



***"If we are
successful as
archivists, the
historical record
will speak for this
past in a full and
truthful voice.
And, as a society,
we will be wiser
for understanding
who and where
we have been."***

JOHN A. FLECKNER

Presidential Address
1990

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"This manual is a must for everyone formulating catalog records for archival and manuscript materials in paper or any other format." *Library Journal*

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Society of American Archivists

Executive Director's Annual Report 1991-92

This is traditionally the time for a review of the accomplishments of the year past, those principally resulting from work by the staff. In this year, when the governing board has taken under consideration a radical restructuring of the means by which member services are delivered by the association, I would like to make the nature of this report quite clear. Here, as in most individual membership associations, the work of the volunteer members and staff is intertwined. It is, however, possible to identify products and services that are solely or principally the responsibility of the staff. It is these that the report given annually on this occasion reflects.

I hope that you have been able to meet or renew acquaintance with those among the staff who are here in Montreal. Among the familiar faces are Bernice Brack, Teresa Brinati, Jane Kenamore, Ana Joyce, and Troy Sturdivant. The other veterans, who remained in Chicago to carry on the work there, are Jim Sauder and Jason Walker.

Departing SAA this past year were Education Assistant Nancy Van Wieren, to return to college, and Cathy Mason, now in the Dallas area where her husband's job took them. Joining us in November to replace Cathy as Meeting Planner and Director of Membership Services was

Debra Mills. Replacing Nancy in June was Tara Shimandle.

Ana Joyce will be leaving at the end of this month. She has accepted a position which offers comparable pay and benefits but greater job security than did SAA in recent months when Council was investigating association management firms.

The inauguration of the Preservation Management Training Program has brought two additional staffers into the SAA office. Program director Evelyn Frangakis arrived with the new year, followed by her assistant Danielle Feuillan in April.

We bade farewell to *American Archivist* editor Dave Klaassen and welcomed Richard Cox. And finally, there is staff by adoption Kevin Corbitt and Lee Fosburgh, who this year as last have rendered invaluable service as volunteer staff at the annual meeting.

Administration

The work of the staff this past year can best be characterized as attempting to provide the normally expected services and fulfill the previous commitments of the association, while modifying procedures in order to improve ways of providing services where possible. There were several major undertakings that transcend particular program activities.

In January, Council approved a major upgrade of the Society's computer system, which is being implemented. Even as I speak Jim Sauder is in Chicago, taking the opportunity while most of the staff are away, to customize some of the new software. We have upgraded the existing modules that support the management of the association's affairs—the membership database, the general ledger, and the meeting registration modules. We have installed a local area network with WordPerfect for Windows for word processing and Lotus 1,2,3 for a spreadsheet. All of the elements are linked to each other and to our Macintosh with its desktop publishing software.

Yet to be installed is one final module—order entry. Planned as part of the initial automation of the office seven years ago but never implemented, this will at last allow us to automate order fulfillment, publications inventory control, and receivables. We will be implementing this final stage of the upgrade as well as undertaking some formal staff training in our new capabilities this fall.

A second major undertaking was to hire a money manager for the Society's invested funds. Bill Maher will give you some of the details in his Treasurer's

report. Suffice it to say here that in recent years the Society's funds were placed in Certificates of Deposit, which experienced historically high returns. With the recent decline in interest rates, it was necessary to investigate other means to achieve greater income from investments.

Last summer, archival graduate-student intern Lee Fosburgh oversaw the weeding of the office files and prepared records schedules for the office. During the winter, he worked with Managing Editor Teresa Brinati and SAA archivist Frank Cook at the University of Wisconsin-Madison to identify and complete a "record" set of SAA publications.

As is true of any association, SAA presents itself to others in large part through its printed materials. In the spring we contracted for a graphic image review with the firm of designers who produced the impressive brochure of the Preservation Management Training Program. The report, received just as we prepared to depart for Montreal, details how we can achieve a consistent look for materials that we produce in-house and those that we contract out for design or production. While the review was in process, we sought preliminary advice about some items that needed to be produced this summer. We anticipate beginning full implementation of the results of the review this fall.

I have been talking about some projects that relate generally to the work in the Chicago office. Now I would like to turn to specific program areas.

Publications

It has been an exceptionally busy period for publications. This past year has seen the appearance of two more titles in the Archival Fundamentals Se-

ries: the Bellardos' *A Glossary for Archivists, Manuscript Curators, and Records Managers* and Mary Jo Pugh's *Providing Reference Services for Archives and Manuscripts*. Bringing to five the number in that series which are now available, out of the seven planned.

The last of the extensions to the grant from the National Historical Publications and Records Commission, which funded this series, concluded in December. All of the available monies have been expended. Production of the remaining volumes represents a cost overrun of the project that is being borne by the General Fund. Unlike previous grant-funded projects that exceeded their budgets, the products of this one have the potential of generating income to recover these costs.

Other recent publications include a business archives bibliography and a handbook for managing student assistants in archival repositories. The first volumes under our co-publishing agreement with Scarecrow Press have made their appearance in Montreal. Four in number, I won't take the time to list all of the titles here, but rather refer you to the new 1993 SAA publications catalog, which incidentally is the second publications catalog produced this year. The large number of new publications available since the previous one appeared in January warranted a new one for this meeting. A copy is included with the September newsletter that is now in the mail to all members.

Richard Cox began his term as editor of the *American Archivist* in January; David Klaassen completed his in June. With two editors at work and two guest-edited issues in progress, we hope to see the journal on schedule by spring or summer of 1993.

While orchestrating the traffic-flow for all of the above and more, Managing Editor Teresa Brinati has seen to it that the *SAA Newsletter* continued to appear on time.

Education

Under the direction of Education Officer Jane Kenamore, the Society conducted 35 workshops on 20 different topics in the last year. Within a period of less than twelve months, a number representing 25% of SAA's individual membership has participated in the Society's continuing education program.

Ten workshops were held immediately preceding the Annual Meeting in Philadelphia. Less than a year later, nine pre-conference workshops were conducted here in Montreal. The remaining were held at sites throughout the United States and in western Canada. They were co-sponsored principally by regional, state, and provincial archival associations; but also by such institutions and organizations as the Coordinating Committee for the History of Arizona, the public history program at Washington State University, the Society of American Archaeology, and the National Association of Government Archives and Records Administrators.

