

**Society of American Archivists
Foundation Board Meeting
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Cleveland, Ohio**

Development Plan 2015-2016

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BACKGROUND

The SAA Foundation is the nation's leading source of nonprofit funding dedicated solely to the interests of archives and archivists. Its mission is to provide resources to enhance the work of the archival community.

The SAA Foundation makes a number of awards and grants that recognize excellence in archival work and assists those entering and practicing in the profession. Beginning in February 2016, the SAA Foundation will support a new grants program using unrestricted funds to advance the mission and goals of the SAA Foundation and the strategic planning priorities of the Society of American Archivists.

OVERALL GOAL

The overall goal of the Foundation's development efforts is to foster a culture of giving tied to the most innovative and challenging initiatives of archivists. The Foundation aims to draw archivists, SAA leaders, and staff into a vision for the profession with a long horizon of accomplishment. The Foundation Board, working with the Development Committee, will identify sources for generating income that will fund an ambitious future for the profession. Projects mentioned in this plan do not preclude the selection, by donors, of projects that interest them and that they wish to fund.

Stewardship includes both the management of the Foundation's resources and management of its relations with 1) the current donors who contribute resources to the Foundation and 2) prospective donors who are cultivated to enlarge both the donor base and the resources available for investment. Stewardship activities include development of specific giving opportunities, tracking the expenditure of gifts to ensure they are used in accordance with donor intent, recognition of donors in a variety of ways often keyed to the level of gifts received, and preparation and distribution of regular reports to donors on the impact of their contributions to the Foundation's mission. At this very early stage in its history, the SAA Foundation's major stewardship activities should be directed at increasing knowledge of the Foundation's existence, mission, and plans for the

immediate and longer term future, with special emphasis on accomplishments as those are available for reporting. It is of special importance to ensure that the Foundation is seen as an entity that increases the ability of the Society of American Archivists to achieve objectives beyond those that can be accomplished solely through the payment of dues and product sales. Plans for cultivating and maintaining contact with Foundation donors should be developed with attention to achieving maximum impact with minimum strain on the limited infrastructure available.

The Foundation’s ability to consider opportunities for funding special projects depends on identifying income streams that advance the interests of the Foundation and the professional goals and priorities of SAA, the corporate member. The 2015-2016 Development Plan contains strategies to develop that stream by raising monies in several key areas.

THE PROPOSED DEVELOPMENT PLAN

Strategy 1: Establish Reliable Expectations for the Annual Appeal

Rationale and History: The numbers below, although not specific to the Annual Appeal, summarize the yearly history of all giving to the Foundation over three years. We recommend that the SAAF define parameters for identifying gifts received during only the Annual Appeal. (The parameters could be, for example, that all gifts received in December and January are considered to be the result of the Annual Appeal and all gifts received in May and June are considered to be the result of a MayDay appeal.)

Fiscal Year	Donors	Amount Given Overall
2015	223	\$46,804
2014	210	\$55,680
2013	189	\$34,960

The 2013-2014 Annual Appeal was our most successful ever, thanks to the 210 individuals and organizations that donated more than \$55,000 and to the involvement of the Board in personally contacting prospective donors. Board members have suggested that other appeal opportunities might be linked, for example, to tax refunds (second quarter), MayDay (May 1), and American Archives Month (October) or #AskAnArchivist Day (October 1).

The Development Committee believes that October appeals may be too close in timing to the regular annual appeal. Not only will this require extra staff but it will weaken the traditional annual appeal. The Committee thinks that MayDay, a late spring event, would be a better appeal opportunity. Two scheduled appeals will demand more of the Board and staff, but the basis for all fundraising should be raising funds from individuals. Nationally, contributions from individuals constitute about 75% of all philanthropic

giving in the United States. Only 25% of philanthropic giving comes from foundations and corporations. (Source: Giving USA, 2010)

Goal: By adding a spring appeal, our goal is to generate a 10% increase in donors (for a total of 245 donors) and to increase revenue by 10% in the fiscal year (for a total of \$51,484).

Although the Annual Appeal allows donors to give to any number of restricted or unrestricted funds, the Foundation is committed to promoting the Strategic Growth Fund, which is its most popular and strategic giving opportunity. The Strategic Growth Fund gives members a chance to invest in an unrestricted pool of capital that will generate investment in the most current ideas and practices.

Overview of giving for the Strategic Growth Fund is as follows. These numbers are a subset of yearly giving.

Fiscal Year	Donors	Amount Given Strategic Growth
2015	82	\$27,233
2014	66	\$24,430
2013	31	\$11,464

Direct Costs: Expenses for implementing this strategy would include printing and mailing, development of promotional material, and staff time. This strategy will rely heavily on volunteer time from the Board for preparation of content and personal contacts.

