Society of American Archivists
Council Meeting Agenda
November 8 – 10, 2015
SAA Headquarters, Chicago, Illinois

Agendas and background materials for SAA Council meetings are publicly available via the SAA website at: http://www2.archivists.org/governance/reports. Each Council meeting agenda comprises Consent Items, Action Items, Discussion Items, and Reports, and the number/letter in the minutes (e.g., II.A.) corresponds to an item listed on the agenda. The minutes summarize actions taken and the outcomes of discussions. Reports generally are not summarized in the minutes, but provide a wealth of information about the work of appointed and component groups and the staff. To view the reports–and all other background materials– see the SAA website.

President Dennis Meissner called the meeting to order at 8:36 a.m. on Sunday, November 8. Present were Vice President/President-Elect Nancy McGovern; Treasurer Cheryl Stadel-Bevans; Executive Committee member Lisa Mangiafico; Council members Amy Cooper Cary, Pam Hackbart-Dean, Bergis Jules, Kris Kiesling, Tim Pyatt, Helen Wong Smith, and Rachel Vagts; and SAA Executive Director Nancy Beaumont, Publications Director Teresa Brinati, Finance/ Administration Director Peter Carlson, Education Director Solveig De Sutter, Web and Information Systems Administrator Matt Black, and Governance Program Coordinator Felicia Owens.

I. COUNCIL BUSINESS

A. Adoption of the Agenda

Meissner introduced the agenda with changes proposed by the Executive Committee. The Council agreed to add discussion of several items under Agenda Item VI.E: "Overview of Significant Impact of Climate Change on Archives and Archival Institutions," submitted by ProjectARCC; Council Exemplary Service Award; the Council on Library and Information Resources OpenLab Workshop; distribution of James Roth's Council liaison assignments; and May 2016 Council meeting dates.

The Council further agreed to re-order several agenda items to enhance the efficiency of the meeting. (Agenda items are presented in these minutes based on the original sequencing to minimize confusion.) Mangiafico moved adoption of the agenda as revised, Stadel-Bevans seconded, and the agenda was adopted unanimously (**MOTION 1**).

B. August 2015 Minutes

Meissner noted that the minutes of the Council's August 17-18 and August 22 meetings were adopted by online vote of the Council on September 22, 2015, and posted on the SAA website immediately. SAA members were notified of availability of the minutes via *In The Loop*, the website, and social media.

C. Status of Council Action List

Council members briefly reviewed and provided updates on the status of actions listed in this internal working document.

II. MEGA ISSUE: CULTURAL COMPETENCE WORKSHOP

Council members spent a full day on Sunday, November 8, in a workshop on cultural competence presented by Council member Helen Wong Smith. Enhancing archivists' cultural competence is a focus of Goal 1.3. in SAA's Strategic Plan: "Provide leadership in ensuring the completeness, diversity, and accessibility of the historical record." The Council will continue its ongoing discussion of diversity and inclusion at its May 2016 meeting and plan a series of events to address this priority beginning at the 2016 Joint Annual Meeting in Atlanta.

MOTION 2

THAT the Council's internal working group on diversity be reconstituted (with Chair Nancy McGovern and members Amy Cooper Cary, Bergis Jules, Helen Wong Smith, and Nancy Beaumont) and directed to develop a plan for engaging the broader membership in cultural competence awareness, training, and programming.

Move: Mangiafico
Second: Vagts
Vote: PASSED (unanimous)

Support Statement: The Society's Mission, Core Organizational Values, and Strategic Plan emphasize the importance of ensuring the diversity of SAA's members and leaders, the profession, and the historical record. The Council's internal working group on diversity was created in November 2014 to provide the Council with a means for both focusing on advancing SAA's initiatives in this area and ensuring coordination among the various groups doing work on diversity and cultural competency. Given retirement from the Council of members of the original working group, as well as the Council's discussion of broadening access to cultural competence awareness, training, and programming, the group was reconstituted and given this focus.

Fiscal Impact: Fiscal impact will vary depending on whether the group meets face-to-face outside the Council meeting and whether non-Council members are invited to participate in a planning meeting.

III. CONSENT AGENDA

The following items were adopted by consent (MOTION 3).

Move Consent Items: Mangiafico
Second Consent Items: Pyatt
Vote: PASSED (unanimous)

A. Ratify Council Interim Actions

THAT the following interim actions taken by the Council between September 1 and October 21, 2015, be ratified:

- Unanimously adopted the [August 17-18, 2015, SAA Council meeting minutes](). (September 22, 2015)
- Unanimously adopted the [August 22, 2015, SAA Council meeting minutes](). (September 22, 2015)
- Unanimously adopted Meissner's proposed process to [fill the vacancy on the SAA Council]() created by James Roth's resignation. (September 25, 2015)
- Unanimously adopted the issue brief prepared by the Intellectual Property Group and reviewed by the Committee on Advocacy and Public Policy on the [Trans-Pacific Partnership Agreement](). (September 29, 2015)

B. Ratify Executive Committee Interim Actions

THAT the following interim actions taken by the Executive Committee between September 1 and October 21, 2015, be ratified:

- Approved minor changes in SAA's issue briefs on the [Freedom of Information Act]() (FOIA) and [State Freedom of Information Laws]() (FOILs) to incorporate recommendations from the Committee on Advocacy and Public Policy that the briefs address state employees and public institutions. (September 2, 2015; Stadel-Bevans abstaining)
- Approved SAA becoming a signatory on the [Lyon Declaration on Access to Information and Development](). (September 10, 2015)
- Agreed that comments made to the National Historical Publications and Records Commission's Executive Director in a meeting with the Council on August 18, 2015, would stand as SAA's official comments regarding NHPRC's strategic plan. (September 14, 2015)
- Approved comments drafted by the Intellectual Property Working Group for submission to the U.S. Copyright Office regarding the [Mass Digitization Pilot for Register of Copyrights](). (September 23, 2015)
- Agreed that SAA should sign on as a member of the National Coalition for History, and as a separate entity, to comments drafted by the Oral History Association to a [notice of proposed rulemaking]() on proposals to "better protect human subjects involved in research, while facilitating valuable research and reducing burden, delay, and ambiguity for investigators." (October 13, 2015)

C. Archival History Roundtable Bylaws Revision

THAT the following revision to the Archival History Roundtable bylaws be approved *(underline = addition, strikethrough = deletion)***:**

Society of American Archivists
Archival History Roundtable Bylaws

I. NAME. The name of the roundtable shall be Archival History Roundtable.

II. MISSION. The mission of the roundtable is to stimulate interest among archivists in the profession's own past and suggest ways of studying its history.