The twenty topics have included management of photographs, electronic records, architectural records, and legal documents. There have been offerings on conducting and videotaping oral history, advanced appraisal, the MARC-AMC format, using *APPM*, using the Art and Architecture Thesaurus; on preservation management, on general management and specialized personnel management and on records management for archivists. The introductory workshop has been offered twice.

The beginning of the fiscal year saw the appearance of the 1991-92 *Directory of Archival Education* with listings for the US and Canada. The end of the year has brought the 1993-94 edition.

An extension was sought and received from NHPRC for the project entitled "Automated Records and Techniques: Developing a New Curriculum and Training Program for the Archival Profession." In November a second conference was held under this grant to finalize curriculum objectives for graduate and continuing education and to discuss options for delivering the information. The final report is due this upcoming fall, which together with background and position papers prepared for the first conference, will be published as a special issue of the *American Archivist*.

Annual Meeting

The Annual Meeting is, by far, the largest undertaking of the Society. In one place, in the space of less than one week, an assembly of approximately one-third of SAA's individual members joined by a substantial number of non-members participates in an event that is actually several events:

- a program of between 85 and 90 educational sessions with typically four participants per session
- an offering of 9-10 different workshops of 1-3 days duration each
- the annual meeting of all of the Society's various committees, sections, roundtables, and joint Committees—all 60 of them
- the annual membership or, as we call it, business meeting of the association
- one of the three yearly meetings of the association's governing council

- a trade show
- a dozen tours of nearby repositories, cultural, and historical sites
- meetings or gatherings of a number of allied groups, such as the Bentley Library and NHPRC fellows, the Academy of Certified Archivists, the Catholic Diocesan Archivists, to name a few—a number of organized social events

Not every association combines all of these activities into one event. Is it any wonder that I report to you that the annual meeting cycle drives the work of the Society's staff?

At any one time five or six annual meetings are in various stages of development. In January, Council chose San Diego as the site for the 1996 meeting. Meeting Planner Debbie Mills finalized a hotel contract for that meeting last month. This past June, Council decided upon Chicago for 1997. Preliminary contacts have been made; serious negotiations will begin upon our return from Montreal. In June, Debbie made the year-out visit to New Orleans, site of our 1993 meeting. Such visits assure that the hotel is still able meet our needs and offer an opportunity to meet with the Host Committee.

Beyond site arrangements, preparations for an Annual Meeting begin the previous November or December with the three-day meeting of the Program Committee. They accelerate through the winter and spring until by June, most of the work of the staff is devoted in one way or another to the events that will take place at the meeting.

The activity to which the most of SAA's resources of all kinds is devoted, the Annual Meeting is at the same time the least controllable of the Society's undertakings. The site and the

contract for that site are determined years in advance. The weather can have consequences (imagine if our meeting in New Orleans was being held this year; or in Miami as the *American Association* for State and Local History is scheduled to do this very week). The state of the economy affects the ability of individuals or their employing institutions to support travel to and participation in the meeting. The size of the meeting gives it an inertia that makes change difficult.

While each Annual Meeting presents challenges to those planning and implementing it, this year's meeting in Montreal is particularly special for a number of reasons. The following select list will give a sense of some of those unique challenges to planning this international meeting:

- staffing the SAA booth at the ICA meeting;
- planning the AAQ/ACA/SAA joint reception, which for logistical reasons was in the hands of those who are here in Montreal;
- planning the AAQ/ACA/SAA joint program session at the SAA site;
- assisting in coordinating the International Business Archives Forum;
- coordinating the strategic planning Leadership Forum;
- responding to the requirements of the 2020 Vision project;
- contracting for simultaneous translations at two program sessions each in a different language;
- learning about and working with customs and customs brokers;
- staying up-to-date on the changing GST;
- finding out about international funds transfers;
- offering on-site pricing in two currencies;

- deciphering French contracts;
- conducting special mailings to potential meeting attendees from overseas; and
- giving special considerations of varying types for non-US program participants.

Yes, it has been a special meeting.

Preservation

The Preservation Management Training Program, a three-year project funded by the National Endowment for the Humanities, officially began in January. The program director joined the staff that month and her assistant began in April. This program will train archivists throughout the country to establish and manage comprehensive preservation programs in their institutions and to lead others in doing the same. The training will be undertaken over the course of approximately one year by means of three six-day workshops held at four-month intervals.

Evelyn Frangakis has successfully undertaken the myriad of activities required to start-up the program. The first of the four series of workshops, scheduled for New Brunswick, N.J., will begin in November and conclude in August 1993. This series is filled to its capacity. Applications are being received for the next series to be held in Chicago and Mount Carroll, Ill., from January through October 1993.

Membership

As of August 1992, total membership including subscribers was 4,425. This past year we have seen a slight increase in individual memberships and a decrease in institutional and subscriber memberships.

Last fall, we contracted with a consultant for a membership marketing audit. Following re-

ceipt of his report, Membership Services Director Debbie Mills prepared a membership marketing plan that was presented to Council in June. Full attention to implementing the plan has awaited the conclusion of this Annual Meeting and receipt of the report from the graphic image review. You will be hearing more about these efforts and noticing the results in the months to come.

Such are the highlights of the year past.

Conclusion

Before making some concluding observations, I would like to sketch the personal context from which these remarks flow. I have been a member of the Society without interruption since 1965. For a year and a half of those 27 years, I have served as Executive Director, as salaried staff. During the remainder of those years I participated in SAA as a member of five committees, chairing two of them; as a Section chair, vice-chair, and newsletter editor; Task Force member; a joint committee member and chair; representative to NHPRC; Treasurer and thus member of Council; grant-writer; grant-funded project advisory board member; proposer of a number of annual meeting program sessions; several times a program participant; and reader of manuscripts for the *American Archivist* and for SAA manuals.

I bring all of this long-past history to your attention so that you will understand that I understand the nature and the amount of the volunteer effort that has sustained and advanced this association. That I have first-hand knowledge and experience of the time, energy, and emotional and financial resources devoted to SAA by the individuals who have constituted its leadership.

With that background in mind, I speak to you now from experience as staff. To tell you that there are significantly more demands and expectations placed upon this association than there are resources available to fulfill them. Further, that there are *not* sufficient mechanisms in place to sort out the particular demands.

