

**Society of American Archivists
Council Meeting
January 23 – 26, 2013
Chicago, Illinois**

**SAA's Born-Digital Records and Records Generally
(Prepared by: Beth Kaplan, Bill Landis, Donna McCrea)**

This is an interim report on the actions taken thus far by the Council subgroup tasked with the omnibus Council action item on the subjects of SAA's digital records, persistent URLs for Council minutes, and trusted digital repositories and SAA's archives. It contains both a recommended action and discussion points on which we would like additional input from the Council.

BACKGROUND

This task appears to have originated in May 2010 as a staff assignment, seeking to address “growing concern, especially given the migration of materials to Drupal” by determining if “UW-Milwaukee has capacity to take on SAA's digital materials.”¹ It remained a pending or ongoing staff assignment on subsequent To Do lists until January 2012, when it was restated as a broader assignment exploring, in addition to SAA's digital records, “what is necessary for SAA in terms of a Trusted Digital Repository, persistent URLs, AA/Metapress URLs, and scale requirements.” At that point the task was re-assigned to Council members Kaplan, Landis, and McCrea.²

In June 2012, Kaplan, Landis, and McCrea requested that the assignment be split into two phases:

1. Gathering information relating to SAA's existing records schedule, digital content (including an assessment of risk and development of appraisal language relating to it), and capacity for preserving digital content at SAA's archival repository at the University of Wisconsin-Milwaukee Archives (UWM). (Due 11/1/12)
2. Identifying for presentation to Council strategies for preserving SAA digital content that needs to be preserved and resources needed. (Due as a January 2013 agenda item)³

¹ <http://www.archivists.org/council/Council0810/0810-1-I-C-0510ToDo.pdf>, item 78 in Section A.

² <http://www2.archivists.org/sites/all/files/0612-I-C-ToDo0112.pdf>, item E8.

³ See the file 0612-I-C-0612ToDo_Updated.xlsx, distributed to Council by René Mueller in an email dated 2012-07-11.

This action/discussion item for the 0113 Council agenda is submitted in lieu of the report due on 11/1/12. We seek further input from the Council on next steps in addressing what appears to be the lack of a meaningful records schedule for SAA records generally, which seems to us a critical first step in moving forward with identifying, capturing, and preserving the born-digital records of the organization. We have included a recommendation to appoint a short-term, very focused task force charged with reviewing the information gathered thus far, seeking additional information as needed, and drafting records retention guidelines for SAA to be reviewed and, if acceptable, approved by the Council at its August 2013 meeting in New Orleans.

INFORMATION GATHERED

Conduct a review of the SAA records retention schedule (completed August-September 2012). Reference URL: http://www2.archivists.org/governance/saa_archives

The existing retention schedule is quite slim. It consists of specific schedules for the Awards Committee and its subcommittees and the publications program, and general schedules for SAA's email discussion lists and the administrative files of Sections and Roundtables. It does not cover core documents, such as the meeting agendas, minutes, reports, and other documentation created by or for the Council, Executive Committee, task forces, standing committees, or working groups.

Additionally, the existing retention schedule does not assign to anyone the specific responsibility of gathering, inventorying, and transferring the few materials designated as records from individual officers and leaders or from the SAA Office to the archives at the University of Wisconsin-Milwaukee (UWM). The ad-hoc nature of this arrangement is highly problematic for ensuring the retention of records of enduring value, regardless of format, for SAA, and it is reflected in the online finding aid currently available on the UWM Archives website (see below).

Michael Doylen (Head of Archives, UWM), in a phone conversation with Beth, noted that the existing retention schedule is a work in progress and that its elements were developed as requests for guidance with regard to very specific issues were received. Michael shared a link to records guidelines developed with the Midwest Archives Conference,⁴ whose records are also at UWM, noting that it too is a work in progress and suffers from uneven coverage. He also shared a copy of the retention schedule for the Academy of Certified Archivists, whose records are also at UWM (see Appendix). Michael stated that he and UWM records manager Brad Houston would welcome the opportunity to work with SAA, probably in the form of a Council subgroup or a Council-appointed group, to develop a more fulsome set of guidelines. Nancy Beaumont also stated that the SAA Office would welcome the possibility that this project might be charged to a Council (or other) group sometime soon.

Conduct a review of the SAA Records (Manuscript Collection 172) online finding aid at the UWM Archives (completed August-September 2012).

