/or long term goals).[118] Overall, 95% (99 of 104) appraised their organization to be either somewhat, or very successful, with the majority (70 of 104, or 67%) indicated that they classified their institution as somewhat successful.[119] These data suggest that, perhaps those institutions with established budgets that are maintained have extra funding or have allocated funding for continuing education, seminars, or workshops. Furthermore, perhaps the training provided through continuing education, seminars, or workshops provide skills and development that aid to the overall success of the institution.

Goal Setting

As Larry Hackman surmised, "the program's vision, agenda, and main goals (and its strategies for addressing this agenda) are always a vital part of program infrastructure."[120] Archival institutions must consistently refocus their staff members and organization on achieving goals and results. Archival leaders have a unique role in maximizing, coordinating, and focusing the efforts of staff members in setting and achieving goals that support the mission and objectives of the archival institution. Leadership is an essential component in managing goal setting and fulfillment. Furthermore, leadership, team building, and management are effective tools in goal setting efforts.

Of those with solid goals established in their organization (Figure 17) (either short term, long term or both) combined with those whose goals are not constantly changing with funding

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[118] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 11 with question 13.
[119] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 11 with question 20.
[120] Hackman, "Leadership and Infrastructure in Archival Programs,"109.

(99 of 148),[121] just over half (57%, or 57 of the 99) felt that their institution capitalized on outreach activities, while 33% (33 of 99) indicated that their institution participates in outreach activities.[122]   Overall, of the individuals that indicated that their institution pursues and maintains goals, 96% (95 of 99) considered their organization to be either somewhat successful or successful, with the majority of these respondents, 59% (59 of 99) classifying their institution as somewhat successful.[123]

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[121] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13.
[122] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 17. Cross tabulation of question 13 with question 17.
[123] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20. Cross tabulation of question 13 with question 20.

Goal setting, n=148

Question 13: "How would you describe the organization's interest in short-term and long-term goals for either the success and/or growth of organization?

- We have developed project plans and schedules for both short-term and long-term goals, n=50
- Our organization focuses mostly on short-term goals, but we have some long-term objectives, n=41
- Our organization focuses mostly on long-term objectives, n=8
- The organization's goals and objectives change with funding and priority, n=49
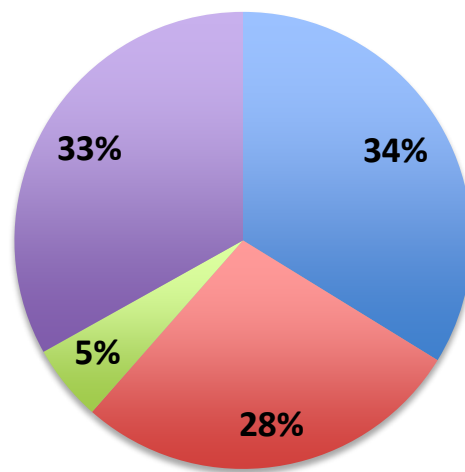
Figure 17. Goal setting

Overall Success of the Institution

Finally, 42 of 148 of the respondents rated their institution as "Successful and that the institution performs very well," while 96 of 148 indicated that their institution was "Somewhat successful. In general the institution operates well, but has areas that need improvement"[124] (see Figure 18). Of those that indicated they had an overall successful institution, 67% (28 of

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[124] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 20.

42) appraised their institution as successful at budgeting.[125] Goals seem to play a role in influencing the apparent success of an organization with the majority, (27 of the 42, or 64%) indicating that their institution has "developed project plans and schedules for both short-term and long-term goals."[126] Additionally, 26 of the 42 (62%) respondents that rated their institution as being successful concurrently indicated that their institution's level of collaboration was "collaborative, interactive, and successful."[127] When the responses of those that rated their institution as successful (42 of the 148) were simultaneously evaluated with their assessment of the management style prevalent at their institution, the majority of respondents (24 of 42, 57%) indicated that they had a participative management style.[128]

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[125] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 19. Cross tabulation of question 19 with question 20.