III. MEMBERS. Membership in the roundtable shall be determined according to the guidelines established in Section X. of the SAA Governance Manual.

IV. GOVERNANCE.

A.   Steering Committee. The Steering Committee is composed of five core members, including the officers (Chair and Vice-chair). The Steering Committee e directs and coordinates activities of the roundtable and approves appointments recommended by the Chair. Committee members help establish projects to work on through the year and plan the annual roundtable meeting. A member of the Steering Committee shall take minutes at the annual roundtable meeting and assist the Chair in editing the minutes to be posted on the Archival History Roundtable website.

Non-officer Steering Committee members make a commitment to serve for one year, with a limit of three successive years. An individual who has served three successive years may be elected to the Steering Committee again after a break of at least one year. A non-officer Steering Committee member who is elected to the position of Vice-chair may serve the full two-year term (one year as Vice-chair and one year as Chair) regardless of how many successive years (up to the three-year limit) the member has served on the Steering Committee.

The Steering Committee shall appoint any other vacancies to fulfill unexpired terms of elected positions, after which a normal election shall occur.

B.   Officers. The Chair and Vice-chair serve as officers of the roundtable. The Vice-chair shall be elected annually for a two-year term, serving in year one as Vice-chair and in year two as Chair.

Officers make a commitment to serve for the following time periods: Vice-chair—one year as Vice-chair, plus one year as Chair; Chair—one year. If for any reason the Vice-chair is unable to serve as Chair for the year following his or her term as Vice-Chair, a new Chair shall be elected in the annual election.

C.   Duties of Officers. The Chair directs and reports the activities of the roundtable, organizes and conducts the annual meeting of the roundtable, chairs the Steering Committee, acts as liaison for the roundtable to other bodies, recommends the creation of roundtable committees as needed and the appointment of roundtable members to committee membership or other leadership roles, and is responsible for administrative matters, including, but not limited to, annual reports to the SAA. In addition, the Chair shall fulfill those responsibilities specified in Section X. of the SAA Governance Manual.

The Vice-chair serves as acting Chair in the absence of the Chair and participates as a member of the Steering Committee in all its activities.

D.   Nominations. The Chair shall issue a call for nominations, including self-nominations, for the positions of Vice-chair and Steering Committee member every ~~June~~ May to all roundtable members via the roundtable's official email discussion list and website. A slate of candidates shall be established by the officers and announced to roundtable members no later than June 15. All candidates for election must

be members of the roundtable and of SAA (either individual members or primary contacts of institutional members of SAA).

E.   Elections. Elections shall be conducted online with the assistance of the SAA staff and in accordance with the guidelines for Section elections as specified in Section IX. of the SAA Governance Manual. Availability of the online ballot and the deadline for voting shall be announced by the Chair to all roundtable members via the roundtable's official email discussion list and website.

Officers and Steering Committee members for the year in which these bylaws first take effect shall be elected during the annual meeting of the roundtable. In subsequent years, if a vacancy exists for an elected position, an election to fill that vacancy may be held during the annual meeting. Elections conducted at the annual meeting shall be determined by a majority vote of members present at the roundtable's business meeting. Membership shall be determined by the conference attendee's voting member name badge as provided by the SAA staff.

New leadership assumes office at the conclusion of the SAA annual meeting.

F.   Appointments. Roundtable members may be appointed to additional leadership roles upon recommendation of the Chair and by majority vote of the officers and Steering Committee.

V. MEETINGS. The roundtable shall request space for, and if allocated, shall hold a meeting in conjunction with the SAA Annual Meeting and may meet at other times as deemed appropriate by the officers. The time and agenda shall be communicated in advance via the roundtable's official email discussion list and website.

VI. ENACTMENT. The bylaws of the roundtable shall be adopted through a vote by the membership. A majority of the total votes cast shall constitute adoption of the bylaws by the membership, and the bylaws shall then be submitted to the SAA Council for approval. Once the bylaws have been approved by the membership and by the SAA Council, the bylaws shall become effective upon the close of the next annual meeting of the roundtable.

VII. AMENDMENTS. Amendments to these bylaws shall be determined by a majority vote of roundtable members in a referendum held in conjunction with the roundtable's annual election. Once adopted, new or revised bylaws shall be submitted for approval by the SAA Council to ensure that they become part of the permanent record as a component of Council meeting minutes.

Adopted by the Archival History Roundtable membership on 6/19/2013; approved by the SAA Council on 9/30/2013. Revision adopted by the membership in July 2015; approved by the SAA Council in November 2015.

Support Statement: The roundtable has followed the required procedures to suggest revisions to its bylaws, submit them for review by the Executive Director, and place them before the roundtable membership for adoption. These bylaws meet the minimum requirements of the Council and are in alignment with SAA's governance documents. By approving the roundtable bylaws as revised, the Council places them in the official record.

Impact on Strategic Priorities: None.

Fiscal Impact: None.

IV. STRATEGIC PLANNING

A. Current Strategic Plan (Reference)

The Council referred to this document (adopted January 24, 2014; revised November 2014) as it discussed revisions and updates for the Strategic Plan 2014-2018.

B. Review of Strategic Plan Actions and Timelines

The Council discussed the goals and objectives outlined in the Strategic Plan 2014-2018, reviewing activities that had been completed, agreeing to delete some objectives and activities that no longer seemed viable, and suggesting activities that might be added going forward. Council members also discussed new modes for sharing the goals and accomplishments of the Strategic Plan with SAA members.

Council members agreed to do a deeper analysis of the Strategic Plan at the May 2016 Council meeting. (This is usually done at the November meeting, but time did not allow for this due to the workshop on cultural competence.)

