



*"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
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PUBLICATIONS

The Management of College and University Archives

William J. Maher

The basic elements required for an archival program to meet the documentary needs of a college or university are introduced in this publication. Recommended for academic archivists and related professionals.

(1992), 430 pp., hard cover

\$45 SAA members, \$49.50 nonmembers, plus \$5.50 shipping/handling

Without Consent: The Ethics of Disclosing Personal Information in Public Archives

Heather MacNeil

Theoretical and practical issues associated with the administration of access to government-held personal information are explored in this publication.

(1992), 200 pp., hard cover

\$24 SAA members, \$27.50 nonmembers, plus \$5.50 shipping/handling

Varsity Letters: Documenting Modern Colleges and Universities

Helen W. Samuels

A functional study of colleges and universities, this publication is intended to aid those responsible for the documentation of such institutions.

(1992), 296 pp., hard cover

\$25 SAA members, \$29.50 nonmembers, plus \$5.50 shipping/handling

Co-published by
The Society of American Archivists and
Scarecrow Press, Inc.

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INFORMATION HANDLING IN OFFICES AND ARCHIVES

by Angelika Menne-Haritz

This book is the result of an international symposium held in Marburg, Germany, October 1991, on the impact of technologies on information handling in offices and archives. Attended by experts from the fields of archival science, public administration, psychology, economics, and standards, the aim was to define basic archival problems by comparing and contrasting European and American experiences with information technologies. As a forum for ideas on dealing with new electronically-recorded data, the book also explores the limitations of traditional methods and the extent of their adequacy for dealing with new tasks.

Published by KG Saur - Germany (1993) 20 pp., hardback

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SPECIAL ISSUE

Journal of Education for Library and Information Science

EDUCATING THE AMERICAN ARCHIVIST FOR THE TWENTY-FIRST CENTURY

This special issue, guest edited by Richard J. Cox of the University of Pittsburgh, contains papers originally presented at the spring 1992 meeting of the Mid-Atlantic Region Archives Conference (MARAC) held in Pittsburgh. The core papers were originally commissioned by the program committee to consider aspects of archival education in the United States. These papers, which represent a detailed examination of the topic of American archival education, were developed out of a special 1987 Society of American Archivists conference intended to chart a future course for the Society's continuing education program. Future directions of archival education were investigated from the basis of archival knowledge through current trends and activities in graduate and continuing education. It is hoped that these essays will stimulate discussion about the importance of archival education in the United States, both within the profession and among other information disciplines.

Published by ALISE
Association for Library and Information Science Education
Winter 1993, Vol. 34, No. 1
96 pages, soft cover

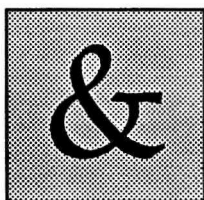
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Preservation Of Electronic Formats



Electronic Formats for Preservation

edited by Janice Mohlhenrich

How will we preserve electronic journals? What is the future for microfilming? How long will CDs last? What are CDs made of? How should we store this kind of material? What is scanning all about and what part will it play in preservation?

Based on the 1992 Electronic Preservation Conference sponsored by the Wisconsin Preservation Program, this work addresses the issues concerning this fast-changing technology. The book focuses on durability and longevity of specific electronic formats, the best possible preservation methods, costs of imaging techniques, and the appropriateness of these formats for libraries and archives. Includes an index and annotated bibliography.

Published by Highsmith Press (1993) 128 pp., softcover
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DISASTER PLANNING AND RECOVERY

A How-to-Do-It Manual for Librarians and Archivists

BY JUDITH FORTSON

Disasters such as fires, floods, and earthquakes can devastate archival and library collections. *Disaster Planning and Recovery* helps archives and libraries to prepare for and survive the worst. The 181-page manual covers the various types of disasters—fire, water, wind, earthquakes—and how to recover from them when dealing with such media as paper, books, photographs, microfilm, and tapes. It also discusses the problems associated with structural damage. Several sample disaster plans are included, as well as the addresses of suppliers, national organizations, treatment centers, and publications.

Published by Neal-Schuman Publishers, Inc. (1992)
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Society of American Archivists

Executive Director's Annual Report 1992-93

I hope that you have been able to meet or renew acquaintance with those among the staff who are here at the Society's Annual Meeting in New Orleans. Among the familiar faces are Bernice Brack, Teresa Brinati, Evelyn Frangakis, Jane Kenamore, Debbie Mills, Jim Sauder, Tara Shimandle, and Troy Sturdivant. The other veterans, who remained in Chicago to carry on the work there, are Danielle Feuillan and Jason Walker.

Departing SAA this past year was Ana Joyce, who took a position offering greater job security than did the Society in the period when Council investigated using an association management firm. To replace Ana we welcomed Carroll Dendler as Bookkeeper and Office Manager. Many of you have no doubt met her as she assisted you here at the meeting registration booth.

For a number of years there has been a need for additional staff to support the kind and amount of services provided SAA members. In June we were joined by Carolyn Aeby, who has devoted her time to preparations for the Annual Meeting. In the coming months she will assist Debbie Mills in membership recruitment and retention; and assume some responsibilities for liaison with and support

for the Society's various units as well as general marketing of SAA's products and services.

Planning

A significant accomplishment this past year was Council's move to accept the recommendation of SAA's Committee on Goals and Priorities and position itself, as the governing board, in the forefront of the Society's strategic planning. During the last two years a planning document was developed by CGAP from ideas and advice contributed by the membership and the leadership of the Society's many units. During Council's regular meeting in June, current and incoming officers and Council members, the chair of CGAP, and several staff members worked with the assistance of a planning facilitator to revise the goals in the existing document and draft a set of behavioral objectives that identify priorities to guide the work of the Society for the next 2-3 years. At a meeting in July, a smaller group, again with the assistance of the facilitator, refined the statement of goals and objectives to produce the strategic plan that you received with your meeting registration packet.

With its actions this spring, Council has committed itself and SAA to ongoing planning to in-

clude annually assessing and modifying objectives and allocating appropriate human and financial resources to accomplish these priorities.

Administration

Meanwhile, implementation continues on a number of initiatives that will enhance basic support services for the work of SAA. Almost completed is the major upgrade to the office computer system that was begun about 20 months ago. Order entry and receivables modules were installed and tested this past winter and spring. Yet to be done are some corrections to problems remaining; fine tuning of the entire system, especially as regarding links among its various parts; and staff training.

As I reported to you on this occasion last year, we had just received the consultant's report and recommendations regarding the Society's graphic image. Since then new publications and printed materials have incorporated various of the recommendations. Perhaps most obvious to you appeared in March, in the form of a modified SAA logo and a name-change for our bi-monthly publication from *SAA Newsletter* to *Archival Outlook*. There have been other, less obvious changes

intended to bring a consistency and boldness to our look.

Publications

Benefiting from the resourcefulness and energy of Managing Editor Teresa Brinati, the publications program has continued to build upon a successful foundation. This past year saw the appearance of the sixth of seven volumes in the Archival Fundamentals Series, F. Gerald Ham's *Selecting and Appraising Archives and Manuscripts*. The final volume, Mary Lynn Ritzenthaler's *Preserving Archives and Manuscripts*, is in page proof stage. We anticipate its appearance before the end of the calendar year.

The long-awaited *Handbook of Archival Descriptive Standards* is currently being printed and bound. A project of members of SAA's Committee on Archival Information Exchange and its Description Section, the volume was compiled and edited by Vicki Walch.

With review and selection coordinated by Acquisitions Editor Jim O'Toole, the Society is able to offer, at a discounted price to SAA members, a variety of titles of importance to archivists that are published by others. These, as well as SAA's own books, can be found in the *1994 SAA Publications Catalog*. I hope that you picked up a copy at the SAA booth in the Archives Exposition. If not, a copy will be arriving shortly with your September issue of *Archival Outlook*.

The Society is fortunate to receive outstanding support from the School of Library and Information Science at the University of Pittsburgh which contributes the time of its faculty member Richard Cox, and computer and other support services and staff for him in his work as editor of *The American*

Archivist. Beginning eighteen months ago with the journal a year behind schedule, he has now made up half of that time with the help of guest editors' work on some special issues, which represent the culmination of projects undertaken by the Society's Committee on Goals and Priorities and its Committee on Automated Records and Techniques.

Education

During the year just completed, the SAA Continuing Education program presented twenty-seven workshops on fourteen different topics enrolling 669 archivists, a figure representing approximately 22% of the Society's individual membership. Topics ranged across the gamut of archival work including managing photographic collections, using the MARC-AMC format, dealing with architectural records, donor relations, advanced appraisal, and security, to name a few.

Nine of the courses were scheduled in conjunction with the SAA Annual Meeting in Montreal, and the remaining were conducted in cooperation with regional archival associations and other organizations throughout the United States.

Once again, SAA was asked to present its offering on "Managing Electronic Records" at the Annual Meeting of the National Association of Government Archives and Records Administrators. At the request of the National Association for Equal Opportunity in Higher Education, Education Officer Jane Kenamore coordinated SAA's "Archives: An Introduction" as part of a project, funded by the National Endowment for the Humanities, to increase access to primary source materials in historically black colleges and universities.

Under the auspices of SAA's Museum Archives Section, a new workshop "Museum Archives: An Introduction" was developed and presented in co-sponsorship with the American Association of Museums at its Annual Meeting. With the help of members of the Society's Business Archives Section, the workshop "Business Archives: Beyond the Basics" was revived and revised. Offered last fall in Chicago, it is scheduled next for Philadelphia.

In its second year of operation, the Education Office Advisory Board has reviewed and evaluated current offerings for potential revision, and reviewed proposals for new ones. It is developing plans to respond to recommendations in the report of the curriculum project of the Committee on Automated Records and Techniques. This project, funded by a grant to SAA from the National Historical Publications and Records Commission, concluded this past year by producing a set of learning objectives and options for training archivists in automated records and techniques. Implementation of recommendations in this report is one of the goals in the Society's new strategic plan. You can learn about how the Education Office and its Advisory Board intend to begin this process in the September issue of *Archival Outlook*, which is in the mail now.

