

**Society of American Archivists  
Council Meeting  
May 22 - 24, 2014  
Chicago, Illinois**

**Action: Updated SAA Records Retention Policy**

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In January 2013, the SAA Council tasked three members of the 2012-2013 Council (Kaplan, Landis, and McCrea), a representative from the Records Management Roundtable (Houston), the SAA archivist at the University of Wisconsin-Milwaukee (Doylen), and the designated records officer for the SAA office (Craig) with “draft[ing] SAA records retention guidelines for consideration by the Council.”<sup>1</sup> This report and the corresponding Records Retention Policy (RRP) for both SAA and the SAA Foundation, contained in the Appendix, are the outcome of this group’s activities. The RRP provides an overarching general policy for SAA and includes records schedules for individual series for both SAA and the SAA Foundation.

**BACKGROUND**

For nearly three years the SAA Council has expressed an interest in “a ‘digital preservation strategy’ for the persistence of SAA’s digital information” and in the “relationship between web storage and SAA’s records retention schedule.” For an in-depth overview of the status of the Council’s investigation of issues around the long-term preservation of and access to SAA’s digitized and born-digital content (both published and unpublished), refer to the January 2014 Council Agenda item VI.E.<sup>2</sup> For the purpose of the discussion and recommendations below, note that in January 2013 the Council determined that an updated overall RRP for SAA should be created before more work was done on a framework for digital content. The Council tasked the *ad hoc* group mentioned above with drafting that RRP for its consideration.

The RRP presented here, which includes a general policy, recommended series, record descriptions, and retention and disposition information, is a result of review of the existing records management documentation and policy statements for SAA records, review of the guide to SAA’s records housed at the University of Wisconsin-Milwaukee (UWM), the expertise of the staff at UWM Archives, a thorough review of the SAA website, consultations with SAA staff, the “local knowledge” of past and current SAA Council members, and seventeen conference calls of the *ad hoc* group between May 2013 and April 2014.

**DISCUSSION**

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<sup>1</sup> <http://www2.archivists.org/sites/all/files/0113CouncilMinutes.pdf>, Item 0113-IV-K, pages 13-14.

<sup>2</sup> [http://www2.archivists.org/sites/all/files/0114-VI-E-SAARecords\\_Final.pdf](http://www2.archivists.org/sites/all/files/0114-VI-E-SAARecords_Final.pdf)

As noted in the January 2014 Council Agenda item, the goal of this *ad hoc* group has been to create a RRP that identifies, as comprehensively as possible, the records series and record types that should be acquired by and be permanently retained as part of the SAA Archives at UWM. A secondary goal, for the benefit of the SAA office staff, was to include in the schedule recommended retention advice for the non-permanent records that are most easily identified from the SAA office file structure, as well as the permanent records that should remain in the SAA office.

The RRP applies to records in the existing SAA Archives as well as to current records and provides a framework for ensuring the preservation and accessibility of core documentation of the work of the Society's members, leaders, and staff. The introduction to the RRP identifies those responsible for maintaining and revising the RRP schedules as needed. Successful implementation of this RRP relies on the transfer to UWM by SAA staff of physical and electronic materials designated as "Permanent-Archives," as well as on the crawl and capture by Archive-It, a web archiving service subscribed to by UWM, of records placed onto the SAA website.

## **RECOMMENDATIONS**

**THAT the May 2005 Council action establishing an authorization for an SAA records management program and delegating authority for approving disposition and retention schedules to the Executive Committee be rescinded, and**

**THAT the Records Retention Policy contained in Appendix A, which returns authority for approving disposition and retention schedules to the Executive Committee, be adopted as the authorization for SAA's records management program.**

**Support Statement:** Records retention guidelines, made publicly accessible and commonly understood and implemented, are a critical tool for any organization, but especially one with the mission and complexity of SAA. This RRP:

- Provides a general policy framework for ensuring the preservation and accessibility of core documentation of the work of the Society's members, leaders, and staff;
- Communicates, through specific record series schedules, to SAA leaders and members how most of their records of enduring value will be captured and maintained by UWM; and
- Communicates, through specific record series schedules, to SAA staff which of their records are likely to warrant permanent retention.

**Impact on Strategic Plan:** SAA is committed to transparency, accountability, integrity, and professionalism in conducting its activities. The adoption of a new RRP for SAA supports Strategic Plan Goal 4: Meeting Member Needs specifically by communicating with and among members about how the record of their activities and the activities of the organization will be captured and retained.

**Fiscal Impact** The adoption of this RRP has little short-term fiscal impact for SAA. Some staff time may be expended to review and discard non-permanent records and to transfer permanent

records to UWM. Fiscal impact may be felt if future Councils determine that enhancements to access mechanisms and interface are warranted beyond the standard Archive-It template for web crawl files. There will be a real dollar cost to SAA if it chooses to use UWM's web archive and servers to provide long-term access to large digital files of audio and video recordings, including oral histories conducted with members and Annual Meeting sessions.

Finally, UWM is in the early stages of providing a web archiving service for SAA, which was not considered in the 2001 agreement signed by SAA designating the UWM Archives as the home for its archives. The current assessment of the ongoing costs of providing this web archiving service may lead to a request from UWM for annual support to sustain UWM's efforts to capture, preserve, and provide access to archival files of the SAA website and other future born-digital content.

## QUESTIONS FOR DISCUSSION

In the process of drafting this RRP, a number of questions came up that the *ad hoc* group responsible for it feels should be addressed by the Council.

