

Society of American Archivists Foundation Board of Directors Meeting

2016-2017 Development Plan Updated November 2016

(Prepared by Development Committee Members Carla Summers [Chair], Brenda Gunn, Chris Ward, and SAA Staff Nancy Beaumont and Peter Carlson)

INTRODUCTION TO THE PLAN

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. To that end, the SAA Foundation will support:

- Research and reporting about the profession, its practice, and its practitioners;
- Development of professional growth opportunities;
- Recognition of archivists via scholarships, travel assistance, and awards;
- Programs to enhance the performance of repositories; and
- Efforts to persuade influential external organizations to create or promote archives.

In addition, the SAA Foundation will seek to strengthen itself by enhancing its accountability, development, and governance. These areas of support were developed and approved in 2014.

The SAA Foundation, in conjunction with the Society of American Archivists, makes a number of awards that recognize excellence in archival work and assists those entering and practicing in the profession.

History of the Foundation Development Plan

This 2016-2017 document is an update of the Development Plan approved by the SAA Foundation Board in August 2015. It is based on years of work beginning with a "Fundraising Committee's Plan" developed in March 2006. The 2015 Plan was generated by a June 2014 committee meeting with a development consultant. **The Development Committee submits this document for the Board's discussion and approval.**

Overall Goal of the Foundation's Development Efforts

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. Projects mentioned in this plan do not preclude the selection, by donors, of projects that interest them and that they wish to fund.

EXECUTIVE SUMMARY: BUDGET ITEMS RECOMMENDED IN THE PLAN

Amount	Brief Details of Recommendation with Page Number
\$5,000	Consultant for annual appeal support, page 3
\$10,000	Consultant for evaluating giving capacity of selected donors, page 7
\$5,000	Fundraising workshop for members at 2017 Annual Meeting, page 10

THE DEVELOPMENT PLAN

The Development Committee has identified activities for generating income that will fund an ambitious future for the profession. The Foundation’s ability to consider opportunities for funding established and special projects depends on identifying income streams that advance the interests of the SAAF and the professional goals and priorities of SAA, the corporate member. **The 2016-2017 Development Plan contains activities to develop those streams by raising monies through recognized mechanisms and in specific program areas.**

To provide context, the table below reflects the **yearly history of our fundraising efforts OVERALL**. The donor numbers reflect **unique** donors. Please note that many donors give to more than one fund so the number of gifts is higher than the number of donors.

Fiscal Year	Donors	Amount Given OVERALL
Fund Balance		\$1,023,786
2016	364	\$68,836
2015	304	\$41,741
2014	210	\$55,680
2013	189	\$34,960

CONGRATULATIONS! FUNDRAISING OVERALL HAS INCREASED BY \$32,792 IN FY16, AN INCREASE OF 65% WITH AN INCREASE OF 60 DONORS. THE TOTAL OF 364 UNIQUE DONORS IS ONLY 6% OF THE TOTAL SAA MEMBERSHIP OF 6,093. THERE IS A HUGE CAPACITY FOR GIVING WITHIN THE SAA MEMBERSHIP.

ACTIVITY 1: IMPLEMENT THE ANNUAL APPEALS

An end-of-calendar-year Annual Appeal is our historic means of raising funds. In 2016 the Annual Appeal umbrellas expanded to include a Day of Giving campaign on June 20. (Planning for a spring appeal around MayDay—to support the National Disaster Recovery Fund for Archives—was not initiated in time to implement.) **The Day of Giving campaign yielded \$12,701 overall, of which \$10,586 was designated for the Mosaic Fund. Further, 90 donors participated, of whom 35 were new donors. Thanks to all staff who were involved in the inaugural event.**

For the first time in 2016, the SAAF defined parameters for identifying gifts received only during the end-of-year Annual Appeal. The table below summarizes all gifts received in December and January for the 2015-16 winter appeal. By far the greatest giving activity occurs during the traditional Appeal. These numbers are a subset of yearly giving. **If the Board approves, this table should include the numbers for other “annual appeals” such as the June 20 Day of Giving.**

Fiscal Year	Donors	Amount Given ANNUAL APPEAL
2016 Dec. and Jan.	117 (unique donors)	\$28,760

TOGETHER WITH THE JUNE 20 DAY OF GIVING, ANNUAL APPEAL FUNDRAISING TOTALS \$41,461 IN FY16. CONGRATULATIONS, ANNUAL APPEAL GIVING MATCHED THE TOTAL GIVING OF \$41,741 IN FY15! THE GOAL IN 2017 IS TO INCREASE THIS AMOUNT BY 10%, OR \$4,146.