Annual Meeting

The Annual Meeting is by far the largest single undertaking of the Society, around which the entire yearly cycle of association activities revolves. The culmination of the work of quite literally hundreds of people, coordination of the meeting is the responsibility of staffer Debbie Mills. The year with which this report is concerned

began with one Annual Meeting, ours in Montreal last September, and then quickly moved into preparations for the next, this one here in New Orleans.

The 1993 Program Committee was hard at work a year ago to shape the 80-some sessions with approximately 300 participants that form the core of this meeting. Crucial to this process are the proposals submitted by the Society's Sections, Roundtables, and other groups. Their active participation ensures that the many interests of SAA members are addressed by the most knowledgeable presenters, at this very important opportunity for continuing professional education for archivists.

SAA has a policy to meet in various parts of the country on a rotating basis, not only to allow members periodically to travel only within their own region to attend an Annual Meeting, but also to offer everyone the opportunity to experience the varieties of this vast country. The 1993 Host Committee has facilitated this learning experience by identifying and assisting with tours to an array of local repositories as well as cultural and historic spots. The 1994 Program and Host Committees have already begun to develop rich and compelling experience for us next year in Indianapolis.

Preservation

SAA's Preservation Management Training Program, funded as a three-year project by the National Endowment for the Humanities, is half-way through its course. Under the able direction of Evelyn Frangakis, five of the total of twelve workshops have been taught. One class has just graduated, those in the Northeastern series. The last of the three work-

shops in the Midwestern series will be conducted next month.

Several meetings and seminars involving program participants, faculty, and advisory board members are being held here during the Annual Meeting to review and evaluate the program to date and consider ways of pursuing some of the broader purposes of the project. As expressed in its statement of goals, the project is intended "to foster a core of ongoing, comprehensive preservation programs across the United States, staffed by archivists who are willing and able to lead the profession, teach others how to build programs, increase awareness of continuing needs, and provide information through formal and informal networks." How to achieve these ends is under consideration here in New Orleans.

Representation

I would like to turn next to the topic of representation. SAA's past year might well be characterized by its public involvement in noteworthy national issues. I will consider some of those in a minute, but first want to point out that the Society is and has been involved in officially representing the archival perspective to many different communities in a variety of ways. SAA's presence can be highly visible or relatively unsung; it can be temporary or continuing; it can require quick action or long-term commitment.

Such representation can involve service by members on bodies where law specifies a seat for SAA, such as the National Historical Publications and Records Commission, the US State Department Historic Diplomatic Documentation Advisory Committee, and the National Afro-American Mu-

seum and Cultural Center Planning Council.

Representation can also mean responding to a request to suggest the names of one or more archivists who might be asked to participate in a study or with a group, such as the American Library Association's review of its process for accrediting graduate programs in library science, the John F. Kennedy Assassination Records Review Board, or the National Archives and Records Administration's strategic planning efforts. Representation can mean providing an archival voice to and on standards setting bodies such as SAA does for several involving new information technologies and preservation, including the National Information Standards Organization, the American Library Association's Committee on Cataloging: Description and Access, the USMARC Advisory Board, the Network Advisory Committee, and the Association for Information and Image Management.

Representation can be a means to communicate with allied professions, such as do the joint committees of SAA with the American Library Association, with the Association of Records Managers and Administrators, and with the Organization of American Historians and the American Historical Association. These forums provide a means for developing continuing relationships, and are available to use when issues surface that require quick response or suggest potential controversy among or between the professions.

Representation can be a means of joining coalitions for advocacy, especially regarding national legislation or policy, such as for example SAA's participation in the National In-

stitute for the Conservation of Cultural Property and in the National Coordinating Committee for the Promotion of History.

It is in this last manifestation—as advocacy—that representation is usually the most visible. This past year is certainly testimony to that fact. Problems at the National Archives and Records Administration, the resignation of the Archivist of the United States and the current search for a new one, the controversy over access to the papers of Thurgood Marshall at the Library of Congress, the proposed elimination of the National Union Catalog of Manuscript Collections, reauthorization legislation for NHPRC, as well as the annual question of funding for NHPRC, NARA, and NEH—all have drawn the Society and its leaders, either as individuals or as Executive Committee or Council, into action in the public arena.

In and of themselves, these issues are none of them unprecedented. But their number and the publicity surrounding many of them have certainly provided a lively and unusual year. Experiences of this year offer some lessons for SAA in the future as it pursues representation as advocacy. This kind

of role requires that the Society's leaders be opportunistic, flexible, and timely. Circumstances may require that the President, or the Executive Director, or the Executive Committee act or make statements on behalf of the Society without benefit of wide consultation.

For SAA to exercise a role as advocate, its leaders must be willing to accept this kind of responsibility and the membership be willing to trust them. Trust them to consult when and to the extent possible; to report fully later, but act when necessary. Willing to support when in general accord, and not insist on review of and agreement on every detail.

A good recent example of how this can work is the Joint Statement on Selection Criteria for Archivist on the United States. Drafted and agreed to in less than ten days by the Executive Committee of SAA and a handful of the leadership of the National Association of Government Archives and Records Administrators, the statement was issued on March 1, 1993. Working from fundamental agreement, this small group was willing to speak for their associations without the opportunity for review by their respective full governing boards.

As individuals they were also willing to accept various portions of the statement, even if they deemed them less than ideal, in the interests of accommodating the entire process. SAA has been fortunate that its President Anne Kenney has been able and willing to provide quick and flexible response on behalf of the archival perspective when circumstances arose.

Most of the issues noted above have not been resolved, though a number have shifted to less visible arenas. Goal I of SAA's new strategic plan proposes that the Society take leadership in representing and articulating the archival perspective at the national level. In implementing the objectives of that goal, it behooves the Society to choose its issues as wisely as it evaluates the most appropriate means of representation by which to pursue them.

The new planning process offers the promise that, by applying its resources to implement selected objectives and evaluating the results, SAA can truly recognize accomplishments rather than simply chronicle activities. Some interesting times lie ahead.

ANNE P. DIFFENDAL
3 September 1993

Treasurer's Report

1 July 1992–30 June 1993

Financial Statements

The two statements attached to this report cover the fiscal year ending June 30, 1993 and provide a summary of the financial condition of the Society of American Archivists.

Statement 1: Balance Sheet for All Funds. The Balance Sheet is based on data prepared by the SAA's auditing firm and lists three fund categories into which SAA's financial transactions are grouped.

1. The GENERAL FUND, showing a balance of \$278,608, covers 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 FUND, showing a balance of a negative \$131 has been established to account readily and clearly for the financial activities of the grant-supported projects. For example, in this category we track National Endowment for the Humanities income and expenses for the preservation grant, and National Historical Publications and Records Commission's grants.

3. The SPECIAL PROJECTS FUND, showing \$281,085, tracks gifts, interest, and fund transfers related to awards and to SAA's education endowment. It was established to receive gifts under Internal Revenue Code Section 501(c)3, thereby permitting contributors to take tax deductions.

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 exceed liabilities.¹ Most encouraging is that the General Fund assets have grown by \$134,333 since last year and this is the third year in succession the general fund equity has grown. Meanwhile, there has been a more modest increase of \$11,250 (4.2 percent) in the special projects fund assets.

The growth of the General Fund balance to \$278,608 is very important as perhaps the single most revealing barometer of current financial health. A positive fund balance represents an operating reserve or cushion that frees an organization from being concerned about periodic fluctuations in income and expenses. For these reasons, in June 1991 Council adopted the goal of developing a funds balance reserve equal to three months of operating expenses. With a current balance of \$278,608, we have achieved this goal ahead of schedule, and Council has adopted a further goal of continuing to build the fund balance/reserve to a six-months level by adding no less than 3 percent of annual budgeted expenses each year. This

¹Understanding the categories of assets and liabilities is important. For example under General Fund assets, we need to continue to monitor the extent that inventory comprises our assets. Although inventory rose by 36.8 percent this year, much of this can be attributed to the stock of recently completed publications, especially the Archival Fundamentals Series, which continues to enjoy brisk sales.

size of an operating reserve is not only considered standard practice for organizations such as SAA, but also, it enables far greater flexibility in planning programs, delivering services, and undertaking initiatives.

Statement 2. General Fund Income and Expense Statement. Whereas the Balance Sheet provides a picture of the status of all 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 permit comparisons and suggest trends.

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 (*Archival Outlook*) are sources of both income and expenses. To obtain a rough sense for the monetary benefit or loss of a function, one can 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 two special-projects funds. *Administrative fees* are largely the indirect cost from grants. Under expenses, the categories are relatively self-explanatory, except for *General and Admin-*

<p align="center">Statement 1 The Society of American Archivists, Inc. Balance Sheet June 30, 1993</p>			
Assets	General Fund	Federal Grants Fund	Special Projects Fund
Cash	\$359,642	\$0	\$109,832
Investments	82,585	0	171,253
Accounts Receivable	24,038	28,180	0
Inventory	137,579	0	0
Fixed Assets	73,578	0	0
Total Assets	\$677,422	\$28,180	\$281,085
Liabilities and Fund Equity			
Liabilities			
Accounts Payable	\$36,216	\$0	\$0
Cash Overdrafts	0	28,311	0
Other Payables	843	0	0
Other Liabilities	2,700	0	0
Deferred Revenue	341,732	0	0
Compensated Absences	17,323	0	0
Total Liabilities	\$398,814	\$28,311	\$0
Fund Equity			
Fund Balance—Restricted	\$0	(\$131)	\$281,085
Fund Balance—Unrestricted	278,608	0	0
Total Fund Equity	\$278,608	(\$131)	\$281,085
Total Liabilities and Fund Equity	\$677,422	\$28,180	\$281,085

istrative, 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 other meetings. Overall, income has risen by 15.7 percent, and expenses by 12.5 percent. The most important factors contributing to the healthy increase in income are: a 27.7 percent rise in publications income and a 52.2 percent increase in workshop income.