- Should the Archives and Archivists (A&A) List archives post-2006-09-28 be included in Ibiblio archive (<http://www.ibiblio.org/>)? We recommend that the Council consider transferring additional backfiles of listserv messages from SAA servers to ibiblio.org (repository for the 1993-04-21/2006-09-28 listserv messages) periodically to ensure continued preservation and consolidated access. This question came up in discussions of designating the A&A List on SAA's servers (this is only the 2006-09-28 to the present listserv messages) for temporary retention in the context of the Membership Series.
- The Council should at some point consider whether to pursue additional preservation strategies for session recordings currently stored at the SAA Archives on CD-ROMs or DVDs.
- The Council and SAA staff should consider outreach to promote the availability and use of the SAA Archives.
- The *ad hoc* group discussed the "notes" version of Council meeting minutes that is maintained by the SAA staff. The Council should consider whether or not this version of the minutes warrants permanent retention in the Archives, and if so, should have access restrictions for a period of time. (Reference: Council, Executive Committee, Elected Officers, and Nominating Committee Series)
- Once this RRP is approved, we recommend publicity for its existence such as: an *Off the Record* blog post and an *Archival Outlook* article coauthored by several *ad hoc* group members and featuring component group records management as part of the 2014 Leadership Orientation and Forum (perhaps utilizing SAA Archivist Michael Doylen as a speaker).

**APPENDIX A**

**RECORDS RETENTION  
POLICY FOR  
THE SOCIETY OF  
AMERICAN ARCHIVISTS  
(SAA)  
AND  
THE SAA FOUNDATION**

**Adopted:** YYYY Month DD

# RECORDS RETENTION POLICY FOR THE SOCIETY OF AMERICAN ARCHIVISTS (SAA) AND THE SAA FOUNDATION

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## Introduction

### The SAA Archives and SAA's Records Retention Policy (RRP)

Section VII of the *Constitution of the Society of American Archivists*<sup>1</sup> states:

"The records of the Society, of the Council, and other units of the Society shall be preserved by the officers, Councilors, the Executive Director, and unit chairs, and shall be promptly turned over by them to their successors. Noncurrent records shall be appraised by direction of the Council upon recommendation of the Society's archivist, those records of continuing value shall be placed for preservation in the Society's official archives, and the Council shall determine a policy of access to these records."

In 2001, the Society of American Archivists (SAA) designated the University of Wisconsin - Milwaukee (UWM) as its official archival home, and named the head of its Archives Department as SAA Archivist. SAA's archives dating from the Society's founding in 1936 are described in an online finding aid<sup>2</sup> and open to researchers in the UWM Archives' reading room. Recognizing that a significant portion of SAA's current records are now shared via the Society's website, in 2014 the UWM Archives, with Council's approval, initiated a web crawling program, still in its early experimental phase, to capture, preserve and provide access to SAA current born-digital permanent records.

SAA's RRP provides a framework for ensuring the preservation and accessibility of core documentation of the work of the Society's members, leaders, and staff. It communicates to SAA leaders and members how their records of enduring value will be captured and maintained either by the UWM or by the SAA Office.

### General Policy Statement for Records Retention

*Scope:*

The RRP contains records schedules that identify official SAA records of permanent value and provides direction for their retention and disposition either by the SAA Office or by the SAA Archives. It also identifies non-permanent records that can be kept as long as administratively useful or legally necessary and then destroyed. It applies to records in the existing SAA Archives as well as to current records, and to SAA staff,

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<sup>1</sup> <http://www2.archivists.org/governance/handbook/section1/constitution>

<sup>2</sup> <http://digital.library.wisc.edu/1711.dl/wiarchives.uw-mil-uwmms0172>

elected and appointed leaders, component groups, and members.

*Retention Period:*

The RRP in most cases deliberately avoids suggesting specific retention periods for temporary records, as SAA records creators are in the best position to determine how long to keep materials before discarding them. For records scheduled for permanent retention, the SAA Office staff and SAA leaders should work out the best arrangements in collaboration with both the designated records liaison in the SAA Office and the SAA Archivist.

*Disposition:*

The RRP avoids identifying the manner in which records identified for permanent retention will be transferred to the SAA archives. Most permanent records will be harvested by UWM during an annual crawl of the SAA website. In other cases, transfer may be accomplished by shipment of physical records or delivery of electronic records to a file-sharing site, the details of which will be worked out between the SAA Archives and the designated records liaison in the SAA Office.

*Revisions, Additions, and Review:*

The Council delegates to the Executive Committee ongoing authority to review and approve retention and disposition schedules for SAA records on behalf of the Council. Changes to this RRP--discussed by the appropriate SAA leaders, the designated records liaison in the SAA Office, and the SAA Archivist--may be recommended to and approved by the Executive Committee at any time. If ten years have passed from the most recent RRP revision date, or if a determination is made that the general policy statement contained in this RRP requires revision, the Executive Committee will initiate a review of the RRP, to be undertaken, at minimum, by the SAA Archivist, the SAA Office's designated records liaison, and representative members of the Council.

*Roles and responsibilities:*

*SAA Archivist:*

- Develops records schedules in consultation with the records creators including staff, officers, and component group leaders; works primarily with the SAA Office's designated records liaison. The responsibilities and authority of the SAA Archivist are defined in the 2001 agreement between SAA and UWM and include appraisal, processing, preservation and outreach.

*Designated records liaison:*

- A member of the SAA staff who serves as the point person for managing the records of the SAA Office, communicating with the SAA Archivist, referring questions to the Archives, and facilitating transfer of records to the SAA Archives as indicated by the records schedule.

## Society of American Archivists Records Schedules

### Annual Meeting Series Description:

Series includes records created or maintained in conjunction with the Annual Meeting. Generally, records related to planning, publicity, and sessions. Records of the Host Committee and Program Committee should be managed according to the schedule for Council-Appointed Component Groups. Financial records should be managed according to the Finance Series. Legal contracts should be managed according to the schedule for Corporate Records and Governance.