Timetable: The Society of American Archivists Foundation Annual Appeal is kicked off in the fall of each year by a joint letter from the Foundation and SAA presidents to the general SAA membership. The presidents may recommend special initiatives or favorite giving opportunities. Special initiatives should be decided by the presidents after the SAA annual meeting in July/August. We recommend that the Annual Appeal be managed by an Annual Appeal Committee comprising the SAAF President, the SAA President, the Executive Director, and two Foundation Board members. The Annual Appeal is a recurring solicitation that establishes a link between donors and the Foundation. Personal solicitation is a hallmark of the Annual Appeal. The first task of the 2016 Annual Appeal will be the voluntary identification by each Board member of 10-20 names of colleagues, friends, family members, vendors, etc., who would make a gift because of their relationship with the Board member.

- August 2015: Appoint Annual Appeal Committee (Board)
- October 2015: Create mailing lists for annual appeal (Staff)

- October 2015: Deadline for Nov/Dec Archival Outlook; submit copy for annual report and create press releases on Annual Appeal for all appropriate outlets (Annual Appeal Committee)
- October 2015: Draft of Annual Appeal letters to Board (Annual Appeal Committee)
- October 2015: Annual Appeal letters approved (Board)
- November 2015: Annual Appeal letters sent (Staff)
- November 2015: Personalize website for annual appeal (Annual Appeal Committee)
- November and early December 2015: Personal calls (Board)
- January 2016: Annual Appeal thank you letters completed and mailed as appropriate (Board and Staff)
- April 2016: Create Society-wide list for direct mail for MayDay (Annual Appeal Committee)
- May 1, 2016: Send direct mail (Staff)
- May 2016: Possible calls to target prospects for MayDay (Board)
- June 2016: Annual Appeal thank you letters completed and mailed as appropriate (Board and Staff)

Target Constituencies: All SAA members, especially customized appeals to individuals with capacity to give, past donors (including past presidents), Fellows, past SAA leaders, those who have never given to SAA, those under 5 years in the profession, and the Foundation Board. The Annual Appeal will have a special focus on non-members or individuals who are members of their regional/state societies but not members of SAA for whatever reason. This constituency receives very little information about SAAF but they self-identify as archivists. The goal for this constituency is to raise awareness of SAAF. As the Foundation works towards a more collaborative relationship with the state and regional associations, shared fundraising could become a reality. See list of tasks under Strategy 2: Regional Archival Consortium.

Strategy 2: Extend the Successful Work of the National Disaster Recovery Fund for Archives

Rationale and History: Established by the Society of Southwest Archivists and SAA to address archival repositories' stabilization and recovery needs in the wake of Hurricanes Katrina and Rita, support has been broadened to provide grants for recovery of archival collections from major disasters, regardless of region or repository type. SAA's Preservation Section and other groups have been instrumental in raising money for this Fund. Board member Brenda Gunn has volunteered to supervise this strategy. Overview of giving for this Fund is as follows. These numbers are a subset of yearly giving.

Fiscal Year	Donors	Amount Given NDRFA
15	55	\$3,280
14	68	\$5,306
13	92	\$6,966

Goal: Generate a 15% increase in donors (for a total of 63 donors) and in revenue (for a total of \$3,772).

Target Constituencies: Corporate with an interest in disaster recovery and individuals with the interest and capacity to give. Recruit Preservation Section to call prospects.

Society of American Archivists Preservation Section

Encourage the section to continue its efforts to champion the NDRFA.

- Contact Section Leaders
 - Schedule time to talk with steering committee. (Steering Committee member Rebecca Elder also chairs NDRFA review committee.)
 - Request time on section’s business meeting agenda at the Annual Meeting. (This may be only a general mention of the SAAF rather than specific mention of NDRFA.)
- Acknowledge the section’s past contributions and its important role in the development of the fund. Key points to be delivered to and through the following:
 - Steering committee
 - Business meeting
 - Section’s communication outlets
- Communicate information about the following:
 - Status of the grant (amount, donations, recent grants, current status of the grant)
 - SAA Foundation in general
- Ask for continued championing of the fund. (Suggestions would include communication, fundraising, and MayDay – that is, make the NDRFA the focus of the MayDay Annual Appeal.)

Society of Southwest Archivists

As the co-creator and co-founding organization of the fund, the organization has a natural and close tie to the history of the fund and its ongoing care and stewardship. The Foundation should develop a relationship with SSA as a partner in the growth of the fund.

- Contact SSA Leaders
 - Mary Manning, President
 - Katie Salzman, Immediate Past President

- Acknowledge the organization’s past contributions and the important role in the development of the fund. Key points to be delivered to and through the following:
 - Leadership and executive board (Amanda Focke, Mary Manning, Katie Salzman)
 - Business meeting
 - SSA communication outlets
- Ask for continued championing of the fund. (Suggestions would include communicating about the fund, fundraising for the fund, donating to the fund, targeting a season or an event to focus on the fund.)