Despite these increases, there was a small decline in the "profitability" (3.2 per cent) of the annual meeting, although this was largely due to the special challenges we faced in Montreal. Fortunately, overall solid operating revenues have shielded us from the 37.5 percent drop in income from interest as the fixed income market continues to decline.

Total General Fund expenses rose by 12.5 percent with the largest dollar increases being in personnel, workshops, and publications for sale. In the case of workshops and publications, the rise in expenses is directly related to greater activity and

income. Expenses to support Committees, Sections, Task Forces, and Roundtables increased by nearly 53 percent. Council expenses increased by \$7,288 (112.1 percent) this year because of additional expenses associated with the Executive Director Search and the strategic planning activities. Next year's expenses are sure to be still higher, especially because of the many additional expenses involved in concluding the Executive Director search.

When viewed as a whole, the balance sheet and income and expense statement show an organization in sound financial condition experiencing growth.

Statement 2 Society of American Archivists General Fund Income and Expense Statement			
Receipts	FY 90-91	FY 91-92	FY 92-93
Dues—Individual	\$171,477	\$213,035	\$223,611
Dues—Institutional	89,665	112,077	104,633
AA/Newsletter/Emp Bul/Ads & Subs	95,230	113,669	117,575
Publications	166,418	189,334	241,694
Annual Meeting	188,042	193,218	190,449
Workshops	80,214	75,668	115,135
Interest	20,214	21,670	16,338
Interest from 501(c)3	13,880	10,335	3,664
Administrative Fees	(9,585)	14,408	72,067
Other	<u>13,411</u>	<u>8,077</u>	<u>16,011</u>
Total Receipts	\$828,966	\$951,491	\$1,101,177
Expenses			
Personnel	\$295,163	\$334,363	\$359,229
Rent & Utilities	31,453	31,479	33,397
General & Administrative	95,890	138,117	139,934
Annual Meetings	113,293	94,516	94,858
Workshops	46,221	42,364	65,267
American Archivist	77,628	79,532	75,070
SAA Newsletter/Employment Bulletin	25,305	27,536	25,507
Publications for Sale	61,631	85,205	130,779
Representation	4,000	4,500	5,800
Committees/Sections/Task Force	15,866	15,203	23,216
Council	<u>30,894</u>	<u>6,499</u>	<u>13,787</u>
Total Expenses	\$797,344	\$859,314	\$966,844
Excess (deficiency) of revenues over expenses	<u>\$31,622</u>	<u>\$92,177</u>	<u>\$134,333</u>
	Fund Balance as of June 30		
	1991	1992	1993
	<u>\$52,098</u>	<u>\$144,275</u>	<u>\$278,608</u>

With careful management, income has grown faster than expenses. A Treasurer will always be cautious about the future. My greatest concern is how SAA as an organization will cope with the increased complexity of managing operations that, over the past two years, have grown by 21.3 [expenses] to 32.8 [income] percent. The growth has been most gratifying, but it

brings added demands on our governance and administrative structure.

Money Manager

Last year I reported on the process Council followed to hire a money manager for the investment of a large portion of the money listed under Special Project Funds on the Balance Sheet. The background to this

step was the steady decline in interest rates for SAA's certificates of deposit, which then were our sole investment vehicle. Following a multi-month search and review of information on performance and investment philosophy we contracted with Rittenhouse Capital Management of Radnor, Pennsylvania to create and manage a balanced portfolio of

stocks and bonds. In August 1992, Rittenhouse began investing the \$250,000 we had designated for active money management.

You may recall that the funds used for these investments are those for which we have traditionally spent only the income and not the principal. We also assumed that two to three years would be the minimum period for evaluating the success of using money management and the performance of any given money manager. Since it has now been barely one year from when Rittenhouse began work, it is premature to reconsider our decision to use their services. I will, however, offer a few background statistics to lay the base for discussion in future treasurer's reports. For consistency with other financial reports, I will utilize data for the period from inception to June 30, 1993.

Last year \$250,000 were allocated to Rittenhouse for management. The portfolio is comprised of what is considered a balanced mix of cash (4 percent), government securities (8 percent), corporate bonds (21 percent), and stocks (67 percent). The total number of securities has remained stable since the initial investments were made in August 1992, but Rittenhouse has completed a modest number of sales and purchases. The June 30, 1993 market value of the portfolio was \$263,419 for a gain of \$13,419. Before adjusting for fees, this is an effective annual return of 6.4 percent.

Overall, the portfolio's performance, especially after accounting for fees, has been lower than the approximately 10 percent annual growth that we want to see over a three-year time period. For the moment, I am not particularly troubled by this performance for

several reasons. First, 10 months is far too short of a time to evaluate an investment strategy, even if returns are very high. Second, the overall performance of Rittenhouse is not inconsistent with that of financial markets in the past year. What some have called a "rotating correction" has reduced the value of several basically solid stocks that hitherto have had very good performance. Third, from my amateur's perspective, most of the stocks which have shown greatest loss are in essentially sound companies that merit retention until they regain favor.

Regardless of my amateur perspective, SAA is and should rely on the use of professional money management. The role of the Treasurer, Executive Director, and Council is to use the third-party analytical information provided by our broker to assess Rittenhouse. Our first year's experience confirms one of the most important investment principles—adopt an investment goal and a horizon and then stay with them. The money managers' performance has been consistent with their investment philosophy and understandable from market conditions. We therefore should maintain our two- to three-year horizon for judging their effectiveness.

Observations and Trends— Dues Review Committee Report

As a way of explaining trends and the actual costs of each of the major programs SAA conducts, the balance of my report will review the findings of the Dues Review Committee. Based on a 1990 mandate for a triennial review of SAA's dues, Council appointed an *ad hoc* Dues Review Committee, comprised of myself, Anne Diffendal, Mary Janzen, and Linda Henry. The DRC was charged

with gathering information about the effects of the 1990 dues increase, current and projected financial resources and needs, and whether a dues increase should be placed before the New Orleans Business Meeting.

Our main recommendations, adopted by Council, in June were:

1. Because the current dues structure and other activities are providing sufficient revenue to cover general membership expenses, no increase in dues is recommended for the coming year.

2. After transactions for the 1993 Annual Meeting are completed, the DRC should re-examine SAA revenues and program expenses to determine whether a dues increase should be proposed at the 1994 Annual Meeting.

3. As part of ongoing financial planning, a review of dues, other revenues, and program costs should be conducted annually.

4. The core of such dues reviews should be analysis of a series of financial indicators. These indicators might include: ability to reach and maintain a six months General Fund reserve, relation of program area costs to program area revenues, and percentage of overall revenue drawn from dues.

DRC Background. The DRC started by examining documents relating to the 1989-90 revision of the dues structure, but its major attention was focused on analyzing financial data for three fiscal years (1990-91, 1991-92, and projections for 1992-93). In particular, we were interested in a breakdown of revenues and expenditures for each program supported by the SAA General Fund. Although existing monthly and annual statements allow comparisons of income to expenses for areas such as the annual meeting,

Table 1

Program Cost Area Table			
		1991/92 Amount	Percent
INCOME			
Dues & subscriptions		\$400,990	42.7
Ads, Interest & Misc.		79,499	8.5
Publications		189,334	20.2
Annual Meeting		193,218	20.6
Workshops		75,668	8.1
Total Income		\$938,709	
EXPENSE			
General Member Expense		\$407,840	48.0
Administrative	\$227,561		
American Archivist	124,877		
Newsletter and Employment Bulletin	55,402		
Publications		169,937	20.0
Annual Meeting		161,088	18.9
Workshops		111,465	13.1
Total Expenses		\$850,330	

workshops, and the *American Archivist*, we were convinced that such comparisons were inadequate because they included only direct costs for each activity and did not reflect the staff time and other overhead necessary to conduct these activities. For example, merely subtracting meeting expenses from meeting revenue on the General Fund Income and Expense statement takes no account for the fact that well more than 1.0 F.T.E. of staff time, and related office expenses, are required to plan and hold the annual meeting.

Furthermore, without a means to allocate the full costs of managing each program area, it is very difficult to obtain credible data on the cost of providing member services. For example, if one recognizes only direct expenses for areas such as the annual meeting, workshops, and publications, the 1991-92 overall cost per member would

be \$146.25. This amount is so far removed from the current schedule of dues—it is higher than the dues of 97 percent of our individual members—that we found this approach very unhelpful in understanding SAA's revenue needs.

To resolve this problem, we developed, with the assistance of Jim Sauder, a table separating expenses by major program areas. This Program Area Cost Table (PACT) was based on a detailed analyses of each staff member's time as done for recent indirect cost negotiations with the NEH. The PACT divided expenses and revenues into functional areas as illustrated in Table 1.

To facilitate an understanding of the relationships of the expenses and income, three graphs have been prepared.² In

Figure 1, which shows Income and Expenses by Program Area, note that "General" represents dues, subscriptions, and miscellaneous on the income side and administration, governance, the *American Archivist*, and newsletter on the expense side. "Publications" represents non-serial publications.

A more detailed view of the composition of income and ex-

the same base as the General Fund Income and Expense statement for 1991-92, the PACT data and graphs will not coincide with the amounts in the Income and Expense statement. The discrepancy, which is intentional, results from the fact that the PACT information reflects a distribution of staff time and overhead according to program area whereas the Income and Expense statement only shows direct expenses and income. In addition, expense and income data on administrative overhead for federal grants are not included in the PACT.