[126] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 20 with question 13.

[127] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 7. Cross tabulation of question 20 with question 7.
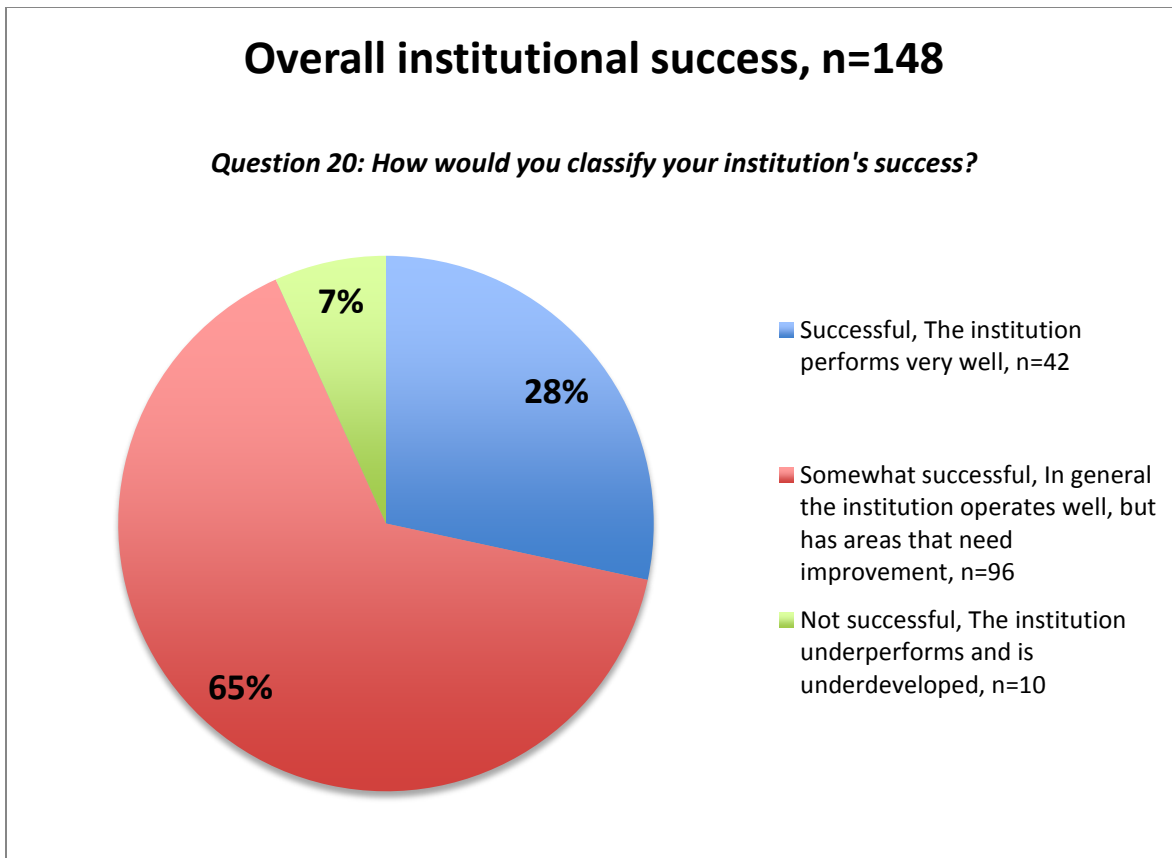
[128] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 16. Cross tabulation of question 20 with question 16.

Overall institutional success, n=148

Question 20: How would you classify your institution's success?

- ■ Successful, The institution performs very well, n=42
- ■ Somewhat successful, In general the institution operates well, but has areas that need improvement, n=96
- ■ Not successful, The institution underperforms and is underdeveloped, n=10

28%

65%

7%

Figure 18. Overall institutional success

When evaluated on the whole, the findings presented in this survey seem to support a number of conclusions. It appears that given the global recession of 2008 most archives are subject to budget decreases. Limited funding, although not a new issue to ARM institutions appears to be further decreasing. ARM repositories will need to continue to find innovative solutions to manage and deal with the ever-decreasing budgets.