V. ACTION ITEMS

A. Proposed Revision to SAA Member Dues and Categories

Since November 2014 the Council had discussed a Finance Committee recommendation that a three-year stepped dues increase be proposed to the membership for implementation on July 1, 2016. At its May 2015 meeting the Council approved a dues schedule to be put forward for member comment at the Annual Membership Meeting in August. Comments both during and after that meeting led the Council to revise the proposed dues schedule. Most notably the revision reflects consideration of two ideas proposed at the Annual Membership Meeting: 1) creation of a new, higher dues category (ID8) to acknowledge that some archivists earn substantially more than the $75,000 that currently is the baseline for the ID7 category, and 2) a move toward a more progressive dues schedule as a means of ensuring a fair distribution of the dues burden among the various categories of membership.

Council members agreed that a dues increase is critical to support both the ongoing financial stability of the organization and its strategic growth, to reflect cost-of-business increases since the last dues change (July 2011–July 2014), to accommodate changes in non-dues revenue streams (including publications and annual meetings), and to bring SAA into alignment with association best practices and recommendations. The Council reviewed and approved for distribution a revised briefing paper (Appendix) to accompany the all-member referendum.

MOTION 4

THAT the following dues schedule, proposed to take effect on July 1, 2016, be put forward to the general membership via online referendum no later than November 20, 2015:

Membership Category	2015 Dues Current	Proposed Dues (FY2017)	Proposed Dues (FY2018)	Proposed Dues (FY2019)
Retired	$70	$73	$75	$77
Bridge	$50	$52	$53	$55
Student	$50	$52	$53	$55
ID1 (part-time)	$80	$80	$80	$80
ID2 ($20-$29k/yr)	$105	$105	$105	$105
ID3 ($30-$39k/yr)	$130	$133	$136	$140
ID4 ($40-$49k/yr)	$160	$164	$169	$174
ID5 ($50-$59k/yr)	$200	$206	$212	$218
ID6 ($60-$74k/yr)	$225	$233	$241	$250
ID7 ($75-$89,999/yr)	$250	$265	$275	$285
ID8 (>$90k/yr)	$250*	$292	$310	$325
Regular	$300	$320	$330	$340
Sustaining	$550	$565	$580	$595
Associate Domestic	$100	$105	$110	$115
Associate International	$125	$130	$135	$145

*Currently there is no ID8 category; presumably individuals who would be in this category are currently in the ID7 category.

Support Statement: SAA has set itself on a growth-oriented path with an ambitious five-year Strategic Plan, healthy but leveling membership numbers, a high-demand education program in keeping with the Society's core mission, an enlivened but still young Foundation, and commendable staff leadership. The Council must either sustain this growth strategy from predictable revenue sources or acknowledge that its plans are heavily contingent on the increasing success of such products and services as publications, workshops, and the Annual Meeting.

Implementation of a dues increase, effective July 1, 2016, is critical to support the ongoing financial stability of the organization, to reflect cost-of-business increases since the last dues change, to accommodate changes in non-dues revenue streams (including publications, workshops, and annual meetings), and to bring SAA into alignment with association best practices and recommendations. Implementation of a modest dues increase over time enables members and SAA to budget accordingly and allows SAA to develop programs and balance operational costs with anticipated income. A planned increase also minimizes the risk of financial crisis and reactionary budgeting.

In addition, it is highly advisable that SAA ensure that future dues revenue, in combination with the Society's non-dues revenue, will not only support association operations, but also provide approximately 3% to 6% yearly contribution to reserves to support advances in technology, communication, and future member services.

The proposed schedule acknowledges the concerns expressed by some members that the current dues schedule is not progressive (i.e., that the lower-salary categories amount to a higher percentage of salary than do the higher-salary categories). The proposed schedule moves toward a more equitable progressive dues structure over the course of three years.

Fiscal Impact: There is no material direct cost associated with implementing a dues increase. Member attrition as a result of a dues increase cannot be predicted at this time. The projected change in revenue based on the proposed model is an increase over FY 2015 actuals of $42,870 by the end of FY 2017, $69,184 by the end of FY 2018, and $97,525 by the end of FY 2019.

Move: Mangiafico
Second: Wong Smith
Vote: PASSED (unanimous)

B. Committee on Advocacy and Public Policy: Public Policy Agenda Issue Briefs

Among the tasks assigned to the Committee on Advocacy and Public Policy (CAPP) is to "prepare drafts…of position papers, statements, issue briefs, and other documents related to public policy issues, seeking input from members and experts (including component groups) as appropriate and feasible." Issue briefs provide members and other prospective audiences with background and context for SAA positions on the issues identified within the Public Policy Agenda.

1. Strengthening of Federal Records Authority

MOTION 5

THAT the following issue brief on Strengthening of Federal Records Authority be approved:

SAA Issue Brief:
Strengthening of Federal Records Authority

SAA Position
The Society of American Archivists encourages and supports an increase of statutory authority granted to the National Archives and Records Administration (NARA) that will more effectively allow NARA to carry out its crucial responsibility for the proper management of federal records.[1]

The Congress should pass, and the President should sign, legislation that gives NARA the authority and resources to investigate violations of records management laws and policies. Such legislation should also set appropriate penalties – levied according to the degree of authority and responsibility granted to the offender – for noncompliance with existing records management laws and policies. Cases in which violation of records management law are suspected should be referred to the Department of Justice for adjudication.

NARA should be provided the necessary additional resources to carry out a system of robust, regular audits of the records management practices of federal agencies to determine their level of compliance

with existing laws and regulations. Agencies should be audited at least once every five years to ensure compliance.

Such legislation should include language permitting private citizens to initiate judicial proceedings against agencies and organizations in specific cases in which federal records laws are not being appropriately followed or enforced.

Legislation should also be enacted to require all federal government employees and contractors to complete annual training that explains their basic records management responsibilities.

SAA will:

- Advocate for pertinent legislation and the development of appropriate agency regulations, and will support NARA in pursuit of these goals.