²Please note that while taken from

Figure 1

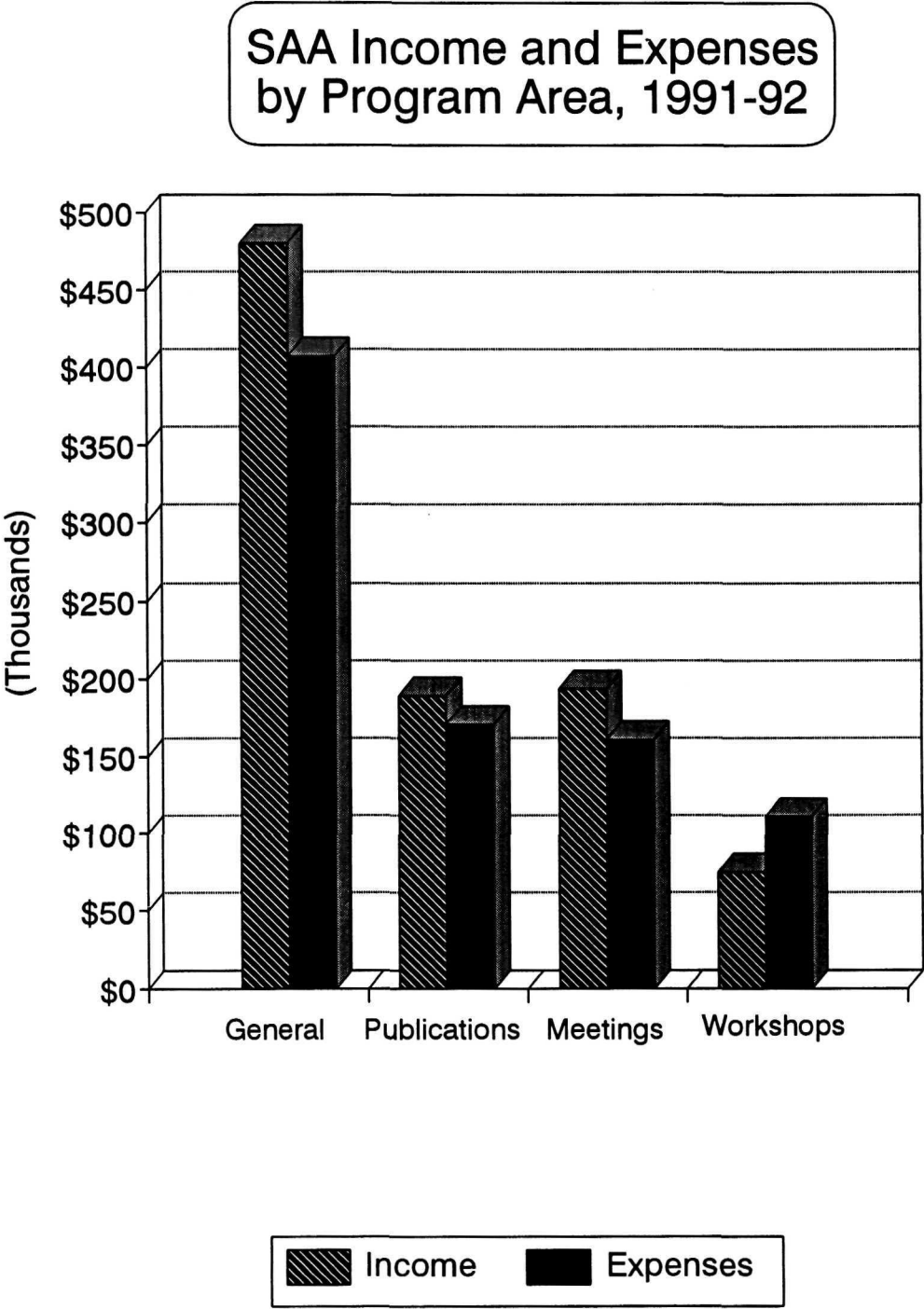


Figure 2

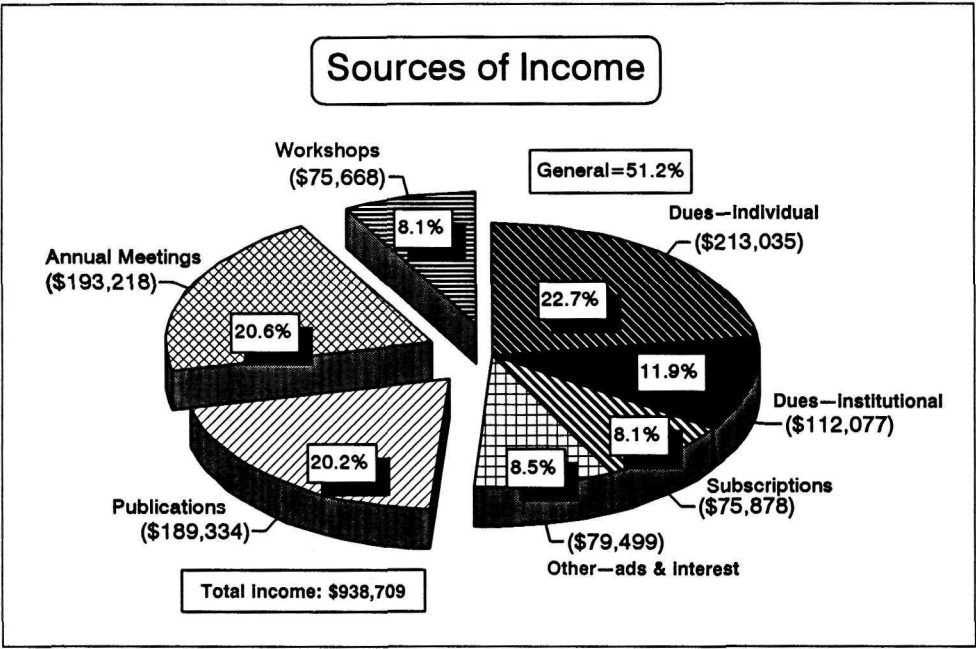
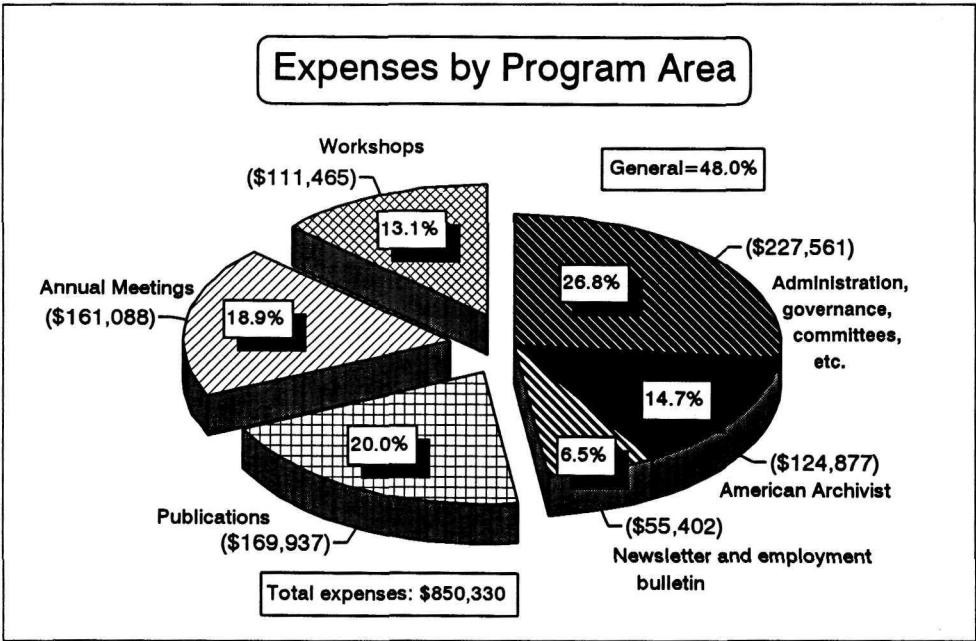


Figure 3



Note: These graphs do not include \$12,782 of income and \$8,984 of expenses associated with the administration of grants.

penses, based on program area, can be seen in pie graphs for Sources of Income and Sources of Expenses, Figures 2 and 3, respectively. These graphs and their supporting tables show a strong symmetry between income and expenses in related program areas. In addition, they reflect a very close (98.3 percent) relationship between dues/subscriptions and general membership expenses. When combined with data on the current number of members, the PACT information shows that the cost of providing membership services is \$93.05 per member/subscriber compared to \$91.49 in per member/subscriber income.³

Thus, the PACT provided a very important tool for understanding SAA's expenses and dues needs. The DRC determined that these data, especially the ratio or percentage of general member expenses covered by dues/subscriptions, would provide a key element in current and future dues reviews. Although the graphs illustrate only one year, the DRC is confident that this kind of program cost analysis provides a very strong basis for understanding and explaining the relationship of revenues to actual expenses over several budget years.

Indicator Analysis. The Committee also realized that dues analyses would be strengthened by examining more than a single measurement, such as the percent of overall income derived from dues, which figured prominently in the 1989-90 review. We identified five such indicators on which we and

future committees might base a decision for a dues increase. These are best explained by noting our findings on each of the indicators:

1. When we measured what portion of member-subscriber general expenses was covered by member-subscriber income, we found a very favorable amount of 97 to 110 percent for the 1991-92 and projected 1992-93 periods.

2. We found the revenue gain from publications and meetings fully sufficient to cover general and workshop expenses not covered by dues, subscriptions, and workshop fees.

3. We found the percentage of overall General Fund income from dues, approximately 42 percent, to be consistent with 1989-90 recommendations as well as experience of other associations.

4. We found that the General Fund balance was growing adequately to meet Council's goal of building an operating reserve.

5. The only potential negative indication came from our estimate that the 1993/94 income and expense horizon would be higher. Areas of potential or likely increased costs include: adding a 1.0 F.T.E. program assistant staff person, increased travel costs for representation, and executive director search and hiring costs.

The advantage of using multiple indicators is that they adjust for irregularities in any single indicator and therefore add balance to income and expense analyses. Rather than looking for a dramatic change in a single measure of our financial condition, it would be movement in a combination of indicators that would trigger a recommendation for a dues increase.