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). After review, the Development Committee finds that the October appeals are too close 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, could 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.) **Planning by the Annual Appeal Committee should proceed for the MayDay appeal, the Day of Giving campaign, or possibly both and begin to access giving capacity of corporations such as our annual meeting exhibitors.**

Direct Costs

Expenses would include printing and mailing of promotional material and staff time plus consultants to assist staff in the activity. This activity will rely heavily on Board members' volunteer efforts for preparation of content and personal contacts. **It should be noted that much of the activity for the Annual Appeal occurs around the same time as the meetings of the Council and the SAAF Board. The Committee recommends that a consultant be hired to increase staff capacity during this busy period. Recommended budget amount: \$5,000.**

Timetable

The Society of American Archivists Annual Appeal is kicked off in the fall of each year by a letter and/or email message from the President to the general membership and subgroups of the membership (e.g., past presidents of SAA, SAA Fellows, past donors). In the past, the President has recommended special initiatives or favorite giving opportunities. In 2015, the entire board, with the President's approval, recognized the Mosaic Fund as the priority. Special initiatives should be decided by the Board and approved by the President after the annual meeting. **We recommend that the Annual Appeal be managed by an Annual Appeal Committee comprising the SAA President, the SAAF Board Chair, the Executive Director, and two other Board members.** The Annual Appeal is a recurring solicitation that establishes a link between the 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, vendors, etc., who would make a gift because of their relationship with the Board member. These prospects should be contacted personally by Board members. One reason why the overall fundraising was so successful in 2014 was because of personal contacts.

Proposed Time Line for 2016-2017

August 2016

- Appoint Annual Appeal Committee, with a charge to 1) manage the traditional annual appeal, 2) target constituencies and individuals, and 3) plan/implement the spring appeal. (SAAF Board)

October 2016

- Create mailing lists for Annual Appeal. (Staff)
- Submit copy to *Archival Outlook* for Foundation's annual report in November/December issue. (Annual Appeal Committee)
- Draft of Annual Appeal letters to Board for review and suggestions. (Annual Appeal Committee)
- Annual Appeal letters approved. (SAAF Board)
- Incorporate #GivingTuesday into the end-of-year appeal. #GivingTuesday is a global day of giving fueled by the power of social media and collaboration and observed on the Tuesday following Thanksgiving. #GivingTuesday kicks off the charitable season, when many focus on their holiday and end-of-year giving. There was discussion at the May 2016 meeting of asking Ancestry.com to match funds raised in a Giving Tuesday campaign. We had heard that they were going to be approached for a major gift within this time frame. However, it was decided that this was not the year to approach them with a request to use their donation for matching purposes. **The Committee will continue to seek a funder to offer a match for the Giving Tuesday initiative.** (Annual Appeal Committee, Development Committee, Staff)

November 2016

- Send Annual Appeal letters/communications. (Staff)
- Personalize website for Annual Appeal. (Annual Appeal Committee, Staff)
- **At November 2016 annual meeting, review prospects for personal contact by Board members.**

November and Early December 2016

- Personal calls. (SAAF Board)

January 2017

- Annual Appeal thank you letters completed and mailed. (SAAF Board, Staff)

April 2017

- Initiate spring appeal in conjunction with MayDay. Or, plan a day of giving via social media or a direct mail for June. (Annual Appeal Committee, Staff).

May 1, 2017 or June, 2017

- Implement online campaign or do direct mailing. (Staff)

May 2017 or June, 2017

- Call target prospects. (SAAF Board)

Target Constituencies

All SAA members, especially customized appeals to individuals with capacity to give, past donors including past Presidents, Fellows, past SAA leadership, those who have never given to SAA (an estimated 5,729 members), those under 5 years in the profession, and the Foundation Board. **The Annual Appeal could have a special focus on nonmembers or individuals who are members of their regional/state societies but**

not members of SAA. This constituency receives very little information about SAAF but they are archivists. The goal for this constituency is to raise awareness of SAAF. As the Foundation works toward a more collaborative relationship with the state and regional associations, shared fundraising could become a reality. See the list of tasks under Activity 2, Regional Archival Associations Consortium.