- Monitor the most recent amendments to the Federal Records Act (FRA, November, 2014)[2] and assess how they affect NARA's efforts.[3]

THE ISSUES

1. Although the National Archives and Records Administration, under Title 44, Chapters 21 and 29, United States Code, is the official institution responsible for the proper management of federal records, it lacks sufficient authority to enforce existing federal records laws. Instead, NARA is obliged to rely on federal agency adherence to NARA's records management training and policies and proactive internal enforcement on the part of federal agencies. Current criminal penalties (18 U.S.C. § 2071)[4] address only the willful concealment, mutilation, or destruction of records, but are silent on instances in which agencies or individuals fail to adhere to records management regulations. The current system of relying on agency compliance without any institutionalized enforcement authority for NARA is ultimately untenable, and has resulted in numerous gaps in the documentary record of the United States government. Although NARA is making every effort to involve agency Inspector Generals (as NARA's own Inspector General lacks authority) in recordkeeping practices, this simply is not enough.

   SAA believes that in order to carry out its vitally important functions, NARA must be vested with statutory authority to investigate potentially illegal activities related to records creation, retention, and management carried out by any and all federal agencies. Further, NARA's current inspection authority based in 44 U.S.C.§ 2906 should be amended to explicitly include authority to determine when an agency is failing to adhere to current records management laws and regulations. Approved penalties for violations of federal records laws and regulations should be strengthened and NARA's determination as to whether such violations have occurred should be referred to the Department of Justice, as the nation's leading law enforcement agency, for appropriate action.

2. Despite the fact that records management laws and regulations have been on the books for decades, non-compliance with the letter and spirit of accountability and transparency, which are inherent in these statutes, is a regular occurrence. Currently agencies are required to assess their own records management posture and report their findings to NARA, which in turn issues a consolidated report. After five years of self-assessments, however, the 2013 report[5] indicates that 71% of Executive agencies are at a moderate to high risk of compromising the integrity of public records. Leaving agencies to self-regulate their compliance with existing regulations has repeatedly proven to be ineffectual, especially given the lack of resources that agencies often dedicate to their records management operations. Further, self-regulation leaves information professionals, some of whom are

SAA members, subject to political expediency and pressure from agency leadership. In 2010, NARA restarted an inspection program in accordance with 44 U.S.C. § 2906.[6] This was done within existing resources and, because of this, NARA has been able to complete only two to three inspections per year.[7]

A more robust outside audit authority, as represented by NARA, would place agency leadership on notice that their records management decisions and practices will be reviewed and assessed against existing regulations. Regular audits would highlight deficiencies and allow agencies to address any shortcomings before they become critical problems affecting the historical record. In his presentation at the 2015 SAA Annual Meeting (Session 304), Archivist of the United States David Ferriero indicated his support for embedding NARA employees in federal agencies. He further opined that NARA could do more if it had 500 additional employees. NARA should be provided the resources necessary to carry out an expanded inspection function.

3. Because the United States Government answers to the American people and protects their liberties and interests, the people have a vested interest in ensuring that the documentary record of their government is complete and accurate, and that public officials follow the law. Because of this, SAA believes that any legislation that expands NARA's records authority must also allow private citizens to sue the government to ensure that agencies are not violating federal records law. When public officials or agencies willfully disobey that law, they prevent citizens from having a full and proper understanding of what the government does in their name. Therefore, SAA believes that a citizen has the inherent standing to sue the government and force compliance with the law.

4. Currently there is no requirement based in law that federal employees receive regular, standardized, and simple records management training across the federal government. The 2012 OMB/NARA Memorandum on Managing Government Records[8] indicates that Executive agencies must establish records management training, but is silent on methods and procedures due to agency size and structure. This point was reiterated in the 2014 OMB/NARA Memorandum on Guidance on Managing Email.[9] This, however, has resulted in inconsistent and sometimes ineffective efforts, with some agencies doing better than others.[10]

It is unrealistic to expect all government employees or contractors to understand their responsibilities—much less be equipped to comply with records management statutes and policies— without adequate training. All new employees should be required to complete training within 30 days of entering on duty. Furthermore, the lack of regular, ongoing training is inconsistent and incompatible with the expectation that agencies adhere to proper records management practices. Although each agency may have unique circumstances, there nonetheless are some basic records management concepts, best practices, and regulations with which anyone who creates or receives records as part of their official duties should be intimately familiar. A recent survey of federal employees involved with records management found significant lack of confidence in existing practices whereas "improved training and awareness was cited as one of the most vital recommendations to ensuring federal records are secure."[11] Basing a training requirement in law would not only reinforce the importance of adhering to current records management requirements, but would strengthen records management across government agencies while also providing a stronger basis for adverse actions against any individual who is complicit in violating records management regulations.

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[1] CAPP recognizes that any statutory proposal would require coordination and review by the Office of Management and Budget (OMB) and other agencies.
[2] Presidential and Federal Records Act Amendments of 2014, P.L. 113-187, https://www.congress.gov/113/plaws/publ187/PLAW-113publ187.pdf

[3] Major updates to the Presidential and Federal Records Acts include:

- Strengthening the Federal Records Act by expanding the definition of federal records to clearly include electronic records. This is the first change to the definition of a federal record since the enactment of the act in 1950.
- Confirming that federal electronic records will be transferred to the National Archives in electronic form.
- Granting the Archivist of the United States final determination of what constitutes a federal record.
- Authorizing the early transfer of permanent electronic federal and Presidential records to the National Archives, while legal custody remains with the agency or the President.
- Clarifying the responsibilities of federal government officials when using non-government email systems.
- Empowering the National Archives to safeguard original and classified records from unauthorized removal.
- Codifying procedures by which former and incumbent Presidents review Presidential records for constitutional privileges. Formerly this process was controlled by an Executive Order subject to change by different administrations.

[4] Concealment, Removal, or Mutilation Generally, 18 U.S.C. § 2071, http://www.gpo.gov/fdsys/pkg/USCODE-2013-title18/pdf/USCODE-2013-title18-partI-chap101-sec2071.pdf

[5] NARA Records Management Self-Assessment (RMSA), http://www.archives.gov/records-mgmt/resources/self-assessment.html

[6] Inspection of Agency Records, 44 U.S.C. § 2906, http://www.gpo.gov/fdsys/pkg/USCODE-2013-title18/pdf/USCODE-2013-title18-partI-chap101-sec2071.pdf

[7] NARA Records Management Oversight Inspection Reports, http://www.archives.gov/records-mgmt/resources/inspections.html

[8] Managing Government Records Directive, OMB/NARA Memorandum, August 24, 2012, https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf

[9] Guidance on Managing Email, OMB/NARA Memorandum, September 15, 2014, https://www.whitehouse.gov/sites/default/files/omb/memoranda/2014/m-14-16.pdf

[10] By comparison, every federal employee, including contractors, is required, as part of the Federal Information Security Management Act (FISMA) to complete training in order to access government information systems. This has resulted in annual, online training standardized across agencies.