DRC Decision Process. Although the fifth indicator sug-

gested that added costs during 1993/94 might lead to a very different conclusion next year, the Committee noted that recent strong growth in the general fund balance and the lack of deficits or near-deficits argued against recommending a dues increase this year. The Committee recognizes that there is an element of risk in this recommendation. If expenditures rise quickly and income drops even slightly, 1993/94 could see a deficit, or at least a failure to meet the goal of contributing to the operating reserve. Although the Committee takes a conservative approach in planning SAA finances, it notes that this modest level of risk-taking is one of benefits made possible by the operating reserve—should 1993/94 be weaker or more expensive than anticipated, the reserve will function as a cushion. At the same time, the need to tap the reserve would offer an indisputable signal of the need for a dues increase in 1994.

Finally, the Committee noted that reviews of dues, expenditures, and other income should be conducted annually rather than triennially. With the added analytical tools developed by the 1993 DRC, future dues reviews could be expedited by simply updating the financial and staff time information used in the Program Area Cost Table, and by examining the five indicators developed by this Committee. Finding the best time for annual reviews is difficult, but we recommend the period between late October and early March. Therefore a Dues Review Committee will be at work late this fall, and you should expect a report and recommendations at next year's meeting.

WILLIAM J. MAHER
SAA Treasurer

³Based on 4,383 member/subscribers as of June 30, 1992 (3,485 members and 898 subscribers).

Society of American Archivists Council Meeting Minutes 11-13 June 1993 Chicago

The meeting was called to order by Vice President Edie Hedlin on Friday, June 11, at 10:00 a.m. in the absence of President Anne Kenney who arrived at 3:20 p.m. Present were Treasurer William Maher, and Council members Brenda Banks, Luciana Duranti, Margaret Hedstrom, Mary Janzen, Randall Jimerson, Waverly Lowell, Anne Van Camp, William Wallach, and Elizabeth Yakel. Also present were Executive Director Anne Diffendal and SAA staff member Carolyn Aeby. Present for part of the day were SAA staff members Jim Sauder, Teresa Brinati, and Jane Kenamore.

Note on meeting schedule: The order in which agenda items were considered was altered to accommodate several circumstances: Kenney's testimony in Washington before a Senate hearing on access to the Thurgood Marshall Papers on the morning of June 11, meeting with Acting US Archivist Trudy Peterson on June 12, and follow-up to Council's June 10 Planning Day on June 13. To facilitate future reference, these minutes will generally follow the agenda order with changes in the order noted where necessary.

Amend and Approve Agenda

There were two additions to the agenda. Wallach moved and Jimerson seconded to approve the agenda as amended. PASSED.

Approve Minutes of Previous Meeting

Lowell moved and Jimerson seconded to approve the minutes of January 29-31, 1993. PASSED.

Report of the Executive Committee

Banks reported that the Executive Committee had reviewed the agenda and decided upon a schedule that would change the order in which a number of items would be considered. Executive Committee recommendations will be made during the course of the meeting as particular agenda items are considered.

Report of the President

- **Appointments.** Kenney reported upon appointments since the last Council meeting.

- **NARA situation.** Kenney briefly recounted recent events and led a discussion that identified questions for Acting US Archivist Trudy Peterson who will join the group on Saturday, June 12.

- **NUCMC resolution by Executive Committee.** Council noted the resolution of March 24 (published in the May 1993 issue of *Archival Outlook*) expressing concern about the possible elimination of the National Union Catalog of Manuscript Collections. Response from the Library of Congress indicates that it will be seeking advice from NUCMC users and contributors before a final decision is made.

- **Resolution by Executive Committee regarding**

NHPRC. Council noted the resolution of May 17 (published in the July 1993 issue of *Archival Outlook*) in support of funding for NHPRC and learned of the current status of appropriations and reauthorization bills according to recent information received from the Commission staff.

- **Resolution on Thurgood Marshall Papers at the Library of Congress.** Upon her arrival, Kenney briefed Council on her testimony to the hearing that morning before the Senate Subcommittee on Regulation and Government Information. There was general discussion about the importance of timely and equitable access and well as the necessity for clearer language in the Library's deed of gift regarding any discretionary authority it may reserve. Jimerson and Maher were asked to draft a resolution for Council's consideration later in the meeting.

Report of the Vice President

- **Appointments.** Hedlin distributed a list of her appointments to date.

Report of the Treasurer

- **Report for Fiscal Year 1992-93.** Maher reviewed the current financial statements with the assistance of Jim Sauder. Projections for the close of the year suggest that the Society will meet its current goal of achieving an unrestricted funds balance equal to at least three months of operating expenses. Maher moved and Jimerson seconded that Council adopt the

goal of achieving an unrestricted funds balance of six months operating expenses by continuing to add to operating reserves annually at a rate of no less than 3% of annual expenses until a six-months operating reserve is reached. PASSED.

● **Contribution for FY92-93 to Staff Retirement Program.** Maher moved and Wallach seconded that the retirement contribution of 7% of salary that was budgeted for FY93-93 be made. PASSED. Maher then moved and Jimerson seconded that (1) a contribution of 8% of salary be budgeted for FY93-94, (2) 8% be considered an ongoing maximum for SAA's contribution to staff retirement, and (3) the practice be continued of budgeting for the retirement contribution but formally approving it at Council's June meeting before the end of the fiscal year. PASSED.

● **Report of Dues Review Committee.** At its January 1993 meeting, Council established an ad hoc Dues Review Committee (DRC) to conduct the mandated triennial review of SAA's dues. Members of the DRC were William Maher, Anne Diffendal, Linda Henry, and Mary Janzen. Maher moved and Jimerson seconded adoption of the recommendations of the DRC: 1. Because the current dues structure is providing sufficient revenues to cover general membership expenses, and because other activities are providing significant revenues, no increase in dues is recommended for the upcoming fiscal year. 2. After most transactions for the 1993 Annual Meeting are completed, the DRC should re-examine SAA revenues and program expenses to determine whether a dues increase should be proposed at the 1994 Annual Meeting. 3. As part of on-going

financial planning, a review of revenue areas and program costs should be conducted between October and April of each year to determine whether adjustments in dues and other revenues are necessary. 4. The core of 1993-94 and future dues reviews should be analysis of a series of indicators, rather than a single financial measure. Such indicators might include: percentage of member/subscriber general expenses covered by member/subscriber income; adequacy of the gain from publications and meetings to cover general and workshop expenses not covered by dues, subscriptions, and workshop fees; percentage of overall General Fund income drawn from dues; size of SAA's unrestricted funds balance; and income and expense horizon, that is, potential or known changes in forthcoming income or expenses, such as costs of adding space or staff. 5. A summary of the findings of the Dues Review Committee should be presented to the members through the newsletter and reports at the Annual Business Meeting. The summary should emphasize the ongoing need for dues review and the DRC's findings about the relative costs of each program area that SAA supports. PASSED.

● **Presentation of FY93-94 Budget.** Maher presented the SAA General Fund budget for fiscal year 1993-94 that anticipates income of \$1,122,050 and expenses of \$1,095,795. After general discussion with questions and answers, formal adoption of the budget was postponed until the end of the meeting.

Report of the Executive Director

● **Publications.** Brinati reported on the status of the titles

in the Archival Fundamentals Series and on the schedule of *The American Archivist*, as well as on other non-serials titles in process.

● **Education.** Kenamore reported on new workshops in development for the Annual Meeting and on the conclusion of the NHPRC-funded CART Curriculum Project. She discussed the work of the Education Office Advisory Board whose members evaluated the workshop curriculum and offered suggestions for new or revised offerings, solicited and evaluated proposals for new workshops, served as evaluators for workshops that were offered during the year, and surveyed the membership regarding continuing education needs.

● **Preservation Management Training Program.** Council heard an update on this NEH-funded program presented by Diffendal on behalf of SAA staffer Evelyn Frangakis who was conducting one of the workshops under this program.

● **Implementing Computer Upgrade.** Diffendal reported that the upgrade of the office computer system that had been approved and initiated in January 1992 was almost complete. The remaining problems relating to linking the new order entry module with the general ledger should be resolved during the summer.

● **1993-94 Annual Giving Campaign.** Janzen moved and Jimerson seconded that the Society conduct another Annual Giving Campaign similar to the one last year. PASSED.

Wallach moved and Banks seconded that Council pledge 100% participation in the campaign. In the discussion that followed, arguments made in favor of the motion included the

importance of showing this kind of support by the governing board and the fact that the motion did not require any particular level of contribution by Council members. Points made against the motion included the argument that the choice to make a contribution ought to be a personal one and that this Council could not or should not commit the incoming members who were not present to vote. PASSED with Banks, Janzen, Jimerson, Hedstrom, Lowell, Van Camp, and Wallach in favor; Maher, Duranti, and Yakel opposed; Kenney absent; and Hedlin presiding.

• **Case-writing Grant Proposal to NHPRC.** Diffendal reported that she had prepared and submitted, on behalf of the Committee on Automated Records and Techniques, the proposal authorized by Council at its January 1993 meeting. If funded, this project anticipates the production of up to ten case studies that address the administration of electronic records entrusted to the care of archivists and the use of information technologies in archives. The decision on funding will be made in November. If funded, the project would begin in January 1994.

Reports from Council Committees

Council Committee on Committees

• **Committee on Education and Professional Development.** Duranti reported that comments, related more to form than to content, are being received on the guidelines for a Master of Archival Studies Curriculum that have been circulated. The committee will consider them at its meeting at the Annual Meeting. The committee agrees that discussion regarding a merger of CEPD and

the Education Office Advisory Board is premature. The two groups should remain separate until CEPD has concluded its work on guidelines for continuing education, anticipated in three years.