Overall, most ARM institutions seem to implement collaboration as a method of managing and dividing the workload among a small-staff. It appears that collaboration and not cross-functional training is a key positive factor in ARM institutions. Furthermore, not only do archivists tend to utilize collaboration, but also archivists collaborate well together in a positive

and effective manner. There appears to be a positive correlation between the highest levels of collaboration and overall success of the institution. Additionally, the data suggests that collaboration functions independently from mentoring, as 11% of the total 148 respondents indicated that they have mentoring opportunities available at their institution. Consequently, the existence of a mentor does not seem to be a significant factor influencing the presence of collaboration. However, when asked to appraise the level of collaboration within the institution respondents that had mentor opportunities available regarded their institution as exhibiting a constructive and positive level of collaboration amongst colleagues.

It appears that ARM leaders in a supervisory position are doing a sufficient job at providing positive feedback and reinforcement. An area for future research could be to explore the role of positive feedback and reinforcement on young archival professionals and their overall professional growth and development.

Consistent with Donna E. McCrea's discussion on "leading from the middle," the largest majority of respondents, when asked about the management style represented at their institution, selected participative management style. Participative management style appeared to be a contributing factor in successful budgeting. Furthermore, participative management style exhibited a high positive correlation with the overall success of the institution (see Figure 19). Disappointingly, the next highest category of management style selected was absentee management style. Since leadership from the middle seems to be the most effective strategy for ARM institutions, perhaps archivists currently in an absentee or negative leadership style can take initiative to facilitate a more participative management style, aiding in changing the institutional status quo and contributing to the overall success of the institution.

Cross tabulation of management style with appraisal of overall success, n=42*
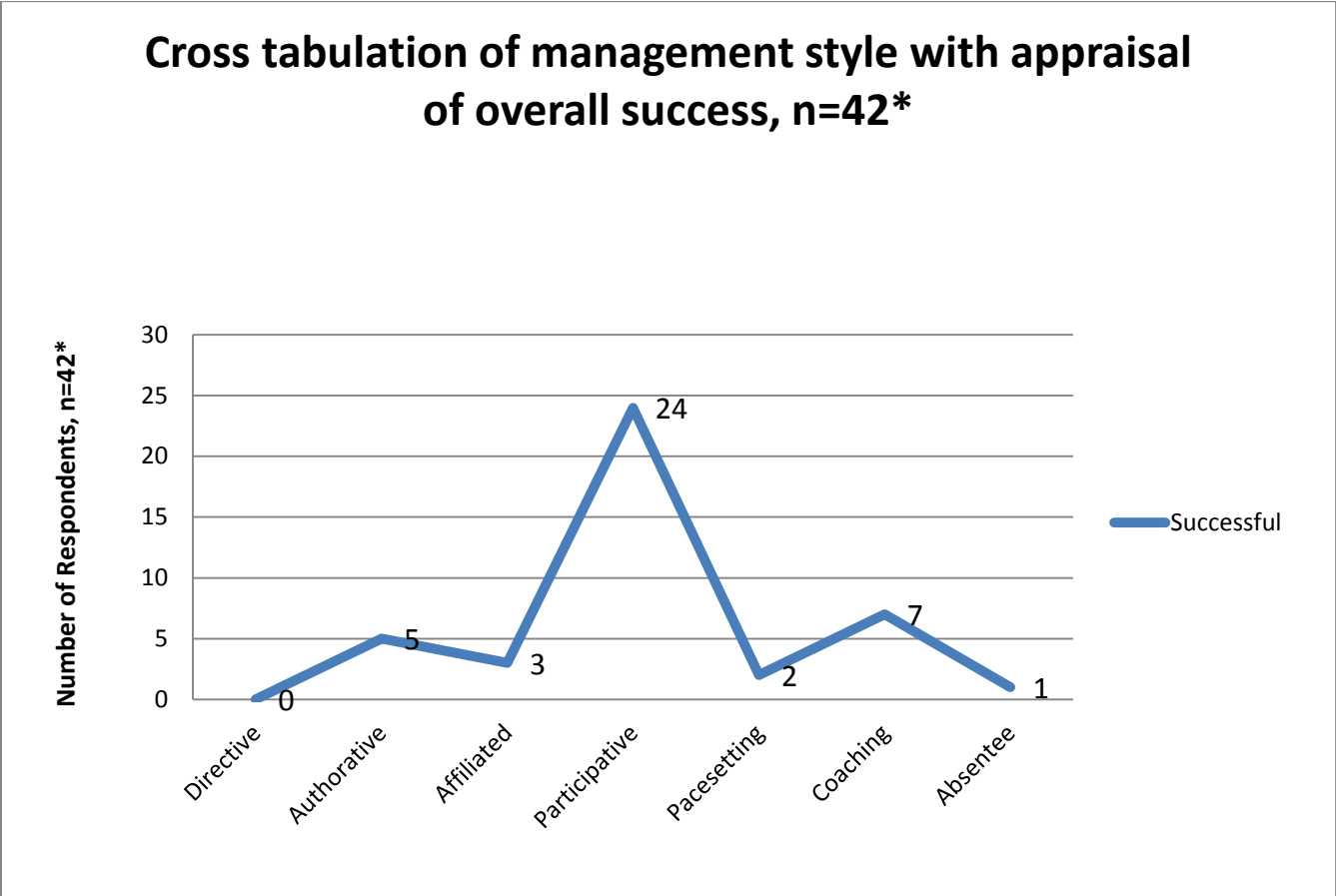
*n=42 refers to 42 of 148 respondents that appraised the overall success of their institution as successful. Cross tabulation of question 13 with question 20.