Reference URL: <http://digital.library.wisc.edu/1711.dl/wiarchives.uw-mil-uwmmss0172>

⁴ http://www.midwestarchives.org/index.php?option=com_content&view=article&id=71

The online finding aid indicates a rich record of SAA activities over several decades, particularly in comparison to the current retention schedule. The latest inclusive date for content reflected in the online finding aid appears to be 2006 (for some committee materials in Series 8. Units), though the inclusive dates for SAA's serial publications are open-ended (indicated as “-ongoing”). In her conversations with Michael Doyle at UWM, Beth did confirm that UWM has been receiving some records from the SAA Office since the latest inclusive dates reflected in the online finding aid, primarily publications; materials relating to the annual meeting; the email communications that go to all members, such as “In the Loop;” and some one-off items like a flash drive from Mary Jo Pugh that was given to the current editor for his use, then sent back to the SAA Office, and then sent on to the UWM Archives, leaving staff there to decide what documents, if any, to preserve and in what format. Beth's sense from her conversations with UWM staff and with SAA staff is that SAA's records in recent years have come to the UWM Archives in dribs and drabs, from a variety of sources including staff members at the SAA Office, and that it would be more efficient all around if records were transferred on a schedule so that new accessions could be more routinely incorporated into the online finding aid.

It is also worth noting that the nature and formats of SAA's communications are changing and will continue to change. It is likely that a perfectly adequate future archival record will not look exactly like the collection reflected in the existing SAA Records finding aid. New records retention guidelines may not be based to a great extent on what is in the SAA Records as of this date.

Conduct a review of the SAA website and other platforms containing digital content that is not scheduled for transfer to the SAA Records at the UWM Archives (completed August-September 2012).

Even a quick review of the SAA website reveals considerable rich content that should be considered for potential capture and permanent retention. This includes web pages themselves, as well as the dozens of key documents that hang off of web pages.

The information on SAA component groups' Drupal microsites documents important work being done at this level within the organization (most component groups are still posting newsletters and project files on their microsites).

Some examples of rich content linked at a high level from the SAA website that is not currently being captured in any format for long-term preservation:

- Council agendas and minutes (previously published in AA, now only hosted on the website): <http://www.archivists.org/governance/agendas/index.asp>
- Position statements and resolutions: <http://www2.archivists.org/statements>
- Historical reports: <http://www2.archivists.org/governance/reports/Historical-Reports>
- Annual and other component group reports: <http://www2.archivists.org/governance/reports>
- News and press releases: <http://www2.archivists.org/news>

Capturing this content through web crawls is certainly the most efficient way to quickly gain some control over it and provide context for it. However, it is an open question whether the

above documents as they appear on the SAA website are in fact important to preserve in digital format, especially since many of them originate and are delivered essentially as static documents. Any consideration of records retention guidelines for SAA must grapple with the tension between a desire to archive SAA's web presence and the identification, capture, and preservation of core documentation of the administration of the organization in a manageable and programmatic way.

Discuss with SAA staff what digital content is of particular concern (completed: Kaplan phone conversation with Beaumont, Doyle, and Brinati on October 9, 2012).

Nancy noted at the outset that "In the past, if it was published in *Archival Outlook* (AO) or *American Archivist* (AA), that was the record."

Q: What centrally produced content is regularly sent from the SAA Office to the UWM Archives?

- The UWM Archives has status as an individual member of SAA, which means that all print pieces sent to a regular individual member (AO, AA, annual conference schedule-at-a-glance, Archives Month poster, pubs catalog) are mailed to UWM.
- One complete set of the Annual Meeting audio recordings is sent to the UWM archives on CD-ROM.
- One copy of each item produced by the publications program is sent to the Archives.
- *In the Loop* (ITL), along with all other email blasts received by individual members, is sent to an institutional email address at UWM. Nancy also maintains a printout of all issues of ITL.
- Currently nothing is printed out from the website and sent to the Archives.

Q: What digital content does the SAA Office view as potentially at-risk?

- There are approximately 500 files (primarily Word), from approximately 2003-2007, that exist only on a local networked drive accessible to SAA staff. Of the 500, a portion consists of files that should be permanently retained, although not necessarily in electronic format. These include materials from component groups, such as newsletters and minutes, that predate the microsites.
- The membership database. Print publication of the membership directory ceased in 2008, so that annual "snapshot" of the membership list and leader lists no longer exists. The existing membership database can be queried for data such as leader lists over time. Should these reports, post 2008, be captured for historical purposes?
- The documentation posted for review in advance of Council meetings ("first and second postings") which contains core content including all of the "Council reports" (documents prepared for Council action or discussion), as well as component groups' annual reports.
- Annual meeting content on the SAA website. This includes SAA-created content and creator-submitted content (talks, slides, and posters from the research forum and the general program). See <http://www2.archivists.org/conference>. To what degree should SAA be trying to capture "conference proceedings" and providing ongoing access to that? Brian noted that "so far, this has been a modest project with modest results."
- Annual meeting information from 2001 to 2007. This content resides in legacy systems that will not be supported going forward. The staff feel it would be helpful to have some

principles to follow regarding deciding what to migrate to Drupal vs. making a local copy for internal retention in staff work files.