• **Committee on Automated Records and Techniques.** There was general discussion about the fact that this committee's charge covers both automated records and automated techniques. By the CART's own admission, however, it does not deal with the latter. Duranti recommended increasing the size of the committee, providing for co-chairs each heading sub-committees concerning the two areas of responsibility. Council declined to approve the committee's specific request for revisions of its guidelines to allow for co-chairs at this time. Duranti will work with CART to revise its guidelines according to the Council discussion.

Wallach moved and Yakel seconded to accept the final report of the NHPRC-funded CART Curriculum Project for use in the strategic planning process, and to thank the committee for its good work in producing this valuable resource for Council's planning. PASSED.

• **Committee on Institutional Evaluation and Development.** Discussion centered on the need for this committee to complete three tasks in progress: the development of standards for archival institutions, the revision of a survey instrument for gathering data about archival institutions, and the preparation of a request for proposal to professional survey research firms. Janzen and Hedlin will work with the current membership of the committee to identify new appointees who can assist in this work and will ask the committee to re-evaluate its charge,

looking particularly at the survey project, and report to Council in June 1994.

• **Committee on Goals and Priorities.** There was general agreement on the committee's recommendations regarding its future role as the strategic planning document is nearing completion. That role includes two components: (1) monitor and review the Society's planning and (2) provide leadership training for the leaders of the reporting units. To carry out these duties, Wallach suggested re-constituting the committee to include three Council members and six members appointed from the general membership of the Society. There was general discussion of a possible new Council committee structure that would reflect an integration of the current Council Committee on Goals and Priorities with CGAP and acknowledge the significance of this Council committee assignment.

• **Committee on Public Information Committee.** There was general discussion of an unenthusiastic recommendation from the committee for the Society to support at a minimal level an Archives Week in the United States. The committee will be asked to investigate SAA's participating in International Archives Week, an activity of the International Council on Archives held at the end of September.

Council Committee on Sections and Roundtables

• **Architectural Records Roundtable.** At its January meeting, Council approved a request to co-sponsor a North American Conference on the Appraisal of Architectural Records with the Joint Committee for Canadian Architectural Records and Research. The conference will be held at and

administered by the Canadian Centre for Architecture in Montreal. Lowell moved and Duranti seconded that, because of requirements of the foundation that will provide the financial support for the conference, SAA serve as the recipient of a grant from the Getty Grant Program to fund this project. **PASSED.**

• **African American and Third World Archivists.** Council declined to support at this time a request for funds to support minority students' attendance at the SAA Annual Meeting and invited a revised and expanded proposal.

Council Committee on Task Forces, Boards, and Representatives

• **Task Force on Sections and Roundtables.** Notice was taken of plans for an open forum at the Annual Meeting in New Orleans sponsored by this group.

• **USMARC Advisory Group - ALA (MARBI).** Wallach moved and Jimerson seconded approval of guidelines for this representative. **PASSED.**

• **Academy of Certified Archivists.** Wallach noted that he and Diffendal will meet with the ACA leadership during the Annual Meeting to discuss general concerns regarding the relationship between the two groups.

The meeting recessed at 5:00 p.m. It reconvened at 8:35 a.m., Saturday, June 12, called to order by Kenney. Present were all officers and Council members plus Diffendal and SAA staffer Debbie Mills.

Council welcomed its guest and former SAA President Trudy Peterson, Acting Archivist of the United States. Peterson offered brief reports and answered questions on a series of topics that had been previously discussed with Kenney. The topics related to the current

situation at the National Archives and Records Administration (NARA), and included responses to the recent report on NARA from the President's Council on Integrity and Efficiency (PCIE); the current status of NARA's strategic planning and potential roles for SAA; possible forms of a NARA Advisory Board and potential roles for the archival community; and steps being taken to clear the current contempt of court relating to the White House tapes.

Report of the Executive Director (cont.)

• **Membership.** Mills reviewed the latest membership reports and provided a summary of the results of the 1993 member survey that had been sent as part of the Annual Ballot. She reported on plans for a breakfast meeting at the Annual Meeting in New Orleans with representatives of the regional, state, and provincial archival associations. The SAA Committees on Regional Archival Activity and on Membership will participate.

• **Annual Meetings. 1993 New Orleans:** Mills described plans for this meeting. The program was mailed in May, and registrations are being received. **1997 Chicago:** Mills reported that a contract has been signed with the Fairmont Hotel. **1998 Southeast:** Mills announced that an invitation has been received from the Society of Florida Archivists. She will be making a site visit to central Florida soon to inspect hotels in the Orlando area.

• **Meeting on College Campuses.** As a result of her investigating the possibility of holding Annual Meetings on college campus, Mills reported several drawbacks: the number of campuses able to accommodate a meeting of our size is small; although sleeping room rates are

lower than that of hotels, colleges generally assess substantial management and/or meeting room fees that would need to be recovered through higher meeting registration fees; transportation to and within most college towns is limited; options for meals are few; and the meeting would need to be scheduled when classes are not in session, generally between mid-May and mid-August.

• **Off-site Events at SAA Annual Meetings.** There was general discussion of a draft list prepared by Diffendal of considerations regarding events held off site of the convention hotel at Annual Meetings. Such a statement could be sent to groups wanting to hold off-site events and provided to Council liaisons. Diffendal will revise the statement by September.

Report of the President (cont.)

• **Resolution on Thurgood Marshall Papers at the Library of Congress (cont.).** Jimerson moved and Wallach seconded the adoption of a resolution in support of the Librarian of Congress in keeping open the Marshall papers. **PASSED.** The text of the resolution was printed in the July 1993 issue of *Archival Outlook*. The resolution will be sent to James A. Billington, Librarian of Congress; Senator Joseph Lieberman, chair of the Senate Subcommittee on Regulation and Government Information; Tom Hickerson, SAA chair of the Joint ALA/SAA Committee on Archives and Library Relationships; and to the general distribution list for SAA press releases.

Old Business

• **Executive Director Search Committee.** Wallach reported that the committee had held three meetings during which

they had prepared a list of criteria for an ideal candidate, developed a position announcement, identified outlets for advertising, sent letters to SAA leaders asking for recommendations to individuals encouraging them to apply, and arranged for an open forum as well as opportunities for private meetings with interested individuals at the Annual Meeting. The committee recommended a change in its schedule as originally proposed. In order to give the committee sufficient time for screening and interviewing applicants, it recommended moving the Council meeting, where finalists will be interviewed, from December to early January.

• **SAA Student Chapters.** Maher moved and Lowell seconded the adoption of guidelines for SAA Student Chapters. PASSED.

Wallach moved and Hedstrom seconded that Yakel serve as Council liaison to SAA Student Chapters for one year while the nature of a permanent liaison structure is considered. PASSED.

• **Enforcing SAA Code of Ethics for Archivists.** Duranti reported on the results of her research on enforcement of codes of professional ethics in general and the SAA code in particular. (The text of her report was published in the July 1993 issue of *Archival Outlook*.) The SAA code is a hortatory document, exhorting members of the profession to follow its guide; it was not intended to and cannot be enforced. Rather it was intended to guide SAA members to proper professional conduct and to inform the public about the behavior it should expect of every archivist. After general discussion, Van Camp moved and Wallach seconded that Council establish an Ethics

Committee to carry out the following responsibilities enumerated in Duranti's report: (1) to review on a continuing basis the Code of Ethics and to recommend periodically to Council refinements and revisions, (2) to rewrite periodically the code in harmony with the development of the profession (e.g. every ten years), (3) to establish programs of information and education for individuals and institutions, and (4) to assist archival institutions in developing their own codes of ethics. DEFEATED with Banks, Duranti, Hedstrom, Van Camp, and Wallach in favor; Hedlin, Janzen, Jimerson, Lowell, Maher, and Yakel opposed.

Lowell moved and Hedlin seconded that the current Committee on Professional Standards be asked to carry out or to make recommendations regarding developing the capability within the Society to carry out the four responsibilities enumerated above, and to report to Council at its meeting in January 1994. PASSED.

• **New Standing Committee on Terminology.** No report was received regarding this issue.

Adopt SAA Budget

Maher moved and Van Camp seconded the adoption of the SAA budget for FY93-94 that had been reviewed on June 11. PASSED.

New Business

• **Council Members on Nominating Committee.** Council selected Jimerson and Lowell as the Council members to serve on the 1993-94 Nominating Committee.

• **New Editorial Board Members.** Council selected the following individuals to serve new three-year terms on the Editorial Board: Ellen Garrison, Richard Klumpenhower,

Michael Widener, and Joel Wurl.

• **Dates for 1994 Council Meetings.** The following dates were chosen for the 1994 meetings of Council: January 5-9 (includes two days to interview finalists for Executive Director) and June 9-12 (includes one day for planning).

• **Register SAA Trademark.** There was discussion of a recommendation from a member, who is a copyright attorney, regarding registering the SAA initials and logo as a trademark. Jimerson moved and Duranti seconded that Diffendal make further inquiries and that unless there was a compelling reason not to proceed, to register the initials and logo as a trademark. PASSED.

• **Resolution on Post-Cold War Archives.** Van Camp moved and Jimerson seconded a resolution calling on governments around the world to provide timely and equitable access to their records in this post-Cold War era. PASSED.

The text of the resolution was published in the July 1993 issue of *Archival Outlook*. Copies will be sent to the International Council on Archives for distribution to archivists in other countries, to historical associations, and to the general distribution list for SAA press releases.

The meeting recessed at 5:00 p.m. It reconvened at 8:00 a.m., Sunday, June 13. Present were all officers and Council members, SAA staff members Diffendal and Mills, and planning facilitators Nancy McKeon and Katherine Spears.

• **Council Committee on Goals and Priorities.** The facilitators summarized the results of Council's third annual Planning Day, which was held on Thursday, June 10. The current officers and Council had been joined by their newly

elected colleagues (Maygene Daniels, Karen Benedict, Tim Ericson, and Tom Hickerson); Paul Conway, chair of the SAA Committee on Goals and Priorities; and SAA staff members Anne Diffendal, Teresa Brinati, Jane Kenamore, Jim Sauder, and Carolyn Aeby. The work of the group was facilitated by Nancy McKeon and Katherine Spears of McKinsey and Company.