Figure 19. Cross tabulation of management style with appraisal of overall success

In summary, it appears that findings on goal setting are polarizing, with most of the respondents indicating that their institutions are either very adept at goal setting and project planning, or that their goals and objectives change with funding. An overarching trend emerges; the ability of the institution to set goals contributes to the overall success of the institution. Among the institutions whose goals changed with funding (49 of 148), only 12.47%

of these 49 respondents ranked their institution as being successful.[129] Instead of abandoning

goals and objectives with each budget cut structured goals that are maintained and tracked and

then adapted to funding restrictions could be ARM institutions' winning strategy for creating a

successful institution.

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[129] Jordan Lydia Grimmer, Leadership and Team Management in Archives and Records Management Survey. See Appendix, Question 13. Cross tabulation of question 13 with question 20.

CONCLUSION

ARM institutions already have an established groundwork from which to cultivate and develop their repositories. Leadership from the middle, participative management style, work team collaboration, and goal setting are the staples and will continue to remain as the competitive advantage for ARM institutions.   As previously discussed, these factors contribute to the ARM institutions' budgeting success, outreach success, and overall success.

As discussed in chapter one, previous literature studies in the archival field examined archival employment, career placement, career satisfaction, employment outlook, and employment demographics; this thesis sought to expand upon the body of literature by providing an insider's look to the organizational culture of ARM institutions.

Competition for employment positions was discussed in the results of the survey. The findings were inconclusive in their evaluation of the impact of limited positions or (scarce resources) on collaboration and teamwork within the ARM institution. Perhaps competition for limited job positions has always been a factor in ARM institutions. Furthermore, perhaps in order to meet the demand placed upon understaffed ARM institutions; the benefits of collaboration outweigh the potential drawback of offering a competitive advantage to colleagues vying for the same position.

Archivists and records managers appear very adept at collaboration within their institutions. One area for possible statistical research could be to explore the level of collaboration outside of the institution in order to better understand the level and quality of collaboration amongst multiple organizations.