Other target constituencies could be identified from analyzing names of those giving in FY16 against membership lists. This “non-giving” group could be contacted by Board members, inviting them to participate.

ACTIVITY 2: STEWARDSHIP

Stewardship is the management of both the Foundation’s resources and of its relations with the actual donors who contribute resources to the Foundation and with 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 to 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 especially important to ensure that the Foundation is seen as an entity that increases SAA’s ability to achieve objectives beyond those that can be accomplished solely through dues and product/service revenues.

Plans for cultivating and maintaining contact with SAAF donors should be developed with attention to achieving maximum impact with minimum strain on the limited infrastructure available. Specific events have included a reception after the 2014 annual meeting and a breakfast, sponsored by the Foundation and SAA, at the 2016 annual meeting. **A discussion of stewardship possibilities for the fiscal year and the 2017 Annual Meeting should be placed on the November meeting agenda.**

ACTIVITY 3: PROMOTE THE DIVERSITY OF THE PROFESSION

SAA has adopted as a core value and central mission the creation of a diverse profession and an inclusive historical record. The Mosaic Scholarship Fund is the primary way in which SAAF promotes diversity in the American archives profession. This Fund provides financial support to minority students who are pursuing graduate education in archival science. **The Mosaic Fund was the focus of our 2016 Annual Appeal.** History of giving is as follows. The numbers are a subset of yearly giving. Numbers of donors in the subsets of yearly giving by fund reflect total number of donors.

Fiscal Year	Donors	Amount Given MOSAIC
Fund Balance		\$24,280.00
2016	128	\$31,521.00
2015	38	\$2,875.00
2014	32	\$2,340.00
2013	25	\$1,453.00

One Mosaic Scholarship = \$5,000.

CONGRATULATIONS! FUNDRAISING FOR THE MOSAIC FUND HAS INCREASED BY \$28,646 in FY16. THE GOAL IS TO INCREASE BY 10% IN 2017, OR \$3,152. MONEY FROM THIS GIVING WAS USED TO REDUCE THE DEFICIT IN THE FUND.

Diversity and the Mosaic Scholarship Fund are enduring commitments of the SAAF and represent a long-term giving opportunity. There have been successful efforts pursuing funding with partner groups for external support of the Scholarship. (We are now entering a second round of grant funding from the Institute of Museum and Library Services called the Mosaic Program. It is a program sponsored by SAA and the Association of Research Libraries that provides for assistance for graduate-level education, a paid archives internship, a mentoring relationship, leadership development, and career placement assistance. The Development Plan should consider how the broader Mosaic Program might be sustained when “Mosaic II” expires in 2019.) **The Mosaic Fund stands alone in supporting long-term inclusiveness for the Society.**

Direct Costs: Expenses include printing and mailing of promotional material, consultant (see below), and staff time. This work also 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. Cost could be as much as \$10,000.

ACTIVITY 4: EXTEND THE SUCCESSFUL WORK OF THE NATIONAL DISASTER RECOVERY FUND FOR ARCHIVES

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. Overview of giving for this Fund is as follows. These numbers are a subset of yearly giving. Numbers of donors in the subsets of yearly giving by fund reflect total number of donors.

Fiscal Year	Donors	Amount Given NDRFA
Fund Balance		\$51,727.00
2016	112	\$7,024.00
2015	51	\$2,719.00
2014	68	\$5,306.00
2013	92	\$6,966.00

CONGRATULATIONS! FUNDRAISING FOR THE NDRFA HAS INCREASED BY \$4,305 IN FY16. THE GOAL IS TO INCREASE BY 50% IN 2017, OR \$3,512.