In the life-cycle of membership associations there comes a time when size of membership, size of annual budget, and type of program activities require that individuals be paid to perform some of the activities that were heretofore undertaken by the volunteer members. This tends to take form first as contracts for certain services, such as for example mailings or maintenance of an automated membership list, that are managed or monitored by the elected officers. A number of the larger regional and state archival associations are currently at this stage.

If the association continues to grow, there comes a time to consider not only contracting out more and more services but also for paying someone to manage these services for the association. That time came for SAA in the early 1970s when it hired its first executive director and other staff.

Today, in addition to the option of hiring a staff, there would also be the choice of contracting with an association management firm, a choice that the National Association of Government Archives and Records Administrators has made. As you have just heard in the report from President Frank Burke, the SAA Council has also considered this option as an alternative to continuing the present staffing.

A principal reason for this consideration was to see if the Society can offer more services

to its members at the same or lesser cost. With regard to the question of seeking more staff services, I think that you might consider some facts that I put together last winter and distributed to Council in the spring. I can only give the highlights here, but will supply more details if anyone is interested.

Let us compare the SAA staffing in fiscal year 1987-88 with that in the last fiscal year, that of 1991-92. This five-year span offers an opportunity to identify trends. It also happens to represent years before and after the start-up of the certification program, and so this temporary workload is not reflected.

SAA staffing was virtually identical in 1987-88 and in 1991-92:

1987-88: 10.5 FTE
1991-92: 10.83 FTE

In both years there was one full-time person in each of the following positions: Executive Director, Education Officer, Meeting Planner/Membership Services Director, Membership Assistant/Receptionist, Managing Editor, Publications Assistant; there was one half-time publications assistant.

In both years there were two full-time grant-funded employees. In 1987-88, a Preservation Officer and an Automation Officer; in 1991-92, a Preservation Officer (who began mid-year) and a Preservation Assistant (who began in the last quarter of the year).

In 1987-88, the staff included one full-time person with the title Director of Financial and Computer Operations who also served as bookkeeper and office manager. Five years later, the Society had one full-time Bookkeeper/Office Manager plus a Director of Financial and Computer Operations who

works hourly as needed, averaging one-third full-time equivalent in the course of the year. This latter position represents the staffing increase over the past five years.

I have not been able to identify any major staff function or activity that has been discontinued in that time, or for which the staff workload has substantially decreased. Rather, in a number of areas, the workload has increased. I will cite just three examples.

Over the five-year period, the number of titles in the publications catalog increased by 27%. The number of workshops conducted last year increased 29% over the number in 1987-88; the number of different topics offered in these workshops increased by 100%. In 1987-88, the workshops were developed and conducted by the Education Officer, the Automation Officer, the Preservation Officer, and an Education Assistant. In 1991-92 all workshops are the responsibility of the Education Officer and an Education Assistant, the latter who also performs the secretariat work for the Academy of Certified Archivists.

In the past five years, the number of reporting units (committees, boards, sections, roundtables, task forces, joint committees, and representatives) has increased 55%. Excluding roundtables, all other groups increased by 46%. A number of the new committees that have been established in the last five years were set up as a result of membership calls for new staff positions that could not be funded. They include, for example, the Public Information Committee, the Standards Board, and the Committee on Legal and Legislative Issues. Such groups address issues and areas of activity important to the society or to

the profession. However, these committees have been given responsibility, not only for what is truly and appropriately volunteer committee work, but also for essentially staff functions. Rather than relieving demands upon staff time, the existence of these bodies has increased the workload and raised member hopes and expectations for results.

And so, what are we to make of all of this? I will return to my earlier statement: there are significantly more demands and expectations placed upon this association than there are resources available to fulfill them.

The typical response to this is that SAA should do more to seek outside funding. There is not time here to deal adequately with this issue. I will make only a brief comment. The acceptance of funds, whether from federal or private sources, obligates the Society to administer the money and to produce the product or conduct the activity in a responsible and timely fashion. Then, any cost overrun must be borne by the General Fund. The administration of grant funds is a management responsibility that requires the expenditure of staff resources.

My second observation is another statement that I made earlier: there are not adequate mechanisms in place to sort out the demands on the Society's resources, demands upon the existing resources, or ideas for projects that might be funded by outside sources.

Planning offers a way to set some priorities that would address this question. However, the Society's planning activities as they have been conducted to this time have not been related to the Society's resources, whether existing or potential, in any practical way. The Society needs to develop and implement a strategic plan

that takes into full account the resources of the Society. It must also identify mechanisms to sort out the demands placed upon these resources.

You as members of this Society face the same hard choices today that you do as professionals in your employing in-

stitutions; that we all do as citizens of this country. Becoming actively involved in a professional association is *not* an escape into Never Never Land.

If you remember nothing else of my remarks today, please make note of this. No matter

what the Society's staffing structure, no matter who the Executive Director, the same difficult choices of resource allocation will face the association.

ANNE P. DIFFENDAL
16 September 1992

Society of American Archivists

Treasurer's Report

1 July 1991–30 June 1992

Financial Statements

Two statements attached to this report cover the fiscal year ending June 30, 1992. They provide a summary of the financial condition of the Society of American Archivists.

Statement 1: Combined Balance Sheet for All Funds. The Combined Balance Sheet prepared by the SAA's auditing firm lists four fund categories into which SAA's financial transactions are grouped.

1. The General Fund covers much of the core business of the Society, and it accounts for most of the transactions. Activities reflected here include dues, publications, sales, and meeting registration fees on the income side; and personnel, office, printing, and meeting costs on the expense side.

2. The Grant Funds category has been established so that SAA can account readily and clearly for the financial activities of the grant-supported projects it conducts. For example, in this category we track National Endowment for the Humanities income and expenses for the preservation grant, and likewise the National Historical Publications and Records Commission's grants for the Archival Fundamentals Series and other projects.

3. Special Projects Funds track gifts, interest, and fund transfers related to the awards and SAA's education endowment. It was established to receive gifts under Internal Revenue Code Section 501(c)3, thereby permitting contributors to take deductions for donations to SAA.