Overall, it appears that there is no one-person executive leadership style in ARM institutions. Many ARM institutions implement a legislative or a participative leadership style. The writings by Donna E. McCrea and Bruce W. Dearstyne, which indicated that anyone at any level contributes to the overall success of the institution, have been substantiated. However, although it may be possible for any member of an institution to contribute to the success of an organization, it may not be a reality for all ARM institutions. Disappointingly, the results of the survey illuminated that aside from those belonging to the participative management style type of organization; the second highest management style identified by respondents was the absentee management style. Absentee management style had a strong correlation with non-successful ARM repositories. If archivists working in these absentee management style institutions want to facilitate the overall success of the institution, they will need to take personal responsibility to engage in leadership approaches and techniques that could impact the overall success of the institution. Perhaps successful archival institutions could collaborate with professional organizations such as, the Society of American Archivists, in developing a leadership and team-building manual helping those archivists who are currently at absentee management style ARM institutions in order to develop a more participative approach to the management at their archival institution.

Archivists who desire to develop their leadership skills could apply for leadership programs, such as the Archives Leadership Institute (ALI). The ALI program consists of a "leadership intensive," "post-intensive practicum," "practices workshop," "thematic group projects," and "the ALI salon" (a networking experience which provides current ALI members the opportunity to share their leadership insights to further develop their leadership

capacities).[1] Additionally, the ALI provides practice workshops for leadership progression and development, which are held in conjunction with the SAA Annual Meeting.[2] While the ALI is an option for those wishing to continue to develop their leadership skills, one of the disadvantages of this program is that the candidates that are encouraged to apply are mid-career archivists "who exhibits exemplary leadership potential with a solid, established professional foundation of practical knowledge and experience."[3] Unfortunately, this could hinder the potential growth and leadership development of young archivists. More training programs should be implemented to ensure that all archivists, regardless of tenure, have an equal opportunity to develop leadership skills and attributes.

Archivists who are reluctant to devote more effort to additional ventures could look for more innovative solutions. As one of the survey respondents indicated that the director of her/his ARM institution provides information concerning webinars, perhaps archivists and records managers could utilize webinars from other sectors that are focused on the development of leaders.

Institutions that maintain and sustain both their long-term and short-term goals despite changes in financial allocation will ensure their overall success. Constant and consistent attention to results, with clearly defined outcomes, will help work teams and employees to focus on the collective goals of the institution. The case study presented earlier of the CUAA's School of Business demonstrates how important collaboration can be on achieving goals.

[1] "The Archives Leadership Institute at Luther College," Archives Leadership Institute, accessed May 10, 2014, http://www.archivesleadershipinstitute.org.
[2] "The Archives Leadership Institute at Luther College."
[3] "The Archives Leadership Institute at Luther College."

CUAA's School of Business utilized collaboration to help make some of the difficult decisions required by the institution:

> Each topical area leader held primary responsibility for the research and information gathering on a specific topic, with the dean integrally involved in the process by working with individual area leaders. Typically, the team worked on one to three major topics (areas) at a time, with the topical areas progressing in different phases of research and information gathering, analysis and alternative generation, or decision-making.[4]

The CUAA's School of Business built upon their collaborative work teams to facilitate effective decision-making through team collaboration. This can have a profound impact on the performance levels and success at ARM institutions. Establishing an atmosphere of open collaboration within the workplace can lead to more productivity and stronger team unity.

A similar strategy, incorporated by the CUAA's School of Business team area leaders and decision-makers, could have easily been utilized in the archival setting. Furthermore, the fact that this method was successful for this school, which consisted of mostly part-time faculty, provides reassuring parallels with the nature of archival staff consisting of temporary employees, volunteers, students, and interns.