Regional Archival Associations Consortium

<http://www2.archivists.org/groups/regional-archival-associations-consortium-raac>

- Contact RAC steering committee leaders (Rachel Chatalbash and Amanda Focke)
 - Request a telephone conference.
 - Ask for ways to communicate about SAAF and how we oversee these grant funds.
 - Offer copy for member associations publications.
 - Create an advertisement for regional and state association publications concerning SAAF’s grant program.
 - Brainstorm about how RAC can partner with the Foundation for the benefit of its constituency, both in the disaster recovery and in the larger foundation arena.
 - Will RAAC encourage its members to donate to the fund/Foundation since the benefits extend to SAA nonmembers, in the case of this fund in particular?
 - Inventory who on the SAAF Board is active in these associations and have them serve as liaisons.
- Contact individuals who played significant roles in the aftermath of the hurricanes that have come to define the grant:
 - Richard Pearce Moses – SAA President in 2005
 - Gregor Trinkaus Randall – Chair, Preservation Section in 2005
 - Julia Marks Young, Mississippi Department of Archives
- Contact past recipients of the grant.
 - Check in to see how they are doing.
 - Inquire whether they would provide statements/testimonials regarding their recovery.

Strategy 3: Promote the Diversity of the Profession

Rationale and History: SAA has adopted as its core value and central mission the creation of a diverse profession and an inclusive historical record. The Mosaic Scholarship Fund is the premier way in which the SAAF promotes diversity in the American archives profession. This Fund provides financial support to minority students who are pursuing graduate education in archival science. In 2015, one scholarship was awarded for \$5,000.

History of giving is as follows. The numbers are a subset of yearly giving.

Fiscal Year	Donors	Amount Given Diversity
2015	38	\$2,960
2014	32	\$2,340
2013	25	\$1,453

Diversity and the Mosaic Scholarship Fund are enduring commitments of the SAAF and represent a long-term giving opportunity for the SAAF. Already underway are efforts to pursue grant funding with partner groups for a larger Mosaic Program. A Program provides for assistance for graduate-level education, a paid archives internship, a mentoring relationship, leadership development, and career placement assistance.

Goal: Generate a 10% increase in donors (for a total of 42 donors) and a 10% increase in revenue (for a total of \$3,256).

Direct Costs: Expenses would include printing and mailing, development of promotional material, and staff time. This strategy will rely heavily on volunteer time from the Board for preparation of content and personal contacts.

Target Constituencies: Corporate and individuals with capacity to give will be the objective. Hire consultant to look at past donors and define their capacity to give.

Strategy 4: Enhance the Culture of Giving for SAA Members, Leaders, and Staff

"I have tried raising money by asking for it, and by not asking for it. I always got more money by asking for it." (Millard Fuller, Founder, Habitat for Humanity)

Rationale and History: The first discussions of a Foundation for the Society of American Archivists were begun in 2005 when the Society met in New Orleans five days before Hurricane Katrina struck. Many factors have contributed to its growth, including enlightened and hard-working staff and members. This strategy will help to develop fundraising capacity within the Foundation via training for Board members and staff, use of consulting assistance as needed to extend capacity, and expansion of donor tracking capabilities. Another crucial need is to develop the capacity to do fundraising for practicing archivists.

Development of fundraising capacity is a more difficult "sell" than is raising money for specific projects that produce tangible results, such as diversity and disaster recovery. This piece of the plan is really operational and would be a reasonable candidate for support from a foundation. Annual Appeal donations could be directed here also, but it is not likely that donors will pick this category over others that produce clear benefits (eg, NDRFA, diversity scholarships). Still, this is the most important aspect of the plan for the

Foundation to address and fund early because it will provide the infrastructure on which to build all the other parts of the plan. The long-term potential and success of the Foundation is really dependent on establishing a firm base for future development efforts.

Goal: Develop both a capacity within the Foundation and a culture more generally within SAA that embrace and support fund raising activities to enhance the work of the archival community. Projected income for FY 16 is \$10,000.

Specific activities include:

- Provide workshops at the 2016 and 2017 SAA Annual Meetings for practicing archivists by raising \$5,000 to cover honorariums, travel, and other costs. Workshops can be self-supporting.
- Provide training for SAA staff by raising \$5,000.
- Provide training for SAA Council and SAAF Board members by raising \$5,000.
- Develop a \$10,000 fund for general consultancies in fundraising.

Direct Costs: Travel costs to foundations to present culture of giving idea to appropriate funding agencies; workshop costs and a \$10,000 fund for consultants.