- Social media. Through 2011, tweets using the #saa__ hashtag were captured through twapperkeeper and are now locked up in hootsuite.com. Facebook (FB) and LinkedIn have never been captured. There is significant content on FB (e.g., SAA-produced video) that should be reviewed for long-term preservation.
- SAA website generally. The “website” consists of and is fed by a variety of content living on 5 or 6 different servers. These include:
 - Drupal: www2.archivists.org.
 - The Webitects site, aka the “old CMS”: www.archivists.org. This server houses SAA’s non-commerce functions (i.e., those not driven by the membership database) and from which all appropriate content is being migrated into Drupal so that the site can be decommissioned.
 - The MemberMax site (saa.archivists.org), which is driven by the membership database.
 - Lyris server: forums.archivists.org.
 - *American Archivist* Online: archivists.metapress.com.
 - Online Career Center: careers.archivists.org (Boxwood).
 - Education webinars hosted by KRM and Peach New Media.
 - Social media channels (FB, Twitter, LinkedIn).
 - Wordpress blog: offtherecord.archivists.org.
 - Host Committee WordPress blogs for the past few years.
 - Component groups’ social media on a variety of web servers outside of SAA control.

Additional notes from conversation with SAA staff:

- Staff would appreciate direction, best practices, and advice about priorities for managing non-public content such as email and electronic personnel files. Staff would also like to receive better guidance about what other content should be transferred and what is expected of them.
- Concern about things like the 75th anniversary oral histories raw video files. Brian sent old hard drives to Lauren Kata to store data and use for editing. Lauren sent drives to UWM. It is not clear if there are agreements for these oral histories ever to be made public in raw form.
- In 1991 a UWM intern conducted a records survey at the SAA Office and created a big notebook of materials. It is not clear what came of this. Nancy has a notebook containing the master copy of the “Records Management Plan of the SAA Office” that she can share as useful.

Discuss with Michael Doylen current and planned capacity at UWM Archives for SAA’s digital content (completed: Kaplan phone conversation with Doylen and Houston on October 23, 2012).

Doylen and Houston are looking forward to working with SAA and a Council group to move forward on plans for expansion of retention schedule, guidelines for transfer, and methods for long-term capture of core digital content.

Doyleen noted that a benefit of moving forward on this project would be more clarity about how decisions are made and revisited. For example, a previous Council-appointed group advised that the UWM Archives should capture *The American Archivist* (AA) electronically, even though it is already available in digital form in HathiTrust and JSTOR (both trusted digital repositories with persistent identifiers, and neither containing the most current AA content⁵), and through Metapress, and even though the print run is included in the SAA Records at the UWM Archives.

UWM has recently initiated a subscription with the Internet Archive's Archive-It program.⁶ The Archive-It initiative at UWM Archives will launch with capture of UWM sites and expand to selective archiving of their manuscript partners' sites (such as SAA's) early in 2013.

Parenthetically, for a sense of the serendipitous archive of the SAA website, a quick look at the Internet Archive's Wayback machine⁷ indicates the following:

- The domain <http://saa.archivists.org> has been crawled 12 times from August 2008 through 2011.
- The domains <http://www.archivists.org> and <http://www2/archivists.org> have been crawled collectively 504 times from December 1997 through July 2011.

Many of these earlier Internet Archive crawls produce mixed results for the users; while they generally capture pdfs and other document files attached to the web pages (arguably the most important content), they also include broken image links and dead ends when information was stored in a database. These are issues that SAA should partner with UWM Archives staff to explore during the UWM's test crawls of the SAA website in 2013.

DISCUSSION

It seems to us that having some kind of more robust records retention guidelines is foundational to the work we've been asked to do on SAA's digital records. To further this aspect of our work, we offer a recommendation below for a task force to draft records retention guidelines for SAA for consideration at the Council's August 2013 meeting.

Members of the current Council subgroup working on SAA's digital records issues feel that a more comprehensive set of records retention guidelines for SAA should engage and resolve, among other possible questions and issues, the following:

- What is the core documentation that should be captured for permanent retention in the SAA Records?
 - Documenting the administration of the Society by its elected leaders and staff?
 - Documenting selected activities of its various component groups?

⁵ HathiTrust currently contains issues of *American Archivist* through v. 69 (2006), see <http://catalog.hathitrust.org/Record/000597749>. JSTOR currently contains issues of *American Archivist* through v. 71 (2008), see <http://www.jstor.org/action/showPublication?journalCode=amerarchivist>.