SEE ALSO: Council-Appointed Component Groups and External Representatives Series; Finance Series; Publications and Communications Series; Executive Director Series.

<b>Annual Meeting Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*<sup>3</sup></b>
<i>Annual meeting program</i>	The full description of the meeting as it actually happened.	PERMANENT-Archives	Transfer to Archives. Continue to send print programs to the Archives as long as they are produced.	*
<i>Audiovisual information</i>	Logistics of AV setup, essentially the working file for meeting coordination.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Feedback and survey results</i>	Member feedback on sessions and the annual meeting generally	TEMPORARY	Retain in SAA office as long as administratively necessary, summarizing in reports if important for long-term retention, then destroy.	
<i>Hotel and convention center contracts</i>	Contracts and other legal documents relating to SAA annual meeting sites.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Hotel and meeting</i>	Databases, spreadsheets,	TEMPORARY	Retain in SAA office as	

<sup>3</sup> Throughout all the records schedules in this document, a temporary column indicates with an asterisk (\*) the types of records that we hope to capture as the UWM Archives begins to use the Archive-It (<https://www.archive-it.org/>) web archiving service to conduct crawls of the SAA website. This column may be removed once the SAA Archivist has determined that the key records here identified are being adequately captured in website crawls.

<i>room assignments and other logistics documents</i>	and documents used in allocating hotel space and otherwise managing the annual meeting.		long as administratively necessary, then destroy.	
<i>Meeting branding artwork</i>	Graphic design, banners, logos, photographs used in meeting branding artwork.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Photographs</i>	Images taken by SAA's contract photographer	PERMANENT-Archives	Send to Archives annually along with photographer contract information for each batch of photographs so that Archives has necessary copyright-related information. SAA's contract with each photographer should specify whether SAA or the photographer retains copyright for the photographs taken by that photographer. The SAA Archivist may appraise and develop sampling methodology if volume becomes problematic.	
<i>Presentation files</i>	Slides and handouts from speakers' presentations	TEMPORARY	Retain on SAA website for as long as possible.	
<i>Promotional materials and collateral</i>	Chico bags, pens, catalogs, promotional mailers, and other tchotchkes handed out at the annual meeting.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Session recordings</i>	The official session recordings commissioned by SAA.	PERMANENT-Archives	Transfer annual session recordings via CD-ROM once no longer needed by SAA Office.	
<i>Speaker release forms</i>	Contracts that permit SAA to do something with session recordings.	PERMANENT-Office	Retain in SAA office for operational needs. Do not transfer to Archives.	

### **Council-Appointed Component Groups and External Representatives Series Description:**

Series includes records created or maintained by Council-appointed groups and, when they exist, their sub-groups, including task forces, working groups, boards, and committees, as well as SAA's representatives to external organizations. Some Council-appointed groups (e.g. Awards Committees) may require more detailed record schedules to address confidentiality concerns; these specific schedules should only

include elements that differ markedly from this general schedule. In cases of duplication, the copy of record submitted to Council stands as the official record. Additionally, the records of the Nominating Committee, as an elected rather than appointed committee, are scheduled as part of the Council, Executive Committee, Elected Officers, and Nominating Committee Series.

Council-appointed groups should make every effort to post records designated for permanent retention on their SAA microsite, and should be aware that SAA and the SAA Archives will make no special effort to preserve externally hosted content.

SEE ALSO: Council, Executive Committee, Elected Officers, and Nominating Committee Series.

<b>Council-Appointed Component Groups and External Representatives Series</b>				
<b>General Schedule</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Charge</i>	Council-appointed groups typically have charges approved by Council and posted on the SAA website.	PERMANENT-Archives	Transfer to Archives. Charges are approved by the Council and will also be captured as part of the agenda materials for meetings of the Council.	*
<i>Correspondence</i>	Communications among component group members on SAA-hosted distribution list or using tools maintained by group members.	TEMPORARY	Retain for some amount of time in the backfiles of SAA's listserv software, then destroy.	
<i>Meeting minutes</i>	Minutes of in-person or virtual meetings.	PERMANENT-Archives.	Transfer to Archives.	*
<i>Reports</i>	Annual reports or situational, one-off reports, white papers, and other	PERMANENT-Archives	Transfer to Archives. Annual reports of Council-appointed groups will also be captured	*

	documents.		as part of the agenda materials for Council's January meeting each year.	
<i>Working documents</i>	Working files and planning documents created by Council-appointed component groups in the process of doing their work.	TEMPORARY	Retain as long as files are important to the work of the group, then destroy.	
<b>Awards Committee Sub-Series</b>	<b>Scope note:</b> The following applies, in addition to the general schedule above, to the records generated by the Awards Committee and its Sub-committees.			
<i>Administrative files</i>	Files created and used by SAA staff, Awards Committee, and sub-committee chairs and members in their annual administration and execution of the awards competition. Includes, for example, procedures, check requests and forms, sub-committee selection files, awards promotion materials, templates used by the committee, and files relating to plaques and certificates.	TEMPORARY	Retain as long as important to the work of the group, then destroy.	
<i>Application packets</i>	Packets submitted	TEMPORARY	Retain as confidential	

	by nominators for the various awards. These should be treated as confidential		documents while committee is deliberating and destroy once recipient(s) has been selected.	
<i>Information about award recipients</i>	Award citation and biographical data published on the SAA website.	PERMANENT-Archives	Transfer to Archives.	*

## Member-Affiliation Component Groups Series Description:

Series includes records created or maintained by SAA's Sections, Roundtables, and other member-affiliation groups such as Student Chapters. These groups are approved but not appointed by the Council. The focus of electronic-record collection for these groups will be the microsites allocated to the groups by SAA. Member-affiliated component groups should make every effort to post records designated for permanent retention on their SAA microsite, and should be aware that SAA and the SAA Archives will make no special effort to preserve externally hosted content. In cases of duplicated records, the copy submitted to Council stands as the official record.