4. The Profit-Sharing Fund was established in 1989 to hold retirement funds for SAA employees.

Overall, a balance sheet provides a snapshot of the condition of funds at the time it is taken, which for us is June 30 of each year. The basic health of the SAA's finances can be seen in the fact that assets exceeded liabilities. Please note under assets that the amount for inventory represents an increase of only \$3,744 over last year; however, this is an increase of about \$69,000 over 1990–91. This merits attention since it reflects a growth in the stock of publications held by the SAA, especially as a result of the Archival Fundamentals Series, but also as part of a careful acquisitions program. The development of a strong stock of publications can provide long-term financial stability for the SAA as it meets the profession's educational and information needs. This growth is only possible with the concerted efforts of member authors and with staff management of publications to create or acquire literature for sale. Very careful inventory and marketing management is essential in this area so that we do not overvalue inventory or acquire larger stocks of publications than we can sell. The current SAA staff is doing an excellent job in both these areas, thereby making an important contribution to the Society.

In these hard times, we can be encouraged that General Fund Equity, the excess of assets over liabilities, has grown to

\$144,275, a notable increase over last year. This is the second consecutive year that the Fund Balance has increased, but we must maintain perspective—the fund balance decreased in each of the two preceding years, before the dues increased, which caused much concern over the financial basis for our program activities.¹

Statement 2: General Fund Income and Expense Statement. Whereas the Combined Balance Sheet provides a picture of the status of all the SAA Funds, the General Fund Income and Expense Statement explains the sources and use of the SAA's money for most daily operations. Note that the General Fund Income and Expense Statement provides data for the three most recent years to provide benchmarks.

It is important to understand the General Fund Statement because it explains revenue and expenses, and the quality of our management thereof, all of which ultimately determine the fund balance. Only if the General Fund balance grows in relation to our expenses can we continue to operate. Also, prudent financial management for a professional association using accrual accounting calls for a general fund balance equal to at least six months expenses. In June 1991, when Council

¹The Fund Equity for June 30, 1992, is 176.9 percent higher than on June 30, 1991. The 1991 Fund Equity was 154.4 percent higher than 1990, and the 1990 Fund Equity was 34.8 percent lower than the 1989 amount.

Statement 1
THE SOCIETY OF AMERICAN ARCHIVISTS, INC.
Balance Sheet
30 JUNE 1992

	GENERAL FUND	FEDERAL GRANTS FUND	SPECIAL PROJECTS FUND	STAFF RETIREMENT FUNDS
ASSETS				
Cash	\$336,605	\$ 3,447	\$269,835	\$18,301
Accounts Receivable	21,498	12,603	0	13,633
Inventory	100,566	0	0	0
Fixed Assets	82,332	0	0	0
Total Assets	\$541,001	\$16,050	\$269,835	\$31,934
LIABILITIES AND FUND EQUITY				
LIABILITIES				
Accounts Payable	\$ 57,317	\$ 0	\$ 0	\$ 0
Cash Overdrafts	0	13,165	0	0
Other Payables	14,358	0	0	0
Other Liabilities	1,051	0	0	0
Deferred Revenue	316,992	0	0	0
Compensated Absences	7,008	0	0	0
Due to Participants	0	0	0	31,934
Total Liabilities	\$396,726	\$13,165	\$ 0	\$31,934
FUND EQUITY				
Fund Balance— Restricted	\$ 0	\$ 2,885	\$269,835	\$ 0
Fund Balance— Unrestricted	144,275	0	0	0
Total Fund Equity	\$144,275	\$ 2,885	\$269,835	\$ 0
Total Liabilities and Fund Equity	\$541,001	\$16,050	\$269,835	\$31,934

adopted a target for the General Fund balance, it realized that this ideal may be security beyond our reach for the near future. Instead, it opted for a responsible goal of attaining a General Fund Balance equal to three months of operating expenses as the basis for its bud-

geting. In this context, please note that despite the notable increase in the fund balance, the current balance of \$144,275 is only enough for eight weeks of expenses.

Beyond the bottom-line items, the Income and Expense Statement is divided into two

parts. The top half lists income according to categories, and the bottom half lists expenses. Some categories appear on both halves; for example, the *American Archivist* and the *SAA Newsletter* are sources of both income and expenses. To obtain a rough sense for the mon-

Statement 2			
THE SOCIETY OF AMERICAN ARCHIVISTS, INC.			
GENERAL FUND			
Income and Expense Statement			
	FY 89-90	FY 90-91	FY91-92
RECEIPTS			
Dues—Individual	\$142,458	\$171,477	\$213,035
Dues—Institutional	56,961	89,665	112,077
AA/Newsletter/Emp Bul/Ads & Subs	57,674	95,230	113,669
Publications	138,785	166,418	189,334
Annual Meeting	137,765	188,042	193,218
Workshops	62,633	80,214	75,668
Interest	13,580	20,214	21,670
Interest from 501(c)3	18,305	13,880	10,335
Administrative Fees	25,316	(9,585)	14,408
Other	13,911	13,411	8,077
Subtotal	\$667,388	\$828,966	\$951,491
Certification	\$ 76,469	\$ 0	\$ 0
TOTAL RECEIPTS	\$743,857	\$828,966	\$951,491
EXPENSES			
Personnel	\$263,590	\$295,163	\$334,363
Rent & Utilities	32,094	31,453	31,479
General & Administrative	95,094	95,890	138,117
Annual Meetings	84,731	113,293	94,516
Workshops	31,878	46,221	42,364
<i>American Archivist</i>	97,083	77,628	79,532
SAA Newsletter/ Employment Bulletin	21,670	25,305	27,536
Publications for Sale	52,343	61,631	85,205
Representation	3,778	4,000	4,500
Committees/Sections/Task Force	10,769	15,866	15,203
Council	11,493	30,894	6,499
Subtotal	\$704,523	\$797,344	\$859,314
Certification	\$ 50,269	\$ 0	\$ 0
TOTAL EXPENSES	\$754,792	\$797,344	\$859,314
Excess (Deficiency) of Revenues over Expenses	(\$10,935)	\$ 31,622	\$ 92,177
Fund Balance as of 30 June			
	1990	1991	1992
	\$ 20,476	\$ 52,098	\$144,275

etary benefit or loss of a function, one must subtract the expenses from the income for that item, bearing in mind that significant personnel and office costs will be overlooked in such a calculation.

To clarify some of the categories on these statements, I offer the following comments. Under receipts or income, *Interest* is from bank accounts for general funds whereas *Interest from 501(c)3* is income earned on special-projects funds. *Administrative fees* are largely the indirect cost from grants. Under expenses, the categories are relatively self-explanatory, except for *General and Administrative*, which covers equipment and depreciation, postage, telephone, supplies, and professional services. The *Council expenses* represent the transportation and hotel costs for one of the two mid-year meetings all Council members must attend. Individuals and/or their institutions cover the rather substantial remaining costs for this and other meetings. Council expenses declined significantly this year because we have not had the costs associated with searching for a new executive director.