⁶ <http://archive-it.org/>

⁷ <http://archive.org/web/web.php>

- Should the social media efforts of SAA and/or its component groups be considered for permanent retention as part of the SAA Records at the UWM Archives?
- What format(s) should be designated for permanent retention for this core documentation?
 - Are those designated format(s) currently captured and if so, how?
 - Are there better capture methodologies for designated format(s) that should be explored?
- How frequently should core documentation designated for permanent retention--in the SAA Office, or by designated individual members--be transferred to the SAA Records (Manuscript Collection 172) at UWM Archives?
- For born-digital documentation designated for capture directly by the UWM Archives, how frequently should that capture occur?
- Should individual SAA members be encouraged to transfer documentation directly to the UWM Archives, or should it be funneled through a records officer on the SAA staff, so as not to place undue burden on the UWM Archives staff?
- What documentation should be retained at the SAA Office for a limited retention period and then destroyed?
 - What are the retention periods for documentation not specified for permanent retention in the SAA Records at UWM?
- Can arrangement and/or inventory work be done by a designated staff records officer prior to transfer by the SAA Office to facilitate the following?
 - Enable timely inclusion of the inventory for each new accession in the online finding aid for the SAA Records at UWM.
 - Facilitate researcher and member access, both intellectual and physical, to the entirety of the SAA Records held in the UWM Archives.

If such pre-transfer work would be useful, should it be incorporated into draft records retention guidelines?
- What types of documentation should not be captured at all? For example:
 - Should SAA make any efforts to capture and preserve information in its social media accounts?
 - Should push email blasts such as *In the Loop* be captured and retained?
- Are there existing types of documentation that have been sent to the UWM Archives in the past, and that should be re-evaluated for permanent retention? For example:
 - SAA 75th anniversary oral history unedited audio files?
 - Flash drive containing files of a former *American Archivist* editor?

The issue of guidelines for operational records maintained and used by staff members in the SAA Office is separate from, but should be informed and facilitated by, comprehensive records retention guidelines for SAA. Any staff operational records designated for permanent retention in the SAA Records at the UWM Archives should be discussed by the Task Force and included explicitly in the draft records retention guidelines. The management, active retention time frame, and disposition decisions for other operational records of the SAA Office are the purview of the Executive Director.

In addition, we would like discussion of and feedback from the Council and staff members present at the Council meeting on the following issues, some of which will inform the work of the proposed task force, and some of which will be useful in implementing the envisioned records retention guidelines for SAA following the work of the task force:

1. **Do Council members and staff present at the Council meeting agree with the contention in the information this subgroup has gathered so far that continued *ad hoc* funneling of potential SAA records directly from individual members or staff to the UWM Archives is problematic and should be discouraged?**
2. **Should there be a designated records officer on the SAA staff (maybe there already is)?**
We envision a person charged as the point person for the transfer of records designated for capture in the SAA Office, appraising records sent from individual SAA members based on the records retention guidelines prior to transfer, and serving as the liaison with the staff at the UWM Archives for resolving issues relating to the SAA Records held there. While this designation would ultimately be the purview of the Executive Director, it would be useful to have a discussion with staff and the Council to establish a common sense of the need for and understanding of expectations of this role.
3. **What is the sense of the Council about the extent to which the work of SAA's component groups can realistically be documented beyond the capture of annual reports?** Our sense is that it is unrealistic for the Council to mandate capture of records of these groups beyond annual reports and what might be captured from web crawls of their Drupal microsites (such as newsletters), but it would be good to hear ideas from others.
4. **What is the sense of the Council on the issue of capturing, transferring, and preserving records created, maintained, and used by the SAA Office (e.g., Council agendas and minutes, position statements, component group reports) in digital format vs. in print? And if in digital, directly from SAA staff versus relying on archiving from the website in a periodic crawl?** A discussion of this with the Council in advance of the formation of a task force would greatly assist in expediting its work.
5. **Do Council members and those staff present at the Council meeting agree with the approach taken to staff operational records in the recommended charge for a task force? Are there other, better options for handling these operation records in terms of records retention guidelines for SAA?**

RECOMMENDATION

THAT an SAA Records Retention Guidelines Task Force be appointed, with the following charge:

Records Retention Guidelines Task Force

I. Purpose

The SAA Records Retention Guidelines Task Force will draft comprehensive records retention guidelines for the Society of American Archivists (SAA). The task force will review previously gathered data

addressing the potential challenges of identifying and preserving digital records of enduring value for the Society, gather supplementary data and conduct additional interviews with stakeholders as necessary for its work, and present a draft set of records retention guidelines for possible adoption by the Council at its August 2013 meeting.