The work of that day focused on a strategic planning document that had been developed by CGAP and revised by that committee after review and comment by members and by the SAA leadership. The day was devoted to a review of the goals for the Society, work

toward writing the objectives in behavioral form, and consideration of ways to institutionalize the planning process in the Society.

Following the review of this work on Sunday morning, Council decided to convene a smaller planning group within the next month to produce a document that would be distributed to the membership at the Annual Meeting in New Orleans.

Wallach moved and Hedlin seconded that the Committee on Goals and Priorities be reconstituted to include six members appointed by the President plus three members of Council, *ex officio* but with full voting privileges. Wallach will draft new

guidelines for CGAP for approval by Council in September. PASSED.

Council thanked McKeon and Spears for their excellent work.

Next Council Meeting

Council will meet twice in New Orleans on the occasion of the SAA Annual Meeting: Tuesday, August 31, 8:00am-5:00pm; and Saturday, September 4, 5:30 p.m. - 7:30 p.m.

Adjournment

Upon a motion by Jimerson and second by Hedstrom, the meeting was adjourned at 11:00 a.m.

ANNE P. DIFFENDAL
Executive Director

Approved: 31 August 1993

Society of American Archivists Council Meeting Minutes

31 August 1993

New Orleans

The meeting was called to order by President Anne Kenney at 8:06 a.m. Present were Vice President Edie Hedlin, Treasurer William Maher, and Council members Brenda Banks, Luciana Duranti, Margaret Hedstrom, Mary Janzen, Randall Jimerson, Waverly Lowell, Anne Van Camp, William Wallach, and Elizabeth Yakel. Also present were incoming Vice President Maygene Daniels; incoming Council members Karen Benedict and Tom Hickerson; and Executive Director Anne Diffendal.

Amend and Approve Agenda

There were several additions to the agenda. Janzen moved and Jimerson seconded to approve the agenda as amended. PASSED.

Approve Minutes of Previous Meeting

Jimerson moved and Yakel seconded to approve the minutes of June 11-13, 1993. PASSED.

Report of the Executive Committee

Banks reported that the Executive Committee had reviewed issues to be discussed during upcoming meetings with Page Miller of the National Coordinating Committee for the Promotion of History; discussed the status of the search for a new Archivist of the United States; and reviewed the Council meeting agenda.

Report of the President

• **Committee to Approve the Minutes of the Business**

Meeting. Kenney announced her appointments to this committee: Glen Gildemeister, Sara Harwell, and Paul Novosal. In the absence of any of these individuals, she will name others at the meeting.

• **Discussion with Page Miller.** Kenney reported on the discussion at a breakfast meeting with Miller that also included Hedlin and Diffendal. Topics included the current status of the search for a new U.S. Archivist, SAA's new strategic plan, and the relationship between SAA and NCC.

• **Search for New U.S. Archivist.** Kenney reported that the new Executive Committee, with the continuing support of herself and Banks will scan the fields of higher education administration and information technology management to try and identify potential candidates to recommend to the White House Personnel Office for further investigation. Meanwhile, this group will contact and arrange for meetings of archivists with any persons under consideration by the white House.

• **National Union Catalog of Manuscript Collections.** Kenney will write to Winston Tabb of the Library of Congress thanking him for responding to the profession's concerns about the potential discontinuation of this reference tool, and supporting an LC working group's recommendations for its continuation in modified form.

• **National Archives and Records Administration's Strategic Plan.** Kenney called Council's attention to a letter

from Acting Archivist Trudy Peterson requesting comment on a summary of progress to date on NARA's strategic plan. Kenney will respond by emphasizing the need to move forward on objectives relating to consultation with outside constituencies and requested other comments from Council.

• **American Library Association Resolution on the Marshall Papers.** Kenney called Council's attention to a resolution on access to the Thurgood Marshall Papers at the Library of Congress that was passed at the membership meeting of ALA.

• **Discussion with Page Miller of NCC.** At 9:00 a.m. Miller arrived to brief Council on the current status of issues in which NCC is involved. Topics included the PROFS case, declassification of federal records, appointments to the JFK Assassination Records Review Board, reauthorization and appropriations for the National Historical Publications and Records Commission, and Miller's participation in a new telecommunications policy roundtable. Miller reported that Mike Tankersley, an attorney representing Public Citizen in the PROFS case, will be seeking to have the Bush-Wilson agreement regarding the papers of President Bush invalidated. Does SAA wish to send a letter in support of this action?

• **Discussion with John Fleckner, SAA Representative to NHPRC.** Fleckner briefed Council on some significant changes initiated by the Commission during the past two

years. NHPRC has adopted a strategic plan that will strengthen state-level planning and organization and focus on electronic records. The Commission's plan is linked to priorities established by SAA and also identifies priorities by which decisions on funding proposals will be made.

Report of the Vice President

● **Appointments.** Hedlin reported that she had made 99 appointments and had almost completed the process.

Report of the Treasurer

● **Final Financial Statements for FY92-93.** Maher generally reviewed the annual statements, especially for the benefit of new Council members. His report to the Business Meeting will address these issues more fully.

● **FY92-93 Audit.** Because the external financial audit was completed only last week, Council will review the report at its meeting in January.

● **Current Financial Statements.** Because the current fiscal year began on July 1, the current financial statements offer little meaningful information and thus were not reviewed.

Report of the Executive Director

On behalf of other staff, who were attending to duties at the Annual Meeting, Diffendal gave brief reports on the status of the Publications, Continuing Educations and Preservation Management Training Programs and on the Annual Meeting.

For the 1994 Annual Meeting in Indianapolis, Council approved devoting time in the afternoon traditionally set aside for meetings of Committees, Boards, and Task Forces to a three-hour Leadership Seminar. The content of this seminar is to be developed by the Com-

mittee on Goals and Priorities in consultation with the Executive Director.

Council requested that Debbie Mills prepare an analysis of membership recruitment and retention efforts for the January Council meeting.

Diffendal reported that the SAA logo has been registered as a servicemark.

Reports from Council Committees

Council Committee on Committees

● **Committee on Automated Records and Techniques.** The report regarding this committee was deferred until the next Council meeting on September 4, 1993.

● **Membership Committee.** There is no recommendation at this time on a Mentoring Program. A report will be presented to the Council Meeting in January.

● **Professional Standards Committee.** Council considered a resolution from the committee regarding the following provision in the SAA Constitution: "No member of the Society shall be elected a Fellow who has not been a full member of the Society in good standing for at least seven (7) years immediately preceding election."

There are cases where the membership of individuals nominated for Fellow has lapsed within the preceding seven years. When such an individual sends a dues payment, thus reinstating their membership, the date of receipt of that payment is entered in the Society's automated membership database, replacing the original join-date (or in the case of multiple lapses of membership, the last date when membership was resumed). Thus, individuals who first joined SAA longer than seven years previously, but

whose membership lapsed in the intervening years, will show a date for the start of their membership that corresponds to the date when their current membership period began, not their original date of joining.

In order to allow members whose membership may have lapsed for any number of reasons to be considered for election as Fellows, on behalf of the Professional Standards Committee, Van Camp moved and Jimerson seconded the following resolution: "That the requirement of 'continuous membership' in SAA for seven consecutive years to be eligible for election as a Fellow shall be met by information located through a search of the Society's records. In cases in which these records do not confirm 'continuous membership' for seven years, the potential Fellow will be asked to affirm such membership in a simple signed statement submitted to the chair of the Professional Standards Committee."

To bring the language of the resolution into conformity with the SAA Constitution, Maher moved and Jimerson seconded the following amendment: In the first sentence, replace the words "'continuous membership' in SAA for seven consecutive years to be eligible for" with the words "membership in good standing for at least seven years immediately preceding." In the second sentence, replace the words "'continuous membership' for seven years" with the words "such membership." The amendment PASSED with Janzen, Jimerson, and Maher in favor; Lowell and Yakel opposed; and Banks, Duranti, Hedlin, Hedstrom, Van Camp, and Wallach abstaining.

In the debate on the resolution itself Council members pointed out that the contributions of a member ought to be

more important than a requirement for continuous membership in determining candidates for Fellow. That many reasons, including errors in records keeping, can contribute to lapse of membership. This resolution offers a means for members to become Fellows if there is some reason or explanation for a lapse. Others argued that seven years continuous membership is not an undue requirement. That individuals who have lapsed can be considered for election as a Fellow seven years after their membership resumes. Some argued against the resolution because it could cause embarrassment or put an unnecessary burden on an individual to explain a lapse or to need to prove continuous membership.

The resolution as amended was DEFEATED with Banks, Hedlin, Janzen, Jimereson, and Maher in favor; Duranti, Hedstrom, Lowell, Van Camp, and Yakel opposed; Wallach abstaining; and Kenney, to break the tie, voted in opposition.

Other items in the agenda were taken up, and Council later returned to this issue. There was general discussion on how to alert members that, failing to pay their annual dues by the date given on their dues renewal notice, their membership would expire. Staff was instructed to so indicate on the renewal notices.

Maher moved and Banks seconded (a) that dues renewal notices also inform the member of the date on which their membership began according to the Society's records, (b) that the member be asked to inform the office if they believe otherwise, and (c) that the date given by the member be accepted as their beginning date be so entered into the Society's membership database as that

member's starting date. PASSED.

Van Camp moved and Jimereson seconded to reconsider the resolution from the Professional Standards Committee as amended by Maher. DEFEATED with Janzen, Jimereson, Maher, and Van Camp in favor; Banks, Duranti, Hedlin, Hedstrom, Lowell, and Yakel opposed; Wallach abstaining.