Research on archival leadership and team building strategies is expanding and the encouragement of the systematic implementation of these strategies within archives is slowly and surely producing results. Archivists and records managers can work to develop the body of their case studies and research findings by documenting and publishing successful leadership skills development and team building techniques that could be utilized within other archival institutions to improve performance. Interviews with prominent and leadership-oriented archival professionals, such as, Randall Jimerson, Larry Hackman, or Edie Hedlin could be

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[4] Marsh, "High Performance Team," 191.

conducted in order to further identify specific attributes and qualities that are essential to the archival leader. Furthermore, in-depth analyses and evaluations of their past projects could serve as case studies to help identify archival specific elements that contribute to the overall success of the ARM repository.

The findings of this research project confirm just how vital leadership and team building are in ensuring the overall success of archival institutional performance and mission. There is tremendous potential for leadership at all levels within the archival and records management profession. It is crucial for current and future archivists to take the responsibility to develop their own leadership potential to construct the foundation for the future of archival institutions.

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APPENDIX

Survey Questionnaire

1. *Informed Consent: Included information regarding confidentiality, voluntary participation, and authorization of use of responses. Additionally, the informed consent, described the purpose of the study, use of the results of the study, and potential benefits of the study.

2. **What type of institution are you currently employed in?** *(Check All That Apply)*
   23 (15.54%) Non-profit Archives
   16 (10.81%) Religious Archives
   10 (6.76%) Corporate Archives
   21 (14.19%) Government Archives
   61 (41.22%) University/College Archives
   4 (2.70%) Records Management
   8 (5.41%) Historical Society
   30 (20.27%) Library/Special Collections
   16 (10.81%) Other: (Please Specify) _____

3. **Employment Status?**
   132 (89.19%) Full-Time
   10 (6.76%) Part-Time
   2 (1.35%) Contract
   2 (1.35%) Grant Funded Project
   2 (1.35%) Volunteer

4. **How long have you been with the current institution where you are employed?**
   19 (12.84%) 0-1 Year
   30 (20.27%) 1-3 Years
   17 (11.49%) 3-5 Years
   26 (17.57%) 5-9 Years
   18 (12.16%) 9-12 Years
   38 (25.68%) 12+ Years

5. **How did you enter the records management/archival science profession?**
   12 (9.16%) Volunteer work at Archival Institution, Historical Society, or Records Center
   27 (20.61%) Degree/Education in Archival Science
   61 (46.56%) Degree/Education in Library Sciences
   0 (0%) Degree/Education in Records Management
   31 (23.66%) Degree/Education in History/Political Science/Cultural Studies
   17 (11.48%)Other: (Please Specify) _____

6. **What is the current institution state of development at your organization?** *(Check All That Apply)*
   8 (5.41%) Rapid Growth, Hiring, and Program Development
   61 (41.22%) Steady Expansion

12 (8.11%) Budget Increases

77 (52.03%) Budget Decreases

22 (14.86%) Institutional Downsize

17 (11.49%) High Employee/Volunteer Turnover

7. **How would you rate the level of collaboration at organization where you are currently employed/volunteer?**

    51 (34.46%) Collaborative, interactive and successful. Goals are set and achieved. There are opportunities for mentoring among the staff.

    80 (54.05%) Some collaboration and generally positive. Limited goal setting. Staff works autonomously.

    17 (11.49%) Little collaboration. There is little to no goal setting. Staff works independently of one another.

8. **How much structured time per month is spent on leadership and team development at your organization?**

    78 (52.70%) 0-1 hour

    46 (31.08%) 1-3 hours

    15 (10.14%) 3-5 hours

    9 (6.08%) 5+ hours

9. **How often do you receive positive feedback or reinforcement for your efforts in your position?**

    38 (25.68%) Always

    103 (69.59%) Sometimes

    7 (4.73%) Never

10. **What aspect of your current position do you find the most rewarding?**

    11 (8.27%) Paycheck

    3 (2.26%) Benefits (Insurance, 401k, etc.)