SEE ALSO: Council, Executive Committee, Elected Officers, and Nominating Committee Series.

<b>Member-Affiliation Component Groups Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Bylaws</i>	Sections and Roundtables (not Student Chapters) must have bylaws that articulate such important issues as governance structures and elections.	PERMANENT-Archives.	Transfer to Archives. New and revised bylaws of member-affiliation groups other than Student Chapters are approved by Council and will also be captured as part of the agenda materials for meetings of the Council.	*
<i>Correspondence</i>	Communications among members of member affiliation component groups on SAA-hosted distribution list.	TEMPORARY	Retain in the backfiles of SAA's listserv software, then destroy.	
<i>Establishing documents</i>	Documents required by SAA in order for Council to approve the creation of a new groups.	PERMANENT-Archives	Transfer to Archives. Information about relevant establishing documents on the creation of member-affiliation component groups is included in the background information of the Council agenda items prepared prior to the Council's approval of	*

			proposed new groups.	
<i>Meeting minutes</i>	Minutes of in-person or virtual meetings.	PERMANENT-Archives	Transfer to Archives.	*
<i>Newsletters, brochures, and other publications</i>	Official publications of the member affiliation component groups posted to their SAA-hosted website.	PERMANENT-Archives	Transfer to Archives.	*
<i>Reports</i>	Annual reports and other reports, white papers, or documents posted by the group on its SAA-hosted website.	PERMANENT-Archives	Transfer to Archives. Annual reports of member-affiliation groups other than Student Chapters will also be captured as part of the agenda materials for Council's January meeting each year.	*
<i>Working documents</i>	Files relating to work and activities of an SAA member-affiliation component group.	TEMPORARY	Retained by component group leadership as long as administratively useful, then destroy.	

## Council, Executive Committee, Elected Officers and Nominating Committee

### Series Description:

Series includes records created or maintained by leaders elected by the full membership of SAA. This schedule covers records specific to those positions and not elsewhere scheduled; records created by other groups or units in SAA but used by elected leadership are scheduled in the series related to those units.

SEE ALSO: Executive Director Series

<b>Council, Executive Committee, Elected Officers, and Nominating Committee Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Council and Executive Committee agendas and meeting minutes</i>	Agendas include the attachments, reports, etc. for review and discussion at meetings. Minutes are a summary of the meetings.	PERMANENT-Archives	Transfer to Archives.	*
<i>Council and Executive Committee meeting logistics and working documents</i>	Includes hotel and restaurant contracts and other files relating to the mechanics of the Council's work, including the Action List spreadsheet maintained and updated between Council meetings.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Discussion listserv and other correspondence of the Council and the Executive Committee</i>	Working communications of the Council; the outcome of online votes conducted on the Council's listserv are recorded for the permanent record in the Executive Committee report at each Council	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	

	meeting.			
<i>Planning documents</i>	Periodically updated documents charting future directions for the organization or requesting member input, such as strategic plans and advocacy agendas.	PERMANENT-Archives	Transfer to Archives.	*
<i>Policies and procedures</i>	<i>Governance Manual</i> and appendices, and other organizational policies and procedures, as posted on the SAA website	PERMANENT-Archives	Transfer to Archives.	*
<i>Working files</i>	Documents maintained by and relating to the work of individual elected officers and councilors.	TEMPORARY	Retain with individual or in SAA office as long as administratively necessary, then destroy.	
<b>Nominating Committee Sub-Series</b>	<b>Scope note:</b> The following applies, in addition to the general schedule above, to the records generated by the Nominating Committee, which is an elected body.			
<i>Candidate statements, biographies, and election-related information for members</i>	Materials posted on the SAA website relating to the annual election for organization-wide offices.	PERMANENT-Archives	Transfer to Archives.	*
<i>Files relating to nominations and candidates</i>	Includes nominations submitted by SAA members and files on potential candidates assembled by members of the Nominating Committee. These should be treated as confidential documents.	TEMPORARY	Retain as confidential documents while committee is deliberating and destroy once an election has concluded.	
<i>Reports</i>	Annual report.	PERMANENT-Archives	Transfer to Archives. Annual report of the Nominating Committee is captured as part of the Council's August meeting agenda..	*

## Education Series Description:

Series includes records created or maintained by the Director of Education in the course of managing this SAA program area. The series includes both documentation of the administrative work of the Director of Education and documentation of the educational programs offered by SAA as a result of this work. Education Committee records are scheduled under Component Groups, Council-Appointed and External Representatives Series.

SEE ALSO: Executive Director Series; Component Groups, Council-Appointed, and External Representatives Series

<b>Education Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Administrative files</i>	Files relating to routine administration of the education program, including developing the annual education budget and marketing.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Certificate maintenance records</i>	Documentation of DAS certificate renewals.	TEMPORARY	The SAA office, and not the archives, is the appropriate place for longer-term retention of information regarding certification of individuals. Retain as long as administratively necessary, then destroy.	
<i>'Continuing Education Calendar' web pages</i>	Schedule of offerings of SAA.	TEMPORARY	Destroy when information is superseded.	
<i>'Continuing Education Catalog' web pages</i>	Includes information about specific courses being offered by SAA at any given time.	PERMANENT-Archives	Transfer to Archives.	*
<i>Contracts for developing, teaching, and offering workshops</i>	Signed contracts for SAA workshop developers and instructors, and for classroom and lodging facilities associated with physical workshops, or vendors for virtual	TEMPORARY	<ul style="list-style-type: none"> <li>For teaching and facilities contracts, retain in SAA office for duration of contract plus length of IL statute of limitations on civil lawsuits, then</li> </ul>	