Overall, income has risen by 14.8 percent, and expenses by 7.8 percent.² The most important factors contributing to the healthy increase in income relative to expenses are: an approximate 24.6 percent rise in dues income, largely as a result of the dues increase approved at the 1990 meeting; a 32 percent increase in the "profitability" of the annual meeting, which resulted from high attendance and relatively lower

costs in Philadelphia; and \$14,408 in administrative fees received to cover overhead for the administration of grants. Despite these increases, there are signs of no growth for example in the net income gained from workshops and even decline in the amount earned from interest.

Money manager. Like many institutions, organizations, and individuals, SAA has witnessed a steep decline in interest earned on its certificates of deposit. Several years ago, SAA moved to C.D.s from stocks and bonds as the investment instruments used to hold its assets. The move to C.D.s made eminent sense in the mid- to late-1980s, when the rate of return was often well above 10 percent. However, by mid-1991, it became obvious that declining C.D. rates meant that we would be losing money compared to inflation if we stayed with C.D.s. We therefore considered two options: purchase of individual stocks and mutual funds, or contracting for the services of a professional money management firm. We decided against the first option (individual stocks and bonds) because we recognized that a long-term perspective was needed in assessing the performance of the market, and given the three-year turnover in the Treasurer's office and the likelihood of transitions in the Executive Director's office, we could not ensure the continuity of monitoring required to manage SAA's resources.

In January, Council authorized the Treasurer and Executive Director to conduct a search for a professional money manager through two different brokerage houses. In the spring, we completed questionnaires and met with representatives of A. G. Edwards and Merrill Lynch. Based on the information we

supplied, each broker recommended a short list of independent money managers. After reviewing reports from the brokers and information on style and performance of the money managers, we held conference-call interviews with two money managers. We were pleased that the lengthy process provided several good choices. In the end, with Council's approval, we contracted with Rittenhouse Capital Management of Radnor, Pennsylvania, to serve as our money manager. We will continue using Merrill Lynch as our broker for transactions.

We are using the money manager for only a portion of our funds—those that are essentially endowments and which are listed as Special Projects Funds on the first statement. Traditionally, we have only spent the income and not the principal of these funds. The hope is that the more continuous management that Rittenhouse will provide will enable us to realize not only the income we have come to depend upon from these funds since the 1980s, but also additional income to increase support for SAA programs as well as the amounts of awards. Given changing economic conditions, it is difficult to predict how this will develop, but it will be evaluated regularly. In two to three years, an overall annual return of at least 10 percent after fees would seem realistic, compared to the current 3–5 percent rate of return on long-term C.D.s.

Observations and Trends

Because dues are so fundamental to our operations, Council will conduct a mandated three-year review of the dues structure during 1992-93. A review of the structure does not mean an increase, although

²The annual average increase in income for the past three years is 13.5 percent. For expenses, it is 6.9 percent.

it must remain a possibility if conditions require.

Although 1991-92 has been a financially successful year for SAA, prospects for 1992-93 are not so promising. Several conditions urge caution—meeting income may well be down; interest income will decline as higher-yielding C.D.s mature; our expenses are growing steadily; and membership and other income is not growing rapidly enough to compensate for all of these conditions. In next year's report, I hope I have to retract these statements and tell you that I have been overly cautious. However, for the moment, responsible stewardship requires me to encourage you to be conservative but hopeful.

Often when the limits of the SAA's finances are noted, the possibility of raising funds from private donations and grants is mentioned. These options should be pursued, but we must recognize that there are very real limits on what can be done. In the past year, we received an analysis and follow-up comments on the 1991 report of the Task Force on Development. It had examined how large an endowment would be needed to provide a meaningful response to SAA's needs, such as a staff

person for a program area. A follow-up analysis confirmed the Task Force's conclusion that the amount of money needed, probably in excess of \$500,000, was well beyond what could realistically be expected from a campaign, even one that would become all-absorbing for members and officers over several years.

Grants have enabled us to do more than our core budget allows, but they come at real costs to the SAA that are beyond the extra income we earn as indirect costs. Thus, as important as grants will continue to be for the SAA in expanding our reach, they are neither a panacea nor a profit center. There are also limits to the amount of grant activities that can be added to an already highly overworked staff at the headquarters office, and we need to recognize that one of the hidden costs of grants is the time they require for management and monitoring by officers and staff.

After many years of attending business meetings of several associations, I have never known a treasurer's report to close with an offer to launch new programs or spend more money, and rarely have I heard reports free from gloom. Mine

is no different. The coming year's general economic conditions are such that we will be fortunate if SAA ends the year with a modest increase in the General Fund balance. If we are to finance many of the stimulating requests that come from members, we will need to find new ways, but the latitude is quite small. None of us like the simple Procrustean choice we face—if we want to do new things, either we must eliminate something we are doing now, or we must increase dues. Until these basic facts change, our only choice is to maintain realistic expectations and find creative ways to expand and strengthen our scope using existing resources. This may not be encouraging news for the many SAA groups with good ideas that need only modest additional funding or support, but until we learn how to accept and work within our very real financial limits, we will create only frustration, thus risk losing an often undervalued asset of the profession—the good will among our colleagues and our common vision for archives and the historical record.

WILLIAM J. MAHER
Treasurer

Society of American Archivists Council Meeting Minutes 12 September 1992 Montreal, Quebec, Canada

Vice President Anne Kenney called the meeting to order at 8:20 a.m., Saturday, 12 September 1992, in the temporary absence of President Frank Burke, who joined the group shortly thereafter. Present in addition to Burke and Kenney were Treasurer William Maher, and Council members Brenda Banks, James Fogerty, Mary Janzen, Randall Jimerson, Waverly Lowell, James O'Toole, Robert Sink, Anne Van Camp, and William Wallach. Also present were incoming Council member Elizabeth Yakel and Executive Director Anne Diffendal; arriving subsequently was incoming Council member Margaret Hedstrom. Attending at various times during the day were SAA staff members Teresa Brinati, Jane Kenamore, and Evelyn Frankakis; and John Fleckner and Page Miller.

Amend and Approve Agenda

There were a few additions to the agenda. O'Toole moved and Kenney seconded to approve the agenda as amended. PASSED.