Hedlin moved and Banks seconded the following: The requirement of membership in good standing for at least seven consecutive years to be eligible for election as Fellow shall be met by information located through a search of the Society's records. In cases in which these records do not confirm such membership, the potential Fellow will be asked to explain reasons for membership lapses. The Committee on Professional Standards may take the explanation into account in making its decision." PASSED with Banks, Duranti, Hedlin, Hedstrom, Jimereson, Lowell, Maher, and Yakel in favor; Janzen and Van Camp opposed; and Wallach abstaining.

• **Proposed Committee on Terminology.** No report or recommendation was received from members interested in having such a committee established.

• **Committee on Institutional Evaluation and Development.** Janzen reported that new appointments are almost complete. Council's charges to the committee of last year were renewed: (1) to complete the review and development of the statement of "Principles of Institutional Evaluation" for submission to the SAA Standards Board, and (2) to complete the revision of a survey questionnaire and an RFP to be sent to vendors who could conduct the proposed survey of archival institutions. Further, the commit-

tee is charged with reviewing its future purpose.

Council Committee on Sections and Roundtables

• **Electronic Records Roundtable.** Van Camp moved and Lowell seconded that Council approve in principle the Roundtable's co-sponsorship with the School of Information Science and Policy of the State University of New York at Albany of a managed or "closed" Electronic Records Listserv; that this listserv shall be operated for one year as a pilot project; that the Roundtable will present to Council in September 1994 an analysis of this project, including a set of policies and procedures that can serve as a model for other SAA groups. In granting its approval, Council specified that the listserv be open to all SAA members; that a statement disclaiming SAA responsibility for statements posted be part of the policies and all participants so informed; and that a copy of SUNY Albany's information resource management policy statement be secured for the SAA office files. PASSED.

• **African American & Third World Archivists Roundtable.** Banks presented for Council's information a recommendation from the Roundtable to the SAA Awards Committee for the establishment of a new award to support the attendance at the SAA Annual Meeting of minority students enrolled in postsecondary educational institutions. Should the Awards Committee accept this recommendation, Council will be asked to approve it at its meeting on September 4, 1993.

The meeting recessed for lunch at 12:05 p.m. and reconvened at 1:25 p.m.

Council Committee on Task Forces, Boards, and Representatives

● **Task Force on Library Archives.** Jimerson reported that the Task Force had not made progress on a brochure, and because the term for which it had been established has expired, the chair requested that the group be disbanded. Council accepted this report and request.

● **Editorial Board.** Hedstrom reported that she and the Board were gathering information on a number of issues and distributed a list regarding the procedures, composition, and functioning of the Board.

Council Committee on Goals and Priorities

Wallach moved and Jimerson seconded the adoption of the document, "Leadership and Service in the 1990s: A Strategic Plan for the Society of American Archivists." PASSED.

Jimerson recommended that a part of each January Council meeting be regularly set aside to review progress on the objectives in the plan.

Committee members distributed materials for Council members to use as "talking points" as they attended the meetings of the various SAA

groups at this Annual Meeting. These materials were reviewed as was a list of which Council members would attend which meetings.

Wallach reported that revised guidelines for the SAA Committee on Goals and Priorities would be presented for Council approval at its January meeting.

Kenney offered a proposal to set up a Congressional Liaison Working Group to identify means for enhancing Congressional relations and increasing SAA's presence regarding legislative matters of concern to the archival profession. The purpose of this group is to assist Council in developing the means to pursue objectives under Goal I on the new strategic plan. The group would be asked to make a report at the January Council meeting. Maher moved and Wallach seconded the adoption of Kenney's written proposal for this group. PASSED.

Old Business

● **Executive Director Search Committee.** Wallach reported on the work of the committee and its projected schedule in the months ahead and characterized the inquiries and applications received. The deadline for applications is September 15.

New Business

● **Application for New Student Chapter.** Yakel reported that a request to establish a new SAA Student Chapter had been received from the University of Texas at Austin. The application materials being complete and in order, Yakel moved and Van Camp seconded the establishment of this new Student Chapter. PASSED.

● **Orientation for New Officers and Council Members.** New officers and Council members were reminded of the time for their orientation meeting.

● **Function to Attend at the Annual Meeting.** Members reviewed the functions that members of the Council normally attend at all Annual Meetings.

Next Council Meetings

Kenney reminded members that the next meeting of Council will be held at 5:30 p.m., September 4. Dates for the 1994 Council meetings, which were set previously, are January 5-9 and June 9-12.

Adjournment

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

ANNE P. DIFFENDAL
Executive Director

Approved: 5 January 1994

Society of American Archivists Council Meeting Minutes

4 September 1993

New Orleans

The meeting was called to order by President Edie Hedlin at 5:30 p.m. Present were Vice President Maygene Daniels, Treasurer William Maher, and Council members Karen Benedict, Luciana Duranti, Tim Ericson, Margaret Hedstrom, Tom Hickerson, Mary Janzen, Randall Jimerson, Waverly Lowell, and Elizabeth Yakel. Also present was Executive Director Anne Diffendal.

Amend and Approve Agenda

There were several additions to the agenda, as well as the deletion of consideration of a Standards Board recommendation on the ALA-SAA Joint Statement on Access, which was not received. Jimerson moved and Ericson seconded to approve the agenda as amended. PASSED.

Report of the President

- **Announcements.** Upon Hedlin's call for announcements, Jimerson reported that the Committee on Goals and Priorities will request that Current Activity Reports/Three Year Plans be submitted by the Society's units by November 1, rather than January 1 as customary, in order to present a summary report to Council at its January meeting.

- **Search for Archivist of the United States.** Hedlin reported that the Executive Committee will continue to oversee SAA's participation in this process; that Anne Kenney and Brenda Banks, as well as Anne Diffendal, will continue to be involved in order to take

advantage of the personal contacts made during the past year. Hedlin will introduce herself to members of the White House Personnel staff, and will contact allied professional associations to inform them of SAA's continuing role. Daniels will meet with one of the persons currently being considered for the post. Council members were asked to identify potential candidates and forward their vitas to Diffendal.

- **Task Force on Archival Alliances.** Hedlin announced her intention of proposing a new task force at the January meeting to Council to identify the most important strategic alliances for SAA to pursue in order to implement its new strategic plan.

Report of the Vice President

- **Appointments.** Daniels reported that she had begun to think about appointments and will be asking for help from Council members in identifying potential appointees.

Reports from Council Committees

- **Electronic Records Roundtable.** Lowell reported on her discussion with leaders of the roundtable regarding Council's concerns about the new listserv to be managed by Tom Ruller on behalf of the group. Because the concerns were being addressed, Council let stand its decision of August 31 to approve this project as a pilot for one year under the conditions it had outlined.

- **Architectural Records Roundtable.** Lowell reported

that no word had yet been received from The Getty Grant Program regarding a request to fund a conference on the appraisal of architectural records. Nevertheless, in anticipation of favorable notice, planning for the conference to be held in April 1994 is proceeding.

- **Task Force on Sections and Roundtables.** Council members on this Task Force reported that the general response from the membership and from group leaders indicates that these structures generally fill perceived needs. They may need some change, but nothing radical.

- **Awards Committee.** Janzen moved and Lowell seconded the establishment of a new Minority Student Award proposed by the African American and Third World Archivists Roundtable, as discussed at the August 31 meeting with minor revisions to the statement of criteria. PASSED. Lowell moved and Jimerson seconded that developing an endowment to fund this new award be the objective for the Society's 1993-94 Annual Giving campaign. PASSED.

Janzen moved and Duranti seconded a request from the Awards Committee to revise the statement of criteria for the Distinguished Service Award. The revisions add to the definition of institutions eligible for this award beyond archival institutions and archival educational programs to include "nonprofit or governmental organizations providing services or support to the archival community." Discussion centered

on the question of broadening the focus of this award beyond repositories to recognize that archival work is undertaken in many venues. **PASSED** with Benedict, Ericson, Duranti, Hedstrom, Hickerson, Janzen, Lowell, and Yakel in favor; Daniels, Jimerson, and Maher opposed.

● **Committee on Automated Records and Techniques.** Duranti reported on the response to Council's request in June that the Committee prepare revised guidelines and develop procedures to reflect its charge regarding automated techniques together with its traditional concern with automated records. The committee has requested that responsibility for automated techniques be removed from its charge and that its name be changed to the Committee on Electronic Records. There was general discussion of whether CART has been operating truly as a committee or rather more like a section or a roundtable. Further, whether automated records and techniques should be separate or not.

Hedlin named a working

group consisting of Duranti, Yakel, and Hickerson to prepare a report by early December for consideration at the January Council meeting. The group will address (1) whether automated records and automated techniques should be dealt with as an interrelated whole by SAA or not, (2) what is the most appropriate structure for responding to the needs expressed by the SAA membership in relation to automated techniques, and (3) what is the best structure for the accomplishment of Goal 3 of the SAA Strategic Plan.

● **Editorial Board.** Hedstrom reported that members of the Board and Richard Cox, editor of *The American Archivist*, want to set up a separate editorial board for the journal and that Hedstrom had been asked to help in preparing new board guidelines. She asked for a sense of Council on this issue. There was general discussion about the advantages and disadvantages including questions about appointment and reporting, and whether a subcommittee of the current board could answer the need.

Other Business

● **Council Member to Serve on Executive Committee.** Council members selected Jimerson to represent them as a member of the Executive Committee for the upcoming year.

● **Report from Executive Director Search Committee.** Frank Cook, co-chair, of the Executive Director Search Committee reported on the work of the committee to date, offered some summary numerical data on the inquiries and applications received, and reviewed the group's upcoming schedule. He asked that Council consider how to structure the transition period.

● **Dates and Location of Next Council Meeting.** Hedlin reminded the group that the next meeting of Council will be held in Chicago, January 5-9, 1994, including two days for interviews of finalists for the Executive Director position.

Adjournment

Upon motion by Jimerson and second by Maher, the meeting was adjourned at 6:40 p.m.

ANNE P. DIFFENDAL
Executive Director

Approved: 5 January 1994

Annual Index

Volume 56 (1993)

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. 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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