[11] Amanda Vicinanzo, "Information Technology: Federal Agencies Lack Confidence in Records and Information Management Practices," *Homeland Security Today*, May 18, 2015, accessed June 26, 2015, http://www.hstoday.us/focused-topics/information-technology/single-article-page/federal-agencies-lack-confidence-in-records-and-information-management-practices.html.

Approved by the SAA Council in November 2015.

Support Statement: In support of SAA's Public Policy Agenda, this issue brief provides members and other prospective audiences with SAA's considered opinion on the topic of federal records authority and its support of the greatest possible public access to government records and permanent preservation of these records.

Relation to Strategic Priorities: Addresses Goal 1. (Advocating for Archives and Archivists), Strategy 1.2. (Educate and influence decision makers about the importance of archives and archivists), Strategy 1.3. (Provide leadership in ensuring the completeness, diversity, and accessibility of the historical record), and Strategy 1.4. (Strengthen the ability of those who manage and use archival material to articulate the value of archives).

Fiscal Impact: Approval of the issue brief does not commit SAA to expend funds on any particular advocacy effort at this time.

Move: Mangiafico
Second: Pyatt

Vote: PASSED (Yes: Cooper Cary, Hackbart-Dean, Jules, Kiesling, Mangiafico, McGovern, Pyatt, Smith, Vagts. Abstain: Stadel-Bevans.)

2. Privacy in Public Records

The Committee on Advocacy and Public Policy (CAPP) had proposed an issue brief on "Confidentiality of Private Information Held in Public Records." The Council returned the brief to the committee with a request that it be made consistent across federal, state, and local records, and noted that the Council would hold an online discussion and vote upon receiving a revision.

3. Archivists and the Term of Copyright

The Intellectual Property Working Group (IPWG), whose members are experts on copyright, were asked by CAPP to draft an issue brief on "Archivists and the Term of Copyright," which was then reviewed by CAPP prior to presentation for Council approval. The Council returned the brief to the IPWG with specific recommended edits and a request that the group consult with the Business Archives Section before returning a revision to the Council for online discussion and vote.

C. Standards Committee: TS-EAS Description

The Standards Committee recommended a revised charge for the Technical Subcommittee on Encoded Archival Standards (TS-EAS) to highlight the necessity for international participation in the ongoing development and maintenance of encoded archival standards. The recommendation was submitted to the Council in response to feedback received during and after the 2015 Annual Meeting from members of the Standards Committee and technical subcommittees.

MOTION 6

THAT the Technical Subcommittee on- Encoded Archival Standards charge be revised as follows (*underline = addition, strikethrough = deletion*):

Technical Subcommittee on Encoded Archival Standards

I. Purpose

The Technical Subcommittee for Encoded Archival Standards (TS-EAS) will be responsible for the ongoing maintenance of EAD and EAC-CPF, including all schemas and related code, as well as the development of future companion standards, such as the proposed Encoded Archival Context for Functions. Its membership will be sufficient to encompass the necessary domain expertise for each standard and schema development, and will include broad international representation including SAA members and other professionals from the international archival community. The members of the committee will foster the thoughtful evolution of archival encoding standards on behalf of and in consultation with the global archival community. and in close collaboration with the International Council on Archives Experts Group on Archival Description.

II. Committee Selection, Size, and Length of Term

~~All members of the technical subcommittee shall demonstrate significant knowledge of and experience with archival schemas generally, and with EAD and EAC-CPF specifically.~~ The technical subcommittee shall be composed of between fifteen and twenty members (including two co-chairs) appointed by the SAA Vice President / President-Elect for staggered three-year terms so that a minimum of three individuals are appointed by the Vice President each year. <u>The committee will reflect the international nature of the standards it develops, and will include balanced representation from its user communities.</u> <u>A majority of the committee members will be members of SAA unless sufficient expertise is not available within the SAA membership, in which case the composition of the committee may be adjusted at the discretion of the Council.</u> ~~SAA members will make up a majority of the subcommittee membership.~~ All members shall demonstrate significant knowledge of and experience with archival schemas generally, and with EAD and EAC-CPF specifically. The chairs and members of TS-EAS may be reappointed.~~; no member shall serve for more than nine years.~~

The Technical Subcommittee for Encoded Archival Standards co-chairs will be appointed by the SAA Vice President / President-Elect, and serve as the primary contact between TS-EAS, SAA, the Standards Committee, and other related organizations. At least one co-chair will be a member of SAA. ~~and the other will be a member of the international archives committee.~~

Ex officio members of TS-EAS shall include the following if they are not regular members of the subcommittee:
- Co-chairs of the Standards Committee;
- Chair or co-chairs of the EAD Roundtable;
- Representative from International Council on Archives Experts Group on Archival Description, Committee on Best Practices and Standards, or other groups as appropriate.
- <u>Representatives from institutions hosting technical documentation for standards maintained by TS-EAS (e.g., Library of Congress for EAD and the Staatsbibliotek zu Berlin for EAC-CPF).</u>

III. Reporting Procedures

The co-chairs of TS-EAS shall report at least annually to the chairs of the SAA Standards Committee. They will coordinate meeting logistics at the SAA annual meeting and elsewhere, establish TS-EAS priorities and agendas, coordinate dissemination of news from TS-EAS, work with related SAA section and roundtable leaders, and oversee and support the work of various TS-EAS standard leads. If extramural funding is obtained by SAA, the co-chairs shall provide all necessary narrative reports to the SAA office in order that the reporting requirements of SAA and the funding source are met.

IV. Duties and Responsibilities

Within TS-EAS, a member will be designated by the co-chairs as the lead for each standard being maintained or developed. Each standard lead will be responsible, with the support of the co-chairs, for soliciting and compiling comments, logging bugs, leading discussion of proposed changes, articulating and justifying changes to the international community, and coordinating as necessary with other standard leads. There will also be a lead for schema design who will be responsible, with the support of the co-chairs, for coordinating work on schemas and related code and maintaining appropriate GitHub repositories. The TS-EAS co-chairs will also designate a committee member to serve as a secretary, responsible for taking and distributing meeting minutes.