Approve Minutes of Previous Meeting

There were a few additions and corrections to the minutes. Jimerson moved and Van Camp seconded to approve the minutes of the meeting of 12-14 June 1992, as amended. PASSED.

Report of the President

• Committee to approve minutes of the Business Meeting.

Burke announced the appointment of the following members as a committee to approve the minutes of the annual Business Meeting: Kay Domine, Peter Gottlieb, and Brent Thompson.

• **Announcements.** Burke reported that he had received letters from the Colorado State Archives and the Illinois State Historical Library thanking him for letters of support for funding for these agencies. He had also received a letter of thanks from Jane Naugler in appreciation for Council's decision to dedicate an upcoming special issue of the *American Archivist* to her late husband Harold.

Report of the Vice President

• **Appointments.** Kenney distributed her list of appointments of representatives and to positions on committees, boards, and joint committees. There was general discussion regarding SAA's representative to the International Congress on Archives/Section on Professional Associations.

• **Membership Initiatives.** Kenney announced that 25% of her appointments were newer members or persons who had not previously served in such positions; 50% were women; and 9% were members of minority groups. She had received 23 inquiries about serving as interns on committees and boards, 13 persons completed applications, and 12 were appointed.

The Membership Committee is working with the Committee on the Status of Women, the African-American and Third World Archivists Roundtable,

and the Lesbian and Gay Archives Roundtable to develop a mentoring program. Kenney has written to all Section chairs requesting that they make a special effort to involve new members in the activities of the Sections.

• **Latin American Initiative.** Kenney has invited a number of individuals to a meeting in Montreal to discuss ways in which the Society can assist Latin American archivists and encourage their participation in SAA and to determine how the 1993 annual meeting in New Orleans can best begin this process.

• **Relations with Other Archival Associations.** Kenney expressed the need to consider formal links between SAA and other national archival associations. There was general discussion on the importance of such relationships.

Report of the Executive Committee

Fogerty reported that the Executive Committee had discussed the responses to the request for proposals received from association management firms. The points raised in that discussion will be brought up when Council considers this agenda item later in the meeting.

Report of the Treasurer

• **Final Financial Statements for FY91-92.** Maher reviewed the financial statements and gave a preview of his remarks to the Business Meeting later in the week. SAA was able to increase the balance in the Gen-

eral Fund primarily because of a large net income from the Annual Meeting in Philadelphia and revenues from the dues increase of 1990. SAA is about halfway toward realizing Council's goal of achieving an unrestricted funds balance equal to three months operating expenses.

● **FY91-92 Audit.** The independent financial audit for FY91-92 has just been completed. Council will be asked to review and accept the report at its meeting in January.

● **Money Manager.** Pursuant to authorization by the Executive Committee and following research and interviews in the spring by Maher and Diffendal, the Society has contracted with Rittenhouse Capitol Management of Radnor, Pennsylvania, to serve as our money manager. Merrill Lynch will continue to act as broker for transactions.

● **Current Financial Statements.** The recent completion of the FY91-92 financial audit and the demands of preparing for the annual meeting have prevented the completion of financial statements for July and August.

● **Bank Account Signatures.** O'Toole moved and Jimerson seconded that Maher replace former Treasurer Linda Henry as an individual authorized to give orders and to sign checks for SAA's accounts with Merrill Lynch and with Mid-City National Bank of Chicago. PASSED.

Report of Executive Director

● **Annual Meetings.** On behalf of Debbie Mills, Meeting Planner and Membership Services Director, Diffendal reported that a contract had been signed for the 1996 Annual Meeting with the Sheraton Harbor Island Hotel in San Diego.

● **Membership.** Council reviewed the current monthly

membership report. Wallach suggested that the idea of establishing student chapters within SAA be explored.

● **Education.** Kenamore reported on the enrollment in the workshops now underway in Montreal. She also summarized the work of the Education Office Advisory Board which is evaluating current workshop offerings to identify ones for which additional instructors can be developed. A workshop to train potential new instructors will be offered at the 1993 Annual Meeting in New Orleans.

● **Publications.** Brinati and O'Toole reviewed the current status of various non-serials publications, including the Archival Fundamentals Series and four titles recently appearing under SAA's co-publishing agreement with Scarecrow Press.

Brinati and Cox reviewed the current publication schedule for the *American Archivist*. It is anticipated that the journal will be on schedule by spring or summer of 1993.

● **Consultant Directory.** Brinati announced that the second annual *Directory of Consultants* will be produced in the fall.

● **SAA Booth at ICA.** Brinati reported on the complimentary booth at the ICA conference given SAA by the Canadian organizing committee. Brinati and Diffendal distributed the 1993 SAA *Publications Catalog*, copies of the special international issue of the *American Archivist*, membership brochures, and assorted handouts. Two hundred orders for SAA publications were received from archivists from 22 different countries.

● **Preservation Management Training Program.** Frangakis reported on the progress of this program, including the names of the co-instructors

for all of the series and the participants for the first series.

Old Business

● **Association Management Firm.** This topic was taken out of its order on the agenda so as to allow sufficient time for consideration. Representing the Executive Committee, Fogerty reviewed the actions to date on this issue. Council has been concerned with finding ways to improve member services while containing costs. Diffendal's contract expires in March 1992, and she is not interested in renewal. Council had briefly considered an association management firm in 1990 when the last executive director left, but had felt then that there was insufficient time to investigate this option fully. With two years left in Diffendal's tenure, Council last spring determined that there would be time to explore association management firms while allowing the Society to undertake a search for a new executive director if the association management option did not prove viable.

In June, the Executive Committee met with representatives of a prominent association management firm in Chicago, and recommended that this option be fully explored. A committee of Council solicited proposals from a number of firms, met extensively with representatives from one firm, and provided information to several others. Council had approved a schedule that called for the submission of preliminary proposals from respondents by the end of August for consideration at this Council meeting. This was to be followed by further negotiations, with final proposals due by January 5, 1993, for consideration at the January Council meeting. Five firms responded with proposals

in time for consideration in Montreal.

In early September, a number of individuals, including Maher, Diffendal, and Sauder, compared the most complete proposal received to the existing SAA structure and concluded that the central office performed most of the suggested services for several thousands of dollars less. Concern was also expressed that the proposal did not address critical services provided by the SAA office including continuing education, cost share for the preservation management training program grant and future grants, grants development, and the non-serials publications program. Finally, Council concluded that the strong archival presence in the central office, which is critical to SAA's membership, could be very difficult to accommodate with an association management firm.