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 Fund.
 - Contact Section leaders.
 - Schedule time to talk with steering committee.
 - Request time on business meeting at annual meeting – this may be only a general mention of the SAAF, rather than specific talk about the fund.
 - Acknowledge the section’s past contributions and the important role in the development of the fund. Key points to be delivered to and through the following: Steering committee, business meetings, section’s communication outlets.
 - Communicate information about the following: Status of the National Disaster Recovery Fund for Archives (amount, donations, recent grants, current status of the fund) and SAA Foundation in general.
 - Ask for continued championing. Some suggestions for them would be on: Communication, fundraising, MayDay. **Make the NDRFA the focus of the May Day 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.
 - 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, business meeting, SSA’s communication outlets.
 - Ask for continued championing. Some suggestions for what SSA might do include: Communicate about the fund; raise funds for the NDRFA or donate to it; target a season or an event to focus on this fund.

- **Individuals**

- Contact individuals who played significant roles in the aftermath of the hurricanes that have come to define the grant (e.g., Richard Pearce-Moses, SAA president in 2005; Gregor Trinkaus-Randall, Preservation Section chair in 2005; Julia Marks Young, Mississippi Department of Archives).

Past Recipients of NDRFA Grants

- Check in to see how they are doing.
- Inquire whether they will provide statements regarding their recovery.

ACTIVITY 5: LOOK TO REGIONAL ARCHIVAL ASSOCIATIONS CONSORTIUMS

This activity provides a strategy for contacting archivists through their regional archival associations for marketing the Foundation and possible cooperative fundraising. It is part of stewardship to another constituency.

Regional Archival Associations Consortium

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

- Contact RAAC steering committee leaders.
- 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 RAAC can partner with the Foundation for the benefit of its constituencies, both in disaster recovery and in the larger foundation arena.
- Will RAAC encourage its members to donate to the fund/Foundation since the benefits extend to non SAA members, in the case of the NDRF fund in particular?
- Inventory who on the SAAF is active in these associations and have them serve as liaisons.

ACTIVITY 6: ENHANCE THE CULTURE OF GIVING FOR SAA MEMBERS, LEADERSHIP, 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: This activity 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 of practicing archivists to do fundraising.

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. Still,

this is the most important aspect of the plan for the SAAF to address and fund early because it will provide the infrastructure on which to build all other parts of the plan. The long-term potential and success of the Foundation depends 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 embraces and supports fundraising activities to enhance the work of the archives community. **Projected funds needed for FY 2017: \$5,000. Specific activities include providing a workshop for practicing archivists at the 2017 Annual Meeting. The \$5,000 will cover honoraria, travel, and other costs.** It is hoped that this workshop can become self-supporting.

Timetable: Our long-term financial needs will include the purchase of fundraising software to support activities as well as hiring a part-time development professional to oversee the program. *(Note: A proposal outline and narrative for approaching foundations that included training and hiring a development professional was presented at the 2014 SAAF meeting in Washington, DC. The difficulty of raising money for hiring and sustaining a development professional was recognized and the proposal was shelved.)* See 0814-SAAF-II-D-DevelopGrant.pdf and the 2015 Development Plan for an outline of tasks associated with this activity.

Information on the Strategic Growth Fund

Before this year’s focus on the Mosaic Fund, the Foundation was committed to promoting the unrestricted Strategic Growth Fund. This 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. Numbers of donors in the subsets of yearly giving by fund reflect total number of donors.

Fiscal Year	Donors	Amount Given STRATEGIC GROWTH
Fund Balance		\$115,944.00
2016	52	\$16,103.00
2015	79	\$24,882.00
2014	66	\$24,430.00
2013	31	\$11,464.00

THE COMMITTEE BELIEVES THAT FUNDRAISING FOR THIS FUND FELL BECAUSE OF THE FOCUS ON THE MOSAIC FUND. THE GOAL IS TO INCREASE BY 10% IN 2017, OR \$1,610. FUNDING FOR ACTIVITIES RECOMMENDED BY THIS PLAN WILL REDUCE THE FUND BALANCE BY \$20,000.

ACTIVITY 7: JOIN COLLEAGUES IN CREATING A LEGACY THROUGH PLANNED GIVING

Rationale and History: Planned giving is the next step for SAA members. The most accessible giving vehicle for SAAF is through a will or a bequest, in which the donor commits to give a share of her or 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 activity should encourage archivists to leave a legacy beyond the important contributions of their professional work and their individual donations.

Goal: Provide compelling text regarding planned giving for publication on the Foundation website.

Staff Time: Stewardship of planned donors is an ongoing process long before the gift is received. It may 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 of providing information on the website.

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

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