	workshops.		<p>destroy.</p> <ul style="list-style-type: none"> <li>For workshop development contracts that explicitly deal with copyright in workshop materials, retain in SAA office for the duration of copyright, then destroy.</li> </ul>	
<i>Course materials</i>	Includes workbooks, pre-workshop assignments, exercises, handouts, and other material provided to workshop participants.	PERMANENT-Archives	Retain master file for each workshop in SAA office until superseded or workshop is no longer being offered, then transfer to Archives.	
<i>Curriculum and workshop development files</i>	All files associated with planning and maintaining the SAA continuing education curriculum, and individual workshops. For the latter, includes initial proposals, ongoing development documentation, and auditor comments.	PERMANENT-Archives	Retain in SAA office as long as administratively necessary, then transfer to Archives.	
<i>'DAS Curriculum and Certificate Program' web pages</i>	Includes FAQs relating to DAS, and detailed information about the structure of the curriculum and certificate requirements.	PERMANENT-Archives	Transfer to Archives.	*
<i>'Directory of Archival Education' and working files</i>	Includes directory and files relating to planning and implementing online directory, including institutional subscriptions.	TEMPORARY	Retain in SAA office and on SAA web server until superseded, then destroy.	
<i>Education matrices</i>	Annual summaries of offerings by the Education Department and included in Council reports	TEMPORARY	Retain in SAA office until incorporated into Education Director's report to the Council, then destroy.	
<i>Exam planning and results files</i>	Includes planning materials relating to exams (individual courses and comprehensive), exam results, and spreadsheet documenting completion of course exams in various tiers required to sit for the comprehensive	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	

	examination.			
<i>Exams</i>	Final versions of exams as administered, not exams actually taken by students.	PERMANENT-Archives	Retain master files of exams in SAA office as long as administratively necessary, then transfer to Archives.	
<i>Instructor information files</i>	Includes biographical information, statistical summaries of evaluations and assessments from previous teaching experiences, and related general information.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	

## Executive Director Series Description:

Series includes records created or maintained by the Executive Director's office, including official statements, actions, correspondence, initiatives, and projects. Its scope includes the leadership of SAA and the organization as a whole, as reflected in the Executive Director's files. See the Governance Manual, Section V., for the full scope of the position: <http://www2.archivists.org/governance/handbook/section5>.

SEE ALSO: Council, Executive Committee, Elected Officers, and Nominating Committee Series; General SAA Office Series; SAA Foundation General Corporate Records Schedule

<b>Executive Director Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Annual business meeting documentation</i>	Agenda includes the attachments, reports, etc. for review and discussion at meeting; minutes and/or recordings may be used to capture the content of the meeting.	PERMANENT-Archives	Transfer final written documentation to Archives. Retain drafts and recordings for as long as administratively useful, then destroy.	
<i>Correspondence</i>	Includes all forms of communication created or received by the Executive Director in the course of conducting SAA business	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Establishing records</i>	Articles of incorporation, constitution, and bylaws	PERMANENT-Archives	Transfer to Archives.	*
<i>Grants, Documentation</i>	Administrative activities relating to grant-funded projects, including documents relating to the application process, the receipt and expenditure of grant funds, and accounting for the performance obligations under grants.	TEMPORARY	Retain in SAA office as long as administratively necessary or required by funding source or statutory retention requirements, then destroy.	
<i>Grants, Project data</i>	Data produced during the course of grant-funded projects.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy. In some cases data may be deemed of permanent	

			value to the organization (e.g., A*Census), in which case it should be retained permanently in the SAA office, or one-off preservation arrangements should be made with the Archives.
<i>Grants, Reports (interim and final as required by funding agency)</i>	Final copies of reports as supplied to funder.	PERMANENT-Archives	Retain in SAA office as long as administratively necessary, then transfer to Archives.
<i>Pension documents</i>	Files relating to SAA employee retirement plans.	PERMANENT-Office	Retain permanently in SAA office. Do not send to Archives.
<i>Personnel files</i>	Documentation relating to the employment of SAA staff.	TEMPORARY	Retain in SAA office as long as administratively or legally necessary. Executive Director to determine what to retain permanently in office and what to destroy.
<i>Reference files</i>	“Convenience copies.” Includes files made or compiled by the Executive Director solely for their reference convenience. These would often include copies of official records maintained elsewhere in the organization.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.
<i>Reports</i>	Includes all final reports created or maintained by the Executive Director and not covered in other schedules.	PERMANENT-Archives	Retain in SAA office as long as administratively necessary, then transfer to Archives.
<i>Speeches and presentations</i>	Official or final version of speeches, presentations, and testimony given by SAA leadership. All drafts and supporting documents should be weeded before sending the final version to the Archives. The annual presidential address is published in <i>The American Archivist</i> , which is the copy	PERMANENT-Archives	Retain in SAA office as long as administratively necessary, then transfer to Archives.

	of record.			
<i>Subject files</i>	Files maintained only by the Executive Director that broadly document the activities of SAA, including advocacy, annual meetings, marketing, member services, public relations, publications, special projects, and relationships with other organizations, including the SAA Foundation. Records may include correspondence, reports, memoranda and notes, publications, and announcements. The files may include records scheduled elsewhere, which may be removed by the SAA Archives upon receipt.	PERMANENT- Archives	Retain in SAA office as long as administratively necessary, then transfer to Archives. Given the variety of topics that they cover, subject files are likely to include records of both temporary and permanent value. The Executive Director may work with the SAA Archivist to identify records with permanent value and coordinate their transfer to the SAA Archives.	
<i>Working files</i>	Notes, drafts, and other preliminary records created or compiled by the Executive Director in the course of conducting SAA business and frequently used to prepare official reports and other records	TEMPORARY	Retain locally as long as important to the work of the ED. Do not transfer to SAA Archives.	