II. Task Force Selection, Size, and Length of Term

The Task Force will comprise six members appointed by the SAA Vice President / President-Elect. Three of the members will be the Council members currently considering SAA's digital records: Kaplan, Landis, and McCrea. One of these Council members, to be determined by the Vice President, will chair the Task Force. The fourth will be a staff member from the University of Wisconsin-Milwaukee Archives (UWM), the repository for SAA's archival records, to be recommended by Michael Doyle, head of the UWM Archives. The fifth will be an SAA staff member to be recommended by the Executive Director. The sixth will be a member of the Records Management Roundtable (RMRT) of SAA with organizational records management expertise, to be selected from recommendations solicited from the steering committee of the RMRT.

The length of term for Task Force members will be through the end of the 2013 Annual Meeting, unless the Council extends the term.

III. Reporting Procedures

A final report, including draft records retention guidelines and a recommendation for their adoption by the Council, will be delivered for the August 2013 Council meeting. Council members who are also members of the Task Force will act as liaisons and solicit the Council's input as needed using the Council discussion list.

IV. Duties and Responsibilities

The Task Force will conduct its work using web-based tools such as Google + Hangouts and Google Docs. If conference calls are required, they will be arranged with SAA staff and supported by SAA. There is no expectation that face-to-face meetings of the task force will be necessary. The Task Force chair, in consultation with its members, will determine the most expeditious division of work in order to meet the short timeline for the Task Force.

Support Statement: Comprehensive records retention guidelines, made publicly accessible and commonly understood and implemented, are a critical tool for any organization, but especially one with the mission and complexity of SAA. These guidelines provide a framework for ensuring the preservation and accessibility of core documentation of the work of the Society's members, leaders, and staff.

Impact on Strategic Priorities: The work of the proposed Task Force contributes to SAA's success in achieving Desired Outcomes 3 and 4 of its FY2010-FY2014 Technology Strategic Priority. The Task Force's work lays important groundwork to ensure the long-term survival and accessibility of records of the work of SAA's members collectively in pursuing all of the organization's strategic priority outcomes and activities.

Fiscal Impact: The work of the Task Force poses minimal fiscal impact on the Society beyond the work it will inevitably require of SAA staff members, primarily the person designated to

serve as a member of the Task Force. There may well be fiscal implications for the Society in the longer term in implementing records retention guidelines relating to born-digital records, but these are impossible to estimate without the framework of records definition and retention guidelines that the Task Force is charged with drafting. Note that UWM has already subscribed to the Internet Archives' Archive-It program, and web crawling of the SAA site would be a service offered to its manuscript partners without charge.

Current ACA Retention Schedule (September 30, 2008)

ADMINISTRATIVE RECORDS	
Record Series Title	Retention
<p>Minutes – Board Meetings and Annual Meeting</p> <p>Minutes taken by the Secretary at all Board meetings and Annual Meeting are approved by the board. The Agenda and written reports cited in the minutes should also be included as part of the final minutes</p>	<p>PERMANENT. Cut off at the termination of the elected term of the Secretary. Transfer electronic version to succeeding Secretary if needed.</p> <p>Transfer by the Secretary of a permanent paper set to ACA Archives housed by the University of Wisconsin, Milwaukee within 2 months after cut off.</p>
<p>Minutes – Drafts and notes created by the Secretary</p>	<p>TEMPORARY. Cut off upon approval of final version. Destroy 2 months after cut off.</p>
<p>Correspondence President and Vice President – Major issues</p> <p>Correspondence resulting in changes to ACA Policy and Procedures, establishing or discontinuing programs, or documenting a significant issue. This includes printing of emails including the entire string with the associated metadata (properties). ACA Archives will not have the capability to maintain emails and other records in electronic formats at this time.</p>	<p>PERMANENT. Cut off at the termination of the elected term beginning as Vice President and ending as President.</p> <p>Transfer by the President of a permanent paper set to ACA Archives housed by the University of Wisconsin, Milwaukee within 2 months after cut off.</p>
<p>Correspondence President and Vice President – Minor Issues</p> <p>Correspondence answering general information questions, routine information sharing with other board members, or does not document a significant issue.</p>	<p>TEMPORARY. Cut of at the end of the elected term beginning as Vice President and ending as President.</p> <p>Destroy within 1 year after cut off.</p>
<p>Membership Database</p>	<p>PERMANENT.</p> <p>The database maintains all current and inactive member information including name, address, institution, dues payment, and</p>