While recognizing that the proposals received were preliminary, Council debated whether there was sufficient evidence to conclude that an association management firm would not be the right choice for SAA at this time. Most members were convinced that additional time and effort by Council, the central office staff, and the association management firms to collect data and to meet in order to address remaining concerns would not have resulted in a decision to proceed with this option. Meanwhile, SAA would have continued to risk losing valuable staff members to more secure jobs. Wallach moved and Banks seconded that Council discontinue its investigation into contracting with an association management firm. **PASSED.**

Members noted that the problem of balancing current and future demands with limited resources continues; the

need for more resources continues. This disparity needs to be taken into account as Council begins its search for the next executive director.

The meeting was recessed for lunch at 12:05 p.m. and reconvened at 1:20 p.m.

Council returned to the regular order of the agenda.

Reports from Council Committees

Council Committee on Committees

• Committee on Institutional Evaluation and Development

Council considered documents submitted by the committee in support of its request to proceed with a census of archival institutions. These materials included a position paper, a draft request-for-proposal to conduct the census, and a draft survey. Using these materials, Maher had made preliminary inquiries of the Library Research Center at the University of Illinois. The document needs to be revised in order to be developed into a true RFP. General discussion also revealed the sense of Council that a general review of the survey instrument by Sections and Roundtables was needed. Maher moved and Van Camp seconded that the committee be requested to develop a revised RFP for the purpose of securing comparative cost figures for conducting a census of archival institutions. **PASSED.**

• Committee on Archival Information Exchange

The question of authorizing an official representative to the Bureau of Canadian Archives Committee on Descriptive Standards was postponed until the meeting on Thursday, September 17.

• Committee on Goals and Priorities

Van Camp called Council's

attention to the 2020 Vision sessions scheduled for the Annual Meeting as well as the Leadership Forum on the proposed strategic plan for the Society. She urged Council's attendance at all of these events.

• Committee on Automated Records and Techniques

Wallach reported upon preliminary discussions with the School of Information and Library Science at the University of Michigan, which is interested in supporting an institute on electronic records for archival educators. Such training is one of the recommendations resulting from the current CART Curriculum Project.

• Committee on Legal and Legislative Issues

Council noted that chair Edie Hedlin provided information regarding two bills before the US Congress: S2813 GPO Gateway and HR5356, which provides for authorization and other changes affecting the National Archives and Records Administration.

There was general discussion about the purposes of the committee and procedures that might make its work most useful to Council. O'Toole spoke in support of the original purposes for establishing the committee: (1) to help Council decide how to respond to emergency requests, and (2) to help direct Page Miller's work at the National Coordinating Committee for the Promotion of History on behalf of SAA.

Council Committee on Sections and Roundtables

• Task Force on Sections and Roundtables

The Council Committee presented a charge for a proposed Task Force on Sections and Roundtables to review and evaluate the effectiveness of these bodies, their role in supporting the goals outlined in

SAA's strategic plan, and SAA's support for the activities of these groups. Kenney moved and Janzen seconded that such a task force be established. PASSED.

- **Archivists of Congregations of Women Religious Roundtable**

In response to a letter from Rosalie McQuaide, chair, to dissolve the roundtable, Sink reported that members of the Council Committee will attend the upcoming meeting of this roundtable to ascertain if the membership supports this request of the leaders.

- **Oral History Section**

Sink moved and Jimerson seconded that Council endorse the Section's project of conducting interviews with past Presidents of SAA for inclusion in the Society's archives. PASSED.

Council Committee on Task Forces, Boards, and Representatives

- **National Historical Publications and Records Commission**

Council welcomed John Fleckner, SAA representative to NHPRC, who reported on the current status of the FY93 appropriation bill. He reminded Council that the Commission is looking to SAA and to NAGARA for direction in pursuing the archival aspects of its new plan. He will be working with NHPRC staff in reviewing the archival administration fel-

lowship program, and seeks comments.

- **National Coordinating Committee for the Promotion of History**

Council welcomed Page Miller, executive director of NCC, who discussed a new bill in the House of Representatives affecting the structure and authority of the National Archives and Records Administration.

- **Task Force on Ethics**

Wallach moved and O'Toole seconded that Council approve a new Code of Ethics for Archivists, thank the Task Force for its work, and declare the work of the Task Force concluded and the group disbanded. PASSED.

- **Task Force on Library Archives**

Council discussed the outline of a draft brochure for library archives presented by the Task Force. Jimerson noted that, according to the original charge to this group, its life ends at the conclusion of this annual meeting. Council will reconsider the tenure of this group at its meeting on Thursday, September 17.

Council Committee on Goals and Priorities

O'Toole moved and Van Camp seconded that those portions of the Council Three-Year Plan not adopted in June, namely the goals on Education, Public Understanding, Publications, and Council Efficiency, be adopted as revised

for this meeting. PASSED. O'Toole moved and Fogerty seconded that the full plan be adopted. PASSED.

Old Business (cont.)

- **1992 Annual Giving Campaign.** Council was reminded of its decision made in June in support of 100% participation by Council members in the upcoming Annual Giving Campaign.

New Business

- **Functions at the Annual Meeting.** Various functions requiring Council attendance at this Annual Meeting were reviewed, including the Leadership Forum, Council Committee meetings with group heads, new Council orientation, new member welcome, the joint functions with ACA and AAQ, and the business meeting. Burke summarized his remarks to be delivered at the business meeting concerning the Council decision regarding an association management firm.

Next Council Meeting

Council will next meet on Thursday, 17 September from 7:00 a.m. to 9:00 a.m.

Adjournment

Upon a motion by Maher and second by Jimerson, the meeting was adjourned at 5:00 p.m.

ANNE P. DIFFENDAL
Executive Director

Approved: 29 January 1993

Society of American Archivists Council Meeting Minutes

17 September 1992

Montreal, Quebec, Canada

President Anne Kenney called the meeting to order at 7:00 a.m., Thursday, 17 September 1992. Present in addition to Kenney were Vice President Edie Hedlin, Treasurer William Maher, and Council members Brenda Banks, Margaret Hedstrom, Mary Janzen, Randall Jimerson, Waverly Lowell, Anne Van Camp, William Wallach, and Elizabeth Yakel. Absent was Council member Luciana Duranti. Also present was Executive Director Anne Diffendal.