## Finance Series Description:

Series includes records documenting financial activities of SAA as an organization; finances of component groups or elected officials of SAA are not included except as they relate to activity for SAA itself. In 2011 the SAA Foundation, a 501 c (3), was created and records of the SAA Foundation are managed under a separate schedule.

SEE ALSO: SAA Foundation Corporate Records Schedule; Executive Director Series

<b>Finance Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Accounts payable (expenditures)</i>	Supporting documentation relating to the purchases of goods or services. These records may include, but are not limited to, vouchers, invoices, travel expense reports and purchase orders	TEMPORARY	Retain for 7 years for audit purposes, then destroy.	
<i>Accounts receivable (receipts)</i>	Supporting documentation related to the receipt of funds, which may include but are not limited to, deposit forms, remittance forms and any documentation that supports charges/bills	TEMPORARY	Retain for 7 years for audit purposes, then destroy.	
<i>Annual financial report</i>	End of fiscal year financials prepared for the Council and posted on the SAA website. Included as part of the Treasurer's report in agenda documents prepared for each meeting of the Council. The report at the August Council meeting includes the entire previous fiscal year.	PERMANENT-Archives	Transfer to Archives.	*
<i>Audit reports</i>	Paper or electronic	PERMANENT-	Retain in SAA office as	

	documents prepared by the external vendor SAA hires to audit its books. Paper copy is the copy of record.	Archives	long as administratively necessary, then send to Archives.	
<i>Budget, final</i>	Prepared for the consideration of and approved by the Council at its Spring meeting. Included as part of the agenda documents for the Spring Council meeting.	PERMANENT-Archives	Transfer to Archives.	*
<i>Budget, working documents and notes</i>	Files assembled by the Treasurer, the Director of Finance and Administration, and others as part of their annual work on the budget.	TEMPORARY	Maintain in the SAA office and officer files as long as administratively necessary, then destroy.	
<i>Cash books</i>	Daily bank reconciliations.	TEMPORARY	Maintain in the SAA office as long as administratively necessary, then destroy.	
<i>Chart of accounts / general ledger</i>	Coding system for administration of income and expenses.	TEMPORARY	Maintain in the SAA office as long as administratively necessary, then destroy.	
<i>Financial statements</i>	Statements received from financial institutions that store and/or manage SAA's funds.	TEMPORARY	Maintain in the SAA office as long as administratively necessary, then destroy	
<i>Income tax returns</i>	Returns filed for federal, state, and local governments; publicly available as a 990.	TEMPORARY	Retain in the SAA office for 7 years for audit purposes, then destroy.	
<i>Payroll journal</i>	Record of employee payroll; confidential.	TEMPORARY	Retain in the SAA office for 7 years for audit purposes, then destroy.	
<i>Trial balances, end of year</i>	Work product given to auditors.	TEMPORARY	Retain in the SAA office for as long as administratively necessary, then destroy.	

## General SAA Office Series Description:

Series includes records created or maintained by SAA paid staff in the course of their activities, including contracts and other legal materials, subject files, and miscellaneous correspondence. This schedule is intended as a baseline for records not otherwise scheduled; if a record series has been covered within another general schedule, staff should follow retention and disposition decisions recorded there.

See Also: Executive Director Series, Education Series, Publications Series, Finance Series

<b>General SAA Office Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Contracts, agreements, and leases</i>	Includes all supporting documentation and related correspondence.	TEMPORARY	Retain in SAA office as long as administratively or legally necessary, then destroy.	
<i>Correspondence and memoranda</i>	Relating to routine office matters.	TEMPORARY	Retain in SAA office for as long as administratively necessary, then destroy.	
<i>Insurance</i>	Policies, amendments, endorsements, certificates of insurance, summary plans, reports on insurance plans and benefits, and related correspondence.	TEMPORARY	Retain in SAA office for as long as administratively necessary, then destroy.	
<i>Records schedules</i>	Schedules and other guidelines relating to SAA records that have been approved by the Council.	TEMPORARY	Retain in SAA office until superseded, then destroy.	
<i>Reference and subject files</i>	Topical files used by SAA staff members. The reference and subject files of the Executive Director are scheduled separately.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Trademarks, patents, and copyright registrations</i>	Files relating to formal registration of these intellectual property assertions.	PERMANENT-Office	Retain permanently in SAA office. Do not send to Archives.	

## Member Services Series Description:

Series includes records relating to the administration of member services by SAA, including membership tracking, applications and renewals, and services such as the Career Center and Archives and Archivists electronic discussion list not covered in other schedules. Note that other electronic discussion lists maintained by SAA in direct service of its membership are not covered by this schedule, as they are considered to be records maintained by the related component groups and are covered in other series. Likewise, records of the Membership Committee are covered in the Component Groups, Council-Appointed and External Representatives Series.

See Also: Council. Executive Committee, Elected Officers, and Nominating Committee Series; Council-Appointed Component Groups and External Representatives Series; Member-Affiliation Component Groups Series; General SAA Office Series

<b>Member Services Series</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>Archives &amp; Archivists listserv</i>	Listserv maintained by SAA as a service to the profession in the United States.	TEMPORARY	Maintain on SAA listserv server as long as is practicable.	
<i>Association management database (“MemberMax”)</i>	Confidential. Database documents transactions relating to a person’s interactions with the organization, such as attendance at and participation in annual meetings, participation in workshops, component group membership, leadership roles, discussion list subscriptions. Those aspects that are important are published onto the SAA website (e.g., leadership roles, service on Council-appointed component groups) and will be permanently captured and maintained as part of a periodic SAA website crawl. Other	TEMPORARY	Maintain on SAA server as long as organizationally necessary.	

	important statistics gathered from this database are reported as part of the agenda items for each Council meeting and will be captured and maintained there.			
<i>Online Career Center</i>	Web resource of job postings, resume postings, and other career-related services maintained by an external vendor, only the initial landing page is hosted on an SAA web server.	TEMPORARY	Maintain on SAA web server and vendor server as long as organizationally necessary.	