Additional *ad hoc* subgroups within TS-EAS may be formed to address specific issues on a project basis (e.g., a tag library editorial team).

VI. Meetings

TS-EAS shall carry out its charge primarily via electronic mail, regular mail, and conference calls. It shall meet at the SAA annual meeting and as necessary with funding from SAA or from extramural sources (with prior approval by the SAA Council).

Support Statement: Encoded Archival Standards are international standards that have been developed and maintained by a global community of archivists, and therefore the constituent make-up of the Technical Subcommittee for Encoded Archival Standards should reflect the international user community for those standards.

Impact on Strategic Priorities: This recommendation supports Goal 3.1 ("Identify the need for new standards, guidelines, and best practices and lead or participate in their development") and also reflects Goal 4.1 ("Facilitate effective communication with and among members") in that it is a result of member feedback and promotes robust information sharing and collaboration with the international archival community.

Fiscal Impact: None.

Move: Kiesling
Second: Vagts
Vote: PASSED (unanimous)

D. Other Action Items from Council Members

No other action items were brought forward.

E. Executive Session (CONFIDENTIAL) (as needed)

The Council did not hold an executive session.

VI. DISCUSSION ITEMS

A. Member Affinity Groups

Working from a set of recommendations submitted by the Council-appointed Task Force on Member Affinity Groups in November 2014, an internal working group of Council members was charged to "… explore options for simplifying component group structure while preserving the advantages and services provided by existing Sections and Roundtables. The internal working group will assess the impact of a flatter organizational structure, provisions for sun-setting component groups that become inactive, and support for virtual groups as an alternative way of organizing within SAA." The group presented a set of recommendations to the Council in May 2015. The Council agreed to seek member comment on the proposed changes before proceeding, and a call for member comment was distributed broadly beginning on August 13, 2015.

The Council reviewed member comments received during and after the Annual Business (Membership) Meeting in August and discussed a number of questions put forth by Working Group member Lisa Mangiafico and Executive Director Nancy Beaumont. The Council agreed that no major changes in the current structure will be considered until another set of recommendations is proposed (at the May 2016 Council meeting) and fielded for member comment; no changes will be implemented before the 2016 Joint Annual Meeting. In light of the many layers of this issue still in contention and the fact that two Working Group members no longer serve on the Council, the Council moved to reconstitute the Working Group.

MOTION 7

THAT the Council Working Group on Member Affinity Groups be reconstituted with the following members: Lisa Mangiafico (chair), Pam Hackbart-Dean, Rachel Vagts, and Nancy Beaumont (or other SAA staff representative).

Move: Stadel-Bevans
Second: Mangiafico
Vote: PASSED (unanimous)

Support Statement: Given the significant level of concern expressed by members regarding the initial recommendations of the Council Working Group on Member Affinity Groups, it is clear that more work remains to be done. The newly reconstituted Working Group will consider the consolidated member feedback as well as Council members' response to the discussion questions and prepare a revised set of recommendations.

Fiscal Impact: Significant volunteer and staff time to develop recommendations, estimated at 20 hours per volunteer and 40 hours of staff time.

B. Vendor Involvement with SAA Education Programs

Periodically the Council is asked to discuss issues, policies, and procedures regarding vendor participation in SAA programs, activities, groups, and listservs. The Committee on Education sought the Council's "barometer" on engaging industry partners as instructors in SAA workshops. Although open or implied endorsement of specific program activities is problematic for some SAA members, industry partners often are very knowledgeable content experts. Receiving their product information is often worthwhile, and their support for programs can become an important part of a professional association's income stream. The Council agreed this issue was worthy of further exploration, and asked the Committee to develop a proposal for the Council to review at its May 2016 meeting.

C. Hosting of 2020 ICA Congress in Conjunction with SAA Annual Meeting

Beaumont noted that SAA recently was approached by the International Council on Archives (ICA) to consider hosting a joint annual meeting in 2020. The Council agreed that the exchange of ideas and perspectives would be invaluable to SAA members and that a joint meeting would

support SAA's diversity issue and overall Strategic Plan. The Council asked Beaumont to investigate ICA's requirements and, as appropriate, develop a proposal for a joint meeting in 2020, providing clear stipulations to ensure that the integrity of the SAA Annual Meeting is not compromised. Beaumont noted that the Council will be informed of all discussions with ICA.

D. Future Mega Issue Discussion Topics

Council members agreed that setting aside time during Council meetings to discuss "mega issues" is very valuable, particularly in light of the number of big issues embedded in SAA's Strategic Plan. Several Council members suggested ideas for future discussion topics.

E. Other Discussion Items

The Council also discussed:
- A document submitted to Meissner in early November entitled "Overview of Significant Impact of Climate Change on Archives and Archival Institutions." The document had been developed by ProjectARCC, "an independent task force of archivists striving to make a positive climate impact within our profession by working on four key areas in addition to general advocacy initiatives," and was submitted to Meissner by Casey E. Davis with a request that the Council consider how SAA might take action on this issue. The document will be shared with the Committee on Advocacy and Public Policy so that group might make recommendations to the Council about how this issue intersects with SAA's Public Policy Agenda and what actions SAA might take in its support.
- Ideas for possible recipients of the Council Exemplary Service Award in 2016. Several ideas came forward and individual Council members volunteered to draft recommendations for Council discussion.
- A memorandum from Museum Archives Section Chair Barbara Mathe to Meissner regarding non-inclusion of archivists in the Council on Library and Information Resources' (CLIR) Openlab Workshop, a "two-day event [that] will convene practitioners, scholars, and leaders from galleries, libraries, archives, and museums—collectively known as GLAMs—to develop methods that enable the widespread adoption of digital technologies at GLAM institutions." Meissner agreed to follow up with contacts at CLIR to determine why archivists had not been invited and to offer to attend the December 1-2 event in Crystal City, Virginia.
- James Roth's resignation from the Council has left several component groups without a Council liaison. The following assignments were made: Lone Arrangers Roundtable, Lisa Mangiafico; Description Section and Encoded Archival Description (EAD) Roundtable, Kris Kiesling; Military Archives Roundtable, Cheryl Stadel-Bevans; Manuscript Repositories Section, Amy Cooper Cary; Congressional Papers Roundtable, Helen Wong Smith; and Committee on Public Awareness, staff liaisons Nancy Beaumont and Teresa Brinati.
- Council members tentatively agreed to hold the May meeting in Chicago from Wednesday, May 11, to Friday, May 13. Staff will check on the availability of housing and confirm the dates with the Council.