Timetable: Defining mail, face to face, social media, and telephone campaigns as applicable, including assignments and due dates. Long term, we may want to consider the purchase of fundraising software to support activities as well as hiring a part-time development professional to oversee the program. All this would be dependent on our success in this initial phase of the program.

Target Constituencies: This program may resonate with corporations and foundations that have an interest in broadening the practice of philanthropy.

Stewardship: Because there are limited funds to cover expenses in this category and because of the difficulty of raising funds for activities that could be considered operational, we should begin small, keeping activities within this strategy minimal and doable without great cost. Short-term activities that would put us in a position to achieve initial objectives might include the following:

Raise New Resources/Funds:

- Carry out research to find sources of possible foundation and corporate support to create capacity. Select 2-4 of each to pursue with personal contact and follow-up proposal if invited. Corporations should be selected on basis of affinity with SAA and its mission (e.g., developers of archival systems, shelving companies, risk management or disaster response companies). Foundations with an interest in the

preservation of our national heritage or in historical research might be appropriate selections.

- Develop the case for this strategy to use in proposals to foundations/corporations. This might include linking long-term outcomes (programs like NDRFA or Mosaic scholarships) to the need to develop the capacity for fundraising and an organizational culture of giving that will enable the SAAF to create the infrastructure necessary to build and support a strong development program.
- Develop proposals for selected foundations/corporations. Seek funds from selected foundations/corporations to support annual meeting workshops in 2016 and 2017; training for staff, Council and Board members in 20XX; and a fund for consultancies in fundraising in 20XX.

Develop New and Maintain Ongoing Relationships

- Engage potential external donors (foundations, corporations)
 - Foundations: Select foundations that focus on preservation of our national heritage
 - Corporations: Select corporations with products or services associated with archives. If SAA doesn't have one already, consider a corporate category of membership as done in some other professional organizations.
 - Start with introduction to SAA: Presentation of case for support; note importance of establishing infrastructure for fundraising. A personal contact if possible. Member of the Council or SAAF Board who has a relationship with the foundation or corporation is best to open conversation. Also, member of SAA staff who might work with a foundation or corporation on annual meeting. The point is to have someone known to the potential donor make the first contact.
- Engage SAA community (members, Council, and staff) to develop culture of giving through continual communication and education.
 - Workshops at annual meetings (2016 and 2017) for general membership. Hire fundraising consultant as instructor. Help participants learn basic concepts of development for their own institutions, while also instilling a broader concept of "giving back" to the profession.
 - More specific and focused training in fundraising for staff, Council, and SAAF Board (20XX).
 - Hire consultant to advise on enhancement of development program.
- Market the concept of giving internally.
 - SAAF booth at annual meetings.
 - SAAF Board members make presentations at annual meetings.
 - SAAF president column in *Archival Outlook* introducing concept, updating on gifts, explaining importance and how funds are used (show benefits of funded programs).
 - Aim marketing at different levels of potential or actual donors, such as general membership, Fellows, retirees, etc.

Strategy 5: Join Colleagues in Creating a Legacy Through Planned Giving

Rationale and History: Planned giving is the next step for members of the Society of American Archivists. The most accessible giving vehicle for SAAF is through a will or a bequest, where the donor commits to give a share of her/his estate/insurance proceeds/account. Many forms of planned gifts can be changed or revoked by the donor. Often, planned gifts are the largest gifts archives may receive but they also take the longest to realize. This strategy will develop ways to encourage archivists to leave a legacy beyond the important contributions of their professional work and their individual donations.

Goal: To inventory those who have remembered SAA in their wills. To contact and track major donors with information about possible legacies.

Direct Costs: Planned giving brochure and mailings that clarify reasons for making a gift and point of contact at SAAF.

Staff Time: Stewardship of planned donors is an ongoing process long before the gift is received. It may also be ongoing after the gift because information about the impact of the estate gift may need to be shared with surviving family members. Because planned gifts can take so many years to materialize, it is critical that any information about the gift and the donor's intention is properly documented and that there is ongoing stewardship from "development staff." Without this type of staff, a planned giving program for SAAF must be implemented at the most basic level.

Board: 100% participation in planned giving by Board members is expected. Use this fact in mailings.

Target Constituencies: Our major gift donors are the most likely prospects for a planned gift.

RECOMMENDATION

THAT the Foundation Development Plan 2015-2016 as proposed [revised] be adopted.

Support Statement: The Development Plan outlines an ambitious but achievable

Fiscal Impact: The Plan as outlined provides for modest growth in Foundation revenues and significant investment of volunteer and staff time. See Strategy 4 for direct expenses associated with providing workshops to archivists and training for Foundation volunteers and staff.