	<p>certification maintenance status. Inactive members can be moved to a separate table if necessary.</p> <p>Database is updated as needed. Current membership information is posted on the website. Members have an option to not have their information made public on the website.</p> <p>A report listing all members at the end of the fiscal year should be forwarded by the management company to the ACA Archives housed by the University of Wisconsin, Milwaukee</p>
<p>Lists of Officers and Regents</p>	<p>PERMANENT. Cut off annually as officers and regent terms expire.</p> <p>Current and previous officers and regents should be posted on the website.</p> <p>Either a field added to the membership database to indicate service on the board or a separate database.</p> <p>Updated list should be sent annually to the ACA Archives at the University of Wisconsin at Milwaukee by the Secretary.</p>
<p>Articles of Incorporation</p>	<p>PERMANENT. Cut off when renewed. Copy of current version should be maintained by the management company (Capitol Hill Management). Current and past copies should also be maintained in the ACA Archives housed by the University of Wisconsin, Milwaukee</p>
<p>Management company contract</p>	<p>TEMPORARY. Cut off when superseded or amended.</p> <p>Current contract should be maintained by the sitting President and transferred to new President after each term expires.</p> <p>Contract contains propriety information and should not be transferred to the ACA</p>

	Archives.
Other contracts	TEMPORARY. Cut off at the close of the contract. Copies of other contracts should be maintained by the management company. Destroy 10 years after cut off.
Logo templates and art work	TEMPORARY. Cut-off when superseded. Current Logo templates and other art work for newsletter, stationery, etc... should be maintained by the management company. Destroy superseded logos and art work 2 years after cut off.
Distinguished Service Award Pins and Plaques templates and art work	TEMPORARY. Cut-off when superseded. Current Logo templates and other art work for DSA Pins and Plaques by the management company. Destroy 2 years after cut off.
ACA Handbook	PERMANENT. Cut off when updated or superseded. Copy of current version should be maintained in electronic format by the management company (Capitol Hill Management). Transfer paper copy to ACA Archives housed by the University of Wisconsin, Milwaukee within 2 months after cut off by the management company.
Role Delineation Document	PERMANENT. Cut off when updated or superseded. Copy of current version should be maintained in electronic format by the management company (Capitol Hill Management). Current document should be posted on the website. Paper copy to be transferred by the management company (Capitol Hill Management) to ACA Archives housed by the

	University of Wisconsin, Milwaukee within 2 months after cut off.
Policy and Procedure Manual – includes Duties of Officers and Regents.	<p>PERMANENT. Cut off when revised or superseded.</p> <p>Manual is maintained by the Secretary. A current copy should be posted on the website.</p> <p>The Secretary should send a paper copy to the ACA Archives housed by the University of Wisconsin, Milwaukee no later than 2 months after changes have been finalized and approved by the Board of Regents.</p>
Distinguished Service Award – Recipient list	PERMANENT. A list should be maintained and updated by the Secretary. The Secretary should send an updated list annually to the archives at the end of the fiscal year.
Records of ad hoc Task Forces or other studies. Records are created and maintained by the chair of the task force. Records include a list of task force members, correspondence between members, including printed copies of emails with associated metadata (properties), relevant information gathered to study whatever issue the task force is charged to study, final recommendations and other results.	<p>PERMANENT. Cut off when task force completes assigned purpose and is disbanded.</p> <p>Transfer to the ACA Archives housed by the University of Wisconsin, Milwaukee by Task Force chair no later than 2 months after cut off.</p>
Records Retention Schedule	<p>TEMPORARY. Cut off when superseded or obsolete.</p> <p>The management company and the Secretary should retain a current copy of the retention schedule.</p> <p>Additions and/or other changes to the retention schedule will be made upon approval by the board of recommendations from officers, regents, or management company representative.</p> <p>The Secretary will be responsible for updating the retention schedule and related entries in</p>

	<p>the Policy and Procedure manual.</p> <p>Destroy immediately after cut off.</p>
FINANCIAL RECORDS	
Record Series Title	Retention
<p>Monthly financial statements prepared by book keeper (Management company)</p>	<p>TEMPORARY. Cut off end of fiscal year.</p> <p>Treasurer should maintain and transfer to incoming Treasurer current year and previous year for reference.</p> <p>Management company maintains the official record copy.</p> <p>Destroy 7 years after cut off</p>
<p>Bank Statements</p>	<p>TEMPORARY. Cut off end of fiscal year.</p> <p>Maintained by the management company.</p> <p>Destroy 7 years after cut off</p>
<p>Periodic Financial Review</p>	<p>PERMANENT. Cut off end of fiscal year in which review is conducted.</p> <p>A copy is maintained by the Treasurer and transferred to incoming Treasurer.</p> <p>Management company maintains the official record copy.</p> <p>Transfer to the ACA Archives housed by the University of Wisconsin at Milwaukee, 7 years after cut off.</p>
<p>Budget</p>	<p>TEMPORARY. Cut of at the end of the fiscal year.</p> <p>Created and maintained by the Treasurer. Current and previous year 4 years budget should be transferred to incoming Treasurer.</p> <p>Treasurer should routinely have the current year and 4 previous year's budget information</p>