VII. REPORTS

Reports are discussed by the Council only as needed and generally are not summarized in the minutes. They do, however, provide a wealth of information about the work of appointed and component groups and the staff. To view the reports–and all other background materials–see http://www2.archivists.org/governance/reports.

The following reports were reviewed in advance by Council members but were not discussed at the meeting:

A. Executive Committee
B. President
D. Treasurer
E.1. Staff: Executive Director
E.2. Staff: Membership
E.3. Staff: Education
E.4. Staff: Publications
E.5. Staff: Annual Meeting
F. *American Archivist* Editor
G. Publications Editor
H. Diversity Committee (Annual Report)
I. Committee on Advocacy and Public Policy
J. Awards Committee (Annual Report)
K. 2015 Program Committee (Final Report)
L. Committee on Archives, Libraries, and Museums (CALM) (Annual Report)
M. Intellectual Property Working Group
N. SAA-ACRL/RBMS Joint Task Force on Holdings Metris (Interim)
O. SAA-ACRL/RBMS Joint Task Force on Public Services Metrics (Interim)
P. External Representative Report: International Council on Archives Section on Professional Associations

C. Vice President / President-Elect

McGovern noted verbally the additional appointment of Menzi Behrndt-Klodt to the Intellectual Property Working Group.

E.7. Staff: Update on Progress Toward Council-Adopted Recommendations of Communications Task Force

Beaumont noted that the staff had provided an update on the status of the Council-adopted recommendations of the Communications Task Force at each meeting of the Council since August 2013 and, given that all recommendations have been addressed and are now part of SAA's standard operating procedure, recommended that the Council no longer require a formal update at each Council meeting.

MOTION 8

THAT the requirement that staff provide a written update on progress toward Council-adopted recommendations of the 2012-2013 Communications Task Force be rescinded, as the work is ongoing and the Council no longer requires a formal report.

Move: Mangiafico
Second: Pyatt
Vote: PASSED (unanimous)

Q. Other Reports from Council Members / What Are You Hearing from Members?

No other reports were received.

I. COUNCIL BUSINESS (continued)

A. Review of November 2015 Action List

Council members reviewed the draft list of action items stemming from the meeting.

B. Review of November 2015 Talking Points

Council members reviewed the decisions made at the meeting.

C. Meeting Debriefing

Council members briefly provided feedback on the agenda, schedule, and logistics of the meeting.

D. Adjournment

Mangiafico moved adjournment, Stadel-Bevans seconded, and the Council meeting was adjourned by unanimous consent at 10:50 a.m. on Tuesday, November 10, 2015.

Society of American Archivists

Briefing Paper:
Council-Proposed Motion to Implement a
Member Dues Increase, Effective July 1, 2016

This briefing paper was developed to inform the November 2015 online member referendum on a Council-proposed motion to implement a member dues increase, effective July 1, 2016.

SUMMARY

Having considered at length SAA's strategic goals and financial resources, the SAA Council voted at its May 2015 meeting to propose to the membership a dues increase to take effect beginning July 1, 2016. A proposed dues schedule was issued for member comment during and after the Annual Business (Membership) Meeting conducted in Cleveland, Ohio, on August 22, and was modified based on member comments. The increase would apply to most member categories and would be implemented over a three-year period. The proposal is based on the Council's unanimous support for maintaining a growth strategy for SAA as measured by the quality of its member services and the Society's leadership role on behalf of archivists and the archives profession. The Council proposes to the membership the following motion for approval.

MOTION: THAT an increase in SAA member dues be implemented over a three-year period, beginning July 1, 2016, according to the following schedule:

Membership Category	Current Dues (FY2016)	Proposed Dues (FY2017)	Proposed Dues (FY2018)	Proposed Dues (FY2019)
Retired	$70	$73	$75	$77
Bridge	$50	$52	$53	$55
Student	$50	$52	$53	$55
ID1 (part-time)	$80	$80	$80	$80
ID2 ($20-$29k/yr)	$105	$105	$105	$105
ID3 ($30-$39k/yr)	$130	$133	$136	$140
ID4 ($40-$49k/yr)	$160	$164	$169	$174
ID5 ($50-$59k/yr)	$200	$206	$212	$218
ID6 ($60-$74k/yr)	$225	$233	$241	$250
ID7 ($75-$89,999/yr)	$250	$265	$275	$285
ID8 (>$90k/yr)*	$250*	$292	$310	$325
Regular	$300	$320	$330	$340
Sustaining	$550	$565	$580	$595
Associate Domestic	$100	$105	$110	$115

Membership Category	Current Dues (FY2016)	Proposed Dues (FY2017)	Proposed Dues (FY2018)	Proposed Dues (FY2019)
Associate International	$125	$130	$135	$145

* Currently there is no ID8 category. Presumably individuals who would be in this category are currently in the ID7 category.

PROPOSED BY: The SAA Council.

SUPPORT STATEMENT: SAA has set itself on a growth-oriented path with an ambitious five-year Strategic Plan, healthy but leveling membership numbers, a high-demand education program, a publications program that is working toward a successful e-publishing business model, and nascent advocacy and public awareness efforts. This growth strategy can be sustained only if SAA maintains an appropriate balance of revenues from both member dues and non-dues sources (i.e., product and service sales). The table lays out the proposed dues schedule, which would be implemented over a three-year period. In response to member comments, the schedule includes a new ID8 category for members earning $90,000 or more per year and moves toward a more progressive dues schedule (based on the percentage of her/his income a member would pay in dues) by freezing dues in the ID1 and ID2 categories for the implementation period and adjusting the dues rates for other categories. The Council believes that the proposal is consistent with SAA's core organizational values and is necessary to achieve SAA's mission.