Amend and Approve Agenda

There were a few additions to the agenda. Jimerson moved and Wallach seconded approval of the agenda as amended. PASSED.

Report of the President

- **Mentoring Program.** Kenney reported that the Membership Committee, the Committee on the Status of Women, the African-American and Third World Archivists Roundtable, and the Lesbian and Gay Archives Roundtable were cooperating in developing a mentoring program for new members.

- **Latin American Initiative.** Kenney reported on the meeting that had been held here in Montreal to discuss ways of using the 1993 Annual Meeting in New Orleans to encourage the participation of Latin American archivists in SAA. Mike McReynolds, as chair of the Committee on International Archival Affairs, will take the lead in this initiative, working

with the Membership, Program, and Host Committees. Maher and Diffendal reminded Council of the need for early information for budget purposes.

- **Follow-up on Decision on Association Management Firms.** Kenney will write to the firms that sent proposals, and she will prepare an article for the November SAA newsletter regarding the decision not to pursue the investigation into hiring such a firm.

Report of the Vice President

- **1994 Program Committee.** Hedlin announced that Robert Sink and Fynnette Eaton would co-chair the 1994 Program Committee.

Other Business

- **Council Member on the Executive Committee.** Her colleagues elected Brenda Banks as the Council representative on the Executive Committee.

- **Management Institute.** Janzen reported that the Education Office Advisory Board was interested in the concept of a management institute as presented by Tom Wilsted, but had a number of reservations about it. They requested that he prepare a revised proposal for Council in January.

- **Review of Dues.** The adoption of the most recent dues increase included a mandate that dues and the dues structure be reviewed in 1993. Maher will recommend a process for the review at the January Council meeting that anticipates a Council decision in June to be

presented at the Business Meeting in New Orleans in 1993.

- **Representative to Bureau of Canadian Archivists Planning Committee on Descriptive Standards (BCA).** Van Camp moved and Wallach seconded that this position be established as an official SAA representative for the duration of the planning group, that it be a Presidential appointment with advice from the Committee on Archival Information Exchange. PASSED.

- **Task Force on Library Archives.** There was general discussion about the lack of action by the group, as well as questions about who would use the proposed brochure as an advocacy piece. Wallach moved and Janzen seconded that the life of the task force be extended to September 1993 and that the group be asked to submit a draft brochure with a description of the target audience and plan for dissemination to Council in time for its January meeting. PASSED.

- **Executive Director Search.** Kenney summarized the process of the two previous searches from her experiences as a participant in both. There was general agreement that a group consisting of Kenney, Hedlin, Maher, and Diffendal prepare a recommended process and timetable for Council's consideration in January. There was general discussion about using a group smaller than Council, including some Council members, to screen and interview candidates and to present one or more finalists to Council.

There was general discussion

about the following tentative timetable: January 1993 Council meeting—adopt the process and schedule; spring and summer 1993—announce and conduct the search; October 1, 1993—application deadline; January 1994—conduct interviews. There was also some discussion of moving the January 1994 Council meeting to early December 1993.

● **Council Planning Effort.** Wallach moved and Jimerson seconded that Council have a Planning Day in June. PASSED. The Council Committee on Goals and Priorities will present a plan for the use of time during the Planning Day at the January Council meeting.

Hedstrom said that the Committee on Goals and Priorities wants Council guidance on how to proceed with the Strategic Plan for SAA. Van Camp said that CGAP should make recommendations to Council no later than December 1, and that Council should look at the Strategic Plan during Planning Day.

● **Grant Proposal for Case Studies.** Wallach moved and Janzen seconded that the Committee on Automated Records and Techniques proceed to develop a proposal to NHPRC for a grant to develop case studies as curriculum materials for educating archivists about auto-

mated records and techniques. PASSED.

● **Task Force on Sections and Roundtables.** Banks moved and Janzen seconded that the life of this group, which was established at the recent Council meeting, be extended from 18 to 24 months. PASSED. There was general discussion about appointments to this body.

● **Architectural Records Symposium.** Lowell reported on preliminary plans by the Architectural Records Roundtable for a two-day joint symposium with the Canadians, before or after the SAA meeting in New Orleans, on the subject of appraising architectural records. More information will be available in January.

● **Archivists on Congregations of Women Religious Roundtable.** Lowell and Yakel reported after attending the roundtable meeting. It is not clear that the membership of the roundtable supports the request of the leadership to dissolve the roundtable; nor is it clear that the leadership of the newly formed Archivists for Congregations of Women Religious understands that an independent association is not a roundtable of the Society. They will continue to discuss these issues with the women religious in an attempt to resolve them.

● **SAA and ICA Meetings in**

1996. Subsequent to SAA's signing a hotel contract for its 1996 annual meeting for the first week of September, the International Congress on Archives chose that same week for its next meeting. Van Camp read a resolution from the SAA Committee on International Archival Affairs requesting that SAA reschedule its meeting to eliminate this conflict. Wallach moved and Janzen seconded that the SAA office make every effort to re-negotiate the 1996 contract with the hotel. The Executive Committee will assess the information obtained by staff and make a decision regarding changing the meeting date. Moving the SAA meeting into August would be acceptable. PASSED.

Dates and Location of Next Council Meeting

Council will meet next in Chicago at the Sheraton Chicago Hotel on 29–31 January 1993. This meeting is to include a continental breakfast in the SAA office with the staff.

Adjournment

Upon a motion by Jimerson and second by Wallach, the meeting was adjourned at 9:30 a.m.

ANNE P. DIFFENDAL
Executive Director

Approved: 29 January 1993

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by Judith Fortson

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Annual Index

Volume 55 (1992)

SARA FLEMING, compiler

The annual index to the *American Archivist* includes authors and titles of articles; authors, titles, and reviewers of items in the "Reviews" section; letters to the editor; editors' columns; presidential addresses and reports of the Society of American Archivists; obituaries; and recipients of awards listed in the journal. Items with multiple authors are listed fully only under the first author. Subject entries are based on Bellardo and Bellardo, *A Glossary for Archivists, Manuscript Curators, and Records Managers* (Chicago: SAA, 1992).

Finding aids listed in the "Reviews" section appear under the entry "Guides (individual titles)"; fully reviewed finding aids are further indexed by author(s) and title. Those listed in the "Selected Recent Publications" section appear *only* under the "Guides" entry. Other items from "Selected Recent Publications" are not included in the index.

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