	<p>available.</p> <p>Budget is approved annually as part of the board meeting minutes. A copy of the proposed and approved budget should be included with the materials transferred to the ACA Archives as permanent by the Secretary.</p> <p>Destroy all other copies 5 years after cut off.</p>
EXAM DEVELOPMENT	
Record Series Title	Retention
Exam Item Bank	<p>PERMANENT. Items are edited as appropriate and approved by the members of the Exam Development Committee. Items that are no longer reflect best practices due to changes in the profession over time should be removed from the active database but retained as inactive.</p> <p>The item bank is maintained by the management company.</p> <p>THIS SHOULD NOT BE TRANSFERRED TO THE ARCHIVES.</p>
Roster of Exam Development Committee Members	<p>PERMANENT. Cut off annually as members rotate off the committee.</p> <p>Either a field added to the membership database to indicate service on the EDC or a separate database</p> <p>A printed list should be maintained by the Regent for Exam Development and forwarded to incoming Regent no later than 2 months following a change in officer.</p> <p>A printed list should be sent to the ACA Archives, housed at the University of Wisconsin at Milwaukee, by the outgoing Regent for Exam Development no later than 2 months following a change in officer.</p>
Exam Item Bank psychometrics	PERMANENT. Test psychometrics should

	<p>be retained as part of the item bank.</p> <p>THIS SHOULD NOT BE TRANSFERRED TO THE ARCHIVES.</p>
Exam Pass Point psychometrics	<p>PERMANENT. Cut off in odd number years when new exam is created.</p> <p>Official record is maintained by the management company.</p> <p>Transfer to the ACA Archives, housed by the University of Wisconsin at Milwaukee, 7 years after cut off.</p>
Bibliography	<p>PERMANENT. Cut off when superseded or amended.</p> <p>Current copy should be maintained by the management company in electronic format.</p> <p>Transfer a paper copy to the Archives at the University of Wisconsin by the Regent for Exam Development 2 months after cut off.</p>
EXAM ADMINISTRATION	
Record Series Title	Retention
<p>Applications to sit for the exam (regardless of accepted or rejected) <i>*contains personal and private information which may include social security numbers, proper security measures shall be taken to ensure that no private information is accessed and/or used by unauthorized individuals</i></p>	<p>TEMPORARY. Cut off at the end of this fiscal year in which application is made.</p> <p>Official original records are maintained by the management company. Maintain 6 years application accepted.</p> <p>Destroy immediately after cut off.via shredding or other manner protecting personal member information.</p>
<p>Applications to sit for the exam – copies for Exam Administration Application Review Committee <i>*contains personal and private information which may include social security numbers, proper security measures shall be taken to</i></p>	<p>TEMPORARY. Cut off at the end of the application review process and all issues resolved.</p> <p>Destroy immediately after cut off.via shredding or other manner protecting personal</p>

<i>ensure that no private information is accessed and/or used by unauthorized individuals</i>	member information.
Regent for Exam Administration Correspondence Email or letters concerning rejection of application to sit for the exam	TEMPORARY. Maintain one year after application rejected. Destroy immediately after cut off.
Regent for Exam Administration Correspondence – Minor issues	TEMPORARY. Cut off at the end of elected term of office. Destroy immediately after cut off.
Regent for Exam Administration Correspondence – Major issues affecting ACA policy changes Correspondence resulting in changes to ACA Policy and Procedures, establishing or discontinuing programs, or documenting a significant issue. This includes printing of emails including the entire string with the associated metadata (properties). ACA Archives will not have the capability to maintain emails and other records in electronic formats at this time.	PERMANENT. Cut off at the termination of the elected term. Transfer by the Regent of a permanent paper set to ACA Archives housed by the University of Wisconsin, Milwaukee within 2 months after cut off.
Exam Site selection.	PERMANENT. The management company will maintain a record of exam sites past, present, and proposed. An updated list will be sent to the UW Milwaukee annually by the Regent for Exam Administration
Travel Award Applications and correspondence	TEMPORARY. Maintained by the Regent for Exam Administration. Maintain one year after individual takes the exam. Destroy immediately after cut off.
CERTIFICATION MAINTENANCE	
Record Series Title	Retention
Certification Maintenance Petition – Posted copy	PERMANENT. One copy of blank petition and instructions should be sent to the WU