## Publications and Communications Series Description:

Series includes the publications and informal communications of SAA, including SAA's journal, newsletter, periodic news releases, and social media postings. The series also covers the administrative and production files of the editors of the major publications. Files relating to *The American Archivist* and Publications Editors' roles as chair of *The American Archivist* Editorial Board and the Publications Board respectively are scheduled with the Component Groups, Council-Appointed and External Representatives Series.

SEE ALSO: Council-Appointed Component Groups and External Representatives Series; General SAA Office Series; Member Services Series

<b>Publications and Communications Series</b>				
<b>General Schedule</b>				
<b>Type of Record</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>*</b>
<i>"American Archivist" journal</i>	Print version of journal. (Note: An additional archive of the print version of the journal is maintained by JSTOR, which digitizes directly from a disbound copy of the print publication sent each time an issue is published as part of SAA's contract with JSTOR. HathiTrust also maintains an archive of the print version of the journal, but updates to this archive will likely be sporadic since it does not happen in collaboration with SAA the way JSTOR does.)	PERMANENT-Archives	Send two copies to Archives as part of print distribution.	*
<i>"American Archivist Online Supplement"</i>	Appears occasionally when circumstances warrant publication of peer-reviewed content that cannot be accommodated in the regular semi-annual issues of the journal.	PERMANENT-Archives	Transfer to Archives only born-digital content not duplicative of the print run of the journal.	*

	The supplement is published online and access is unrestricted.			
<i>“American Archivist” online version</i>	Available free to the public and includes more than 260 back issues. No login required to access the publicly available journal content. Please note that in the six most recent issues (approximately three years), only the table of contents, article abstracts, and book reviews are publicly available. Hosted by MetaPress.	TEMPORARY	Maintain as long as external utilities either exist or are willing to maintain.	
<i>“American Archivist Reviews Portal”</i>	Complements the Reviews section in <i>The American Archivist</i> by providing additional information about resources for archives and professional archivists.	PERMANENT-Archives	Transfer to Archives.	*
<i>“Archival Outlook” newsletter, print</i>	Bi-monthly print newsletter of SAA.	PERMANENT-Archives	Send two copies to Archives as part of print distribution.	
<i>“Archival Outlook” online version</i>	Bi-monthly newsletter of SAA currently hosted online by bluetoad.com. As of March 2014 the content of the online version mirrors the print version, which serves as the copy of record for the online version.	TEMPORARY	Maintain on bluetoad.com servers as long as contractually necessary, then destroy.	
<i>“Associated Organizations and Associations” and “Archival Consultants” suite of directories</i>	Series of online-only directories (four as of March 2014), maintained by SAA staff, listing archival organizations in the U.S., Canada, and internationally, as well as allied professional organizations and archival consultants. Two additional links	TEMPORARY	Maintain on SAA web server as long as organizationally necessary.	

	provide access to Section XI. Official Representatives to External Groups from the SAA <i>Governance Manual</i> , and to the Repository of Primary Sources list maintained by Terry Abraham at the University of Idaho.			
<i>Blogs, Off the Record (President's blog)</i>	Principal blogger is the President of SAA. Other SAA leaders, such as officers and members of the Council, serve as guest bloggers from time to time. <i>Off the Record</i> is an informal communication channel on which conversations can take place about ongoing SAA activities and issues, as well other topics of broad interest to archivists. Intention is to highlight such topics and spark discussion. Hosted by Wordpress.	PERMANENT-Archives	Transfer to Archives.	*
<i>Blogs, Others</i>	Communications generated by elected and appointed leaders and groups (including Host Committee) to communicate about the organization. May exist on a variety of blog platforms, such as Drupal and Wordpress.	TEMPORARY	Maintain on servers hosted by SAA or vendors as long as is practicable. Need not be included in periodic SAA website crawl.	
<i>"In the Loop"</i>	Bi-weekly electronic newsletter	PERMANENT-Archives	Transfer to Archives.	*
<i>Monographs</i>	Books published by SAA in both print and online formats.	PERMANENT-Archives	<ul style="list-style-type: none"> <li>● Send two copies to Archives when new monograph or new edition of existing monograph is published in print format.</li> <li>● For monographs compiled and published only</li> </ul>	*

			online, capture as part of a periodic SAA website crawl and/or, if possible, arrange to contribute to HathiTrust.	
<i>News and press releases</i>	Official news items and press releases posted by the organization on its website.	PERMANENT-Archives	Transfer to Archives.	*
<i>Position statements and resolutions</i>	Official pronouncements of the organization approved by the Council and promulgated publicly.	PERMANENT-Archives	Transfer to Archives.	*
<i>Social media sites</i>	Accounts on a variety of social media utilities typically maintained by SAA staff members, such as Facebook, Twitter, LinkedIn, YouTube, and Vimeo.	TEMPORARY	Maintain as long as external utilities either exist or are willing to maintain.	
<b>American Archivist and Publications Editors Sub-Series</b>	The following applies, in addition to the general schedule above, to the records generated by these Council-appointed employees of SAA.			
<i>Manuscript submissions and evaluations</i>	Original manuscripts submitted for publication and evaluations of the manuscripts, including editor's summaries of evaluations sent to authors.	TEMPORARY	<ul style="list-style-type: none"> <li>• If manuscript is rejected, retain either in editor's or SAA Director of Publishing's files through the end of the review process or withdrawal by author plus 5 years, then destroy.</li> <li>• If manuscript is accepted, retain either in editor's or SAA Director of Publishing's files through publication plus 5 years, then destroy.</li> </ul>	
<i>Solicitation files</i>	Files relating to solicitation of manuscripts from	TEMPORARY	Retain in editor's files as long as administratively useful, then transfer to	