    8 (6.02%) Colleague

    28 (21.05%) Opportunity for Professional /Career Advancement

    83 (62.41%) Interest for the Subject

11. **What types of opportunities Professional/Career Development does your organization provide?** *(Check All That Apply)*

    104 (70.27%) Continuing Education Seminars/Workshops

    127 (85.81%) Time-off for Professional Development Workshops & Seminars (i.e. S.A.A)

    31 (20.95%) Mentoring and Coaching by Senior Staff

    10 (6.76%) None. The organization does not provide opportunities for professional/career development

12. **Are there limited paid employment positions/opportunities at your organization?**

    131 (88.51%) Yes, there are limited paid positions/opportunities at my organization. There is competition for obtaining a full-time paid position.

17 (11.49%) No, there are many paid positions/opportunities at my organization. There is no competition for obtaining a paid position.

13. **How would you describe the organization's interest in short-term and long-term goals for either the success and /or growth of the organization?**

50 (33.78%) We have developed project plans and schedules for both short-term and long-term goals.

41 (20.70%) Our organization focuses mostly on short-term goals, but we have some long-term objectives.

8 (5.41%) Our organization focuses mostly on long-term objectives.

49 (33.11%) The organization's goals and objectives change with funding and priority.

14. **How would you describe opportunities for collaboration and cross-functional training between colleagues?**

45 (30.41%) Both collaboration and cross-functional training on projects

6 (4.05%) Cross-functional training on projects

79 (53.38%) Collaboration on projects

18 (12.16%) No collaboration and/or cross-functional training on projects

15. **How would you rate the level of collaboration between you and your colleagues?**

41 (27.70%) We always look for opportunities to collaborate and help one another; the success of the project is the most important goal.

72 (48.65%) We work well on projects together to get the project completed.

30 (20.27%) We work together when it's necessary, but look opportunities to work alone.

5 (3.38%) We will work together when it's necessary, but hesitant about helping colleagues gain an advantage.

16. **Describe the management style that is most similar to the one found at your organization.**

5 (3.38%) Directive: "Do it the way I tell you". Management closely controls employees and motivates through threats and discipline.

18 (12.16%) Authoritative: "Firm but Fair". Gives employees clear direction. Management motivates by persuasion and feedback on task performance.

14 (9.46%) Affiliated: "People first, task second". Avoid conflict and emphasizes good personal relationships among colleagues. Motivates by trying to keep people happy.

48 (32.43%) Participative: "Everyone has input". Encourages employee input in decision-making. Management motivates by rewarding team effort.

18 (12.16%) Pacesetting: "Do it myself". Management performs many tasks personally and expects employees to follow his/her example. Management motivates by setting high standards and expects self-direction from employees.

18 (12.16%) Coaching: "Developmental". Helps and encourages employees to develop their strengths and improve their performance. Management motivates by providing opportunities for professional development.

27 (18.24%) Absentee. There is limited leadership and management involvement.

17. **How would you rank your institutions success in "outreach" activities?**

74 (50%) Our institution capitalizes on "outreach" activities. We are constantly seeking and generating more opportunities for "outreach".

59 (39.86%) When it's convenient our institution participates in "outreach".

15 (10.14%) Outreach is not a priority at our institution.

18. **Does your institution have good employee/volunteer retention?**

83 (56.08%) Yes, we have good employee/volunteer retention.

51 (34.46%) Somewhat, we have some employees/volunteers that remain with the institution long-term.

14 (9.46%) No, we have high employee/volunteer turnover.

19. **How successful is your institution at budgeting?**

70 (47.30%) Very good, we manage to met our goals while staying within budgetary constraints.

75 (50.68%) Somewhat, met some of our goals, but we tend to have limited funds.

3 (2.03%) Not good, we tend to run over budget.

20. **How would you classify your institution's success?**

42 (28.38%) Successful. The institutions performs very well.

96 (64.86%) Somewhat successful. In general the institution operates well, but has areas that need improvement.

10 (6.76%) Not successful. The institution underperforms and is underdeveloped.