	Milwaukee annually by the Regent for CM
Certification Maintenance Submitted Petitions – Management company copy	<p>TEMPORARY. Cut off at the end of the Certification Maintenance period.</p> <p>Maintained by the management company.</p> <p>Destroy 6 years after cut off via shredding or other manner protecting personal member information.</p>
Certification Maintenance Submitted Petitions – Regent copy	<p>TEMPORARY. Cut off at the end of the Certification Maintenance period.</p> <p>Maintained by the Regent for Certification Maintenance until new certificates have been mailed to members.</p> <p>Destroyed by the Regent for CM via shredding or other manner protecting personal member information immediately upon cut-off.</p>
Certification Maintenance Submitted Petitions - Team Member copy	<p>TEMPORARY. Cut off at the end of the Certification Maintenance period.</p> <p>Team members should destroy via shredding or other manner protecting personal member information immediately upon team decision forwarded to Regent for CM.</p>
Certification Maintenance Review Teams Correspondence and Comments	<p>TEMPORARY. Cut off at the end of the Certification Maintenance period and all appeals have expired.</p> <p>Maintained by the Regent for Certification Maintain until all correspondence and appeals are settled. Outgoing Regent should forward outstanding and other relevant correspondence to incoming Regent.</p> <p>Current Regent for CM shall destroy via shredding or other manner protecting personal member information 6 years after cut off.</p>
Certification Maintenance Review Appeals	TEMPORARY. Cut off at the end of the

<p>Team Correspondence and Comments</p>	<p>Certification Maintenance period and all appeals have expired.</p> <p>Maintained by the Regent for Certification Maintain until all correspondence and appeals are settled. Outgoing Regent should forward outstanding and other relevant correspondence to incoming Regent.</p> <p>Current Regent for CM shall destroy via shredding or other manner protecting personal member information 6 years after cut off.</p>
<p>Roster of Certification Maintenance Review Team Members</p>	<p>PERMANENT. Cut off annually as members rotate off the committee.</p> <p>Either a field added to the membership database to indicate service on the CM Review Team or a separate database</p> <p>A printed list should be maintained by the Regent for Certification Maintenance and forwarded to incoming Regent no later than 2 months following a change in officer.</p> <p>A printed list should be sent to the ACA Archives, housed at the University of Wisconsin at Milwaukee, by the outgoing Regent for Certification Maintenance no later than 2 months following a change in officer.</p>
<p>NOMINATIONS AND ELECTIONS</p>	
<p>Record Series Title</p>	<p>Retention</p>
<p>Election Records – Slate</p>	<p>PERMANENT. Cut off at the end of each election cycle.</p> <p>A blank ballot is maintained by the management company.</p> <p>A copy should be sent to the ACA Archives, housed at the University of Wisconsin at Milwaukee by the management company.</p>
<p>Election Records – Votes Cast</p>	<p>TEMPORARY. Cut off when election results are approved.</p>

	<p>Ballots should be retained by the chair of the Nominating Committee for 90 days after the results of the election are canvassed and approved by the Board of Regents.</p> <p>Destroy 90 days after cut off.</p>
<p>Nominations Committee Roster of Members</p>	<p>PERMANENT. Cut off annually as members rotate off the committee.</p> <p>Either a field added to the membership database to indicate service on the Nominating Committee or a separate database</p> <p>A printed list should be sent to the ACA Archives, housed at the University of Wisconsin at Milwaukee, by the management company at the end of the fiscal year.</p>
<p>Nominating Committee Correspondence and other documentation.</p> <p>Covers correspondence or other records documenting the activities in seeking members to run for office. Should include a list of people approached and their responses.</p>	<p>TEMPORARY. Cut off at the end of the election cycle.</p> <p>Outgoing Chair of the Nominating Committee should transfer information to the next Chair within 2 months after changing offices.</p> <p>Destroy when no longer needed.</p>
OUTREACH	
Record Series Title	Retention
<p>Website</p>	<p>TEMPORARY. Cut off when updated. Webmaster should maintain a snapshot of previous version 1 year after cut off, then delete.</p>
<p>Newsletter – paper copy</p>	<p>PERMANENT. A printed copy of each newsletter should be sent to the ACA Archives at the University of Wisconsin at Milwaukee by the newsletter editor either at the time of publishing or at the end of the fiscal year.</p>
<p>Newsletter – electronic copy</p>	<p>TEMPORARY.</p>

	<p>An electronic copy should be maintained for on the website for as long as determined useful by the board.</p> <p>An electronic copy should be maintained by the management company for 5 years.</p>
<p>Announcements Internal and external postings to various news and listservs</p>	<p>TEMPORARY. Maintained by the Regent for Outreach for 2 years. Delete after 2 years.</p>
<p>Contacts Regent for Outreach maintains contacts for information distribution, national and regional archival and other professional organizations for distribution of information including exhibit table backdrop and banner</p>	<p>TEMPORARY. Cut off when superseded or obsolete.</p> <p>Current information should be transferred from outgoing Regent to incoming Regent.</p> <p>Destroy 1 year after cut off.</p>