	potential authors, correspondence relating to acceptance and revisions, work assignments for reviews, and process and deadline negotiations.		successor or destroy.	
<i>Working files relating to publications</i>	Correspondence and other documents relating to the actual SAA publications. Files relating to the roles of the American Archivist and Publications editors as chairs of their respective boards are scheduled in the Component Groups, Council-Appointed, and External Representatives Series.	TEMPORARY	Retain through the end of the editor's term(s) or as long as administratively necessary, then transfer to successor or destroy.	
<b>Director of Publishing Sub-Series</b>	<b>The following applies, in addition to the general schedule above, to the records generated by this staff position.</b>			
<i>Administrative files</i>	Files relating to routine administration of the publishing program, including developing the annual publishing budget.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Copy editing files</i>	Files relating to revision, editorial work, and copy editing of manuscripts for publication by SAA.	TEMPORARY	Retain in the SAA office through the end of the copy editing process plus 6 months, then destroy.	
<i>Director of Publishing: Press-worthy pdfs</i>	Final electronic copies of monographs retained for use in reprints, new editions, and compilations, not the publications themselves.	TEMPORARY	Retain in the SAA office as long as administratively necessary, then destroy.	
<i>Illustrations</i>	Artwork and photographs used in various SAA publications.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	

# SAA Foundation Records Schedule

## SAA Foundation General Records Series Description:

Series includes records of the SAA Foundation, a not-for-profit (501[c][3]) corporation whose purpose is to promote and support the charitable and educational initiatives of its sole corporate member, the Society of American Archivists (a 501[c][6] corporation). As a separate organization from SAA, all records produced by the Foundation or its staff are scheduled here rather than in their related functional schedules, to account for differences in fiscal, legal, or administrative retention requirements. The SAAF Board is responsible for managing the unrestricted, temporarily restricted, and permanently restricted funds donated to the Foundation.

From 1963 until 2011 SAA maintained “Special Funds” that functioned under Section 501(c)(3) of the IRS Code. During that period, the SAA Council served as the Special Funds board. After separate incorporation of the SAAF in 2011, the board composition was changed to include Class A members (comprising the executive committee members and immediate past president of SAA) and Class B members (between six and 11 individuals who are nominated by the SAAF Board and elected by the SAA Council).

SEE ALSO: in the Society of American Archivists Records Schedules: Council, Executive Committee, Elected Officers, and Nominating Committee Series; Executive Director Series; Finance Series

<b>SAA Foundation General Records Series</b>				
Type of Record	Description	Retention	Disposition	*
<i>Annual appeal, appeal program, endowments</i>	Requests for donations, including sample letters.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Annual reports</i>	Published annual reports made available on the SAA Foundation’s website. (Not currently created as of March 2014. List of donors currently published as part of SAA’s annual report.)	PERMANENT-Archives	Transfer to Archives.	*

<i>Appointment working files</i>	Correspondence, background information, and tracking sheets relating to the appointment of members to the SAA Foundation Board.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Audit reports</i>	Paper or electronic documents prepared by the external vendor SAAF hires to audit its books.	PERMANENT-Archives	Retain in SAA office as long as administratively necessary, then send to Archives.	
<i>Establishing documents</i>	Articles of Incorporation and Bylaws are posted on the SAA Foundation website.	PERMANENT-Archives	Transfer to Archives.	*
<i>Foundation Board and committees charges and rosters</i>	Members of the Foundation Board and its current groups, charges, and rosters available on the SAA Foundation website.	PERMANENT-Archives	Transfer to Archives.	*
<i>Foundation Board listserv</i>	Private forum for interim votes and discussions of the Board. Results of votes reported out in minutes, which are posted online.	TEMPORARY	Retain on SAA listserv server as long as administratively necessary, then destroy.	
<i>Funds documentation (financial records)</i>	The Foundation's budget is currently a part of SAA's budget and is published online. In the future, Foundation will be broken out in a separate budget and published online as well. Donations and accounting information are held in SAA's database.	TEMPORARY	Retain in SAA office for 7 years for audit purposes, then destroy.	
<i>Historical donations (contributions) documentation</i>	Database containing details of individual contributions. Significant contributions will show up in the Annual Report.	TEMPORARY	Retain on SAA server for 7 years for audit purposes, then destroy.	
<i>Income tax returns</i>	Returns filed for federal, state, and local	TEMPORARY	Retain for 7 years for audit purposes, then destroy.	

	governments; publicly available as a 990.			
<i>Investments</i>	Bank statements reflecting the Foundation's investments	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>List of donors and amounts</i>	Annual list; internal document prepared by staff; confidential.	PERMANENT-Office	Retain permanently in SAA office. Do not sent to Archives.	
<i>Meeting agendas and minutes</i>	Agendas include the attachments, reports, etc. for review and discussion at SAA Foundation Board meetings. Minutes are a summary of the meetings. Materials for 2009-2011 are available on SAA's website.	PERMANENT-Archives	Transfer to Archives. Disentangle Foundation documents from SAA website once a Foundation website is created.	*
<i>Meeting logistics and working documents</i>	Includes hotel and restaurant contracts.	TEMPORARY	Retain in SAA office as long as administratively necessary, then destroy.	
<i>Policies and procedures</i>	Official policies and procedures relating to SAA Foundation activities and posted publicly on the SAA Foundation website.	PERMANENT-Archives	Transfer to Archives.	*
<i>Working files</i>	Notes, drafts, and other preliminary records created or compiled by the leaders and staff of the Foundation.	TEMPORARY	Retain locally as long as important to the work of the Foundation, then destroy.	