FISCAL IMPACT: Assuming no decline in membership, the proposed three-year increase would yield an additional $42,870 in dues revenue by the end of FY 2017, an additional $69,184 by the end of FY 2018, and an additional $97,525 by the end of FY 2019. This proposal not only provides support for the Society's routine operations but also will generate a modest yearly contribution to reserves (in the range of 3% to 6%) to support continued advances in technology and communication and future member services. It is not possible to estimate at this time how many members may drop their memberships as a result of a dues increase.

BACKGROUND

The scheduled conclusion of approved dues increases in FY 2014 caused the SAA Finance Committee to examine the Society's capacity to provide a solid financial plan to support SAA's ambitious strategic direction. The Committee has been especially aware of the importance of member dues in SAA's finances and of its charge to "…annually review SAA dues and dues revenue to assure SAA's long-term financial stability." The Committee considered the appropriateness, scope, timing, and financial details of a dues revision at each of its in-person meetings in 2012, 2013, and 2014 and via several conference calls during which the group discussed the financial resources needed to ensure SAA's future stability.

The Committee recommended to the Council in November 2014 that a three-year stepped dues adjustment be implemented, effective July 1, 2016. At that time the Council affirmed the need to move forward with a dues increase proposal, pending some revisions of the dues schedule. At its May 2015 meeting, the Council discussed a proposed dues schedule and voted unanimously to bring the proposal forward to an all-member referendum in 2015. SAA's Bylaws state that member dues changes must be discussed at the Annual Business Meeting prior to conducting a referendum. At its November 8-10, 2015, meeting the Council approved a dues schedule that was revised based on member comments received during and after the 2015 Annual Business Meeting. See the Council's discussion document here, and note in particular (on pages 4-6) the various scenarios that were explored.

The motion is presented to eligible voting members via an online referendum to be initiated between 60 and 90 days after the Annual Business Meeting (e.g., on or before November 20, 2015).

DISCUSSION / ANALYSIS

The SAA Council, which bears fiduciary responsibility for the organization, believes that implementation of a modest dues increase in July 2016 is critical to SAA's ongoing financial stability. The proposed schedule addresses cost-of-business increases since the last dues change ending in FY 2014 and accommodates forecasted changes in non-dues revenue streams, including publications and annual meetings. Implementing the increase over a three-year period enables SAA to budget accordingly and to develop programs and implement technology enhancements with some measure of predictable income. A planned increase also minimizes the risk of financial crisis and reactionary budgeting.

The Council's original proposal was modified in response to member feedback that 1) an ID8 category be created to acknowledge that some archivists' salaries are well above the $75,000 that previously was the maximum salary reflected in the dues schedule (in the ID7 category) and 2) SAA should move to a more fully "progressive" dues structure based on an equivalent percentage of salary applied across all categories. The Finance Committee and Council acknowledge that the proposed schedule moves toward a more progressive structure, but does not (yet) fully achieve that goal based on the critical need to maintain the dues income forecasted in years 1 to 3 to support SAA's strategic plans and operational needs and to minimize the risk of attrition among the member categories that comprise approximately 51% of dues revenue.

As a result, in part, of the resources derived from the 2011-2014 dues increase, SAA has been able to 1) invest in development of a robust professional education program; 2) experiment with e-publishing and annual meeting models in response to member feedback; 3) launch new advocacy and public awareness initiatives; 4) take steps to make the SAA website more functional, accessible, and content-rich; and 5) create a reserve that will enable purchase of a more nimble and functional association management software system. Technology is expensive, and we must maintain a steady (predictable) investment in it or risk spending money on temporary, patchwork responses to members' needs.

To sustain its overall growth, SAA must have a baseline measure of predictable income (i.e., dues) so that the organization is not overly reliant on the increasing success of such revenue-producing products and services as publications, workshops, and annual meetings and so that it can continue to invest in its infrastructure and technology to support the programs that address member needs and interests.

- Members are turning to SAA for continuing education in record numbers as career opportunities widen. SAA must continue to enhance its education offerings and upgrade methods of delivery. Capacity is stretched thin currently; the human talent is in place and technology/infrastructure solutions to expand capacity are within our grasp. Building on the DAS model, for example, SAA is poised to launch additional certificate programs, beginning with Arrangement and Description in early 2016.

- Based on member feedback, SAA is experimenting with new locations and models for the annual meeting. Although we all agree this is the right thing to do, experimentation will require some compromises in achieving the best financial results from this critically important source of non-dues revenue. Notwithstanding the potential impact of experimenting with new models, the costs of travel, room rental, AV, and food and beverage will continue to increase.

- The early 2000s marked years of progressive growth in publication revenue that halted with the 2008 recession. Since then, publication sales have declined steadily despite SAA's move to electronic

publications. This "loss leader" program awaits a successful e-publishing business model. In the meantime healthy revenues from member dues will allow SAA to maintain high-quality professional publications and implement new platforms that are the foundation of this emergent business model.

- To remain the preeminent professional organization representing the interests of archives and archivists, SAA must ensure the sustainability of its investments in advocacy and public awareness efforts through outreach and coalition building. Modest funding of our early efforts has produced modest results in view of our ambitious goals. Bolder initiatives and the possibilities that come from experimental risk will require a greater investment and continuous funding.

- Although SAA's membership remains healthy at 6,200+, growth has leveled off. The FY16 budget projects no growth in number of members.

SAA member feedback has shown the importance of developing and maintaining best-in-class information technology, e-publishing and subscription services, and professional education programs and initiating advocacy and public awareness efforts. During the past three years the organization has been able to address each of these areas, but continuing this work is expensive and must be sustained over time to be effective. A modest dues increase, phased in gradually, allows for SAA to plan and implement complex systems and programming enhancements with confidence that revenues are suitable to the task. Without such confidence, we run the risk of scaled-back ambitions and short-term budget planning.

CONTACTS FOR MORE INFORMATION:

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SAA Treasurer Cheryl Stadel-Bevans (2015-2018): treasurer@archivists.org.

SAA Executive Director Nancy Beaumont: nbeaumont@archivists.org.

SAA Director of Finance/Administration Peter Carlson: pcarlson@archivists.org.