

# SAA BOARD POLICY DOCUMENT

(Last Updated May 2021)

This document is a compilation of SAA policies passed by the Board that are currently in effect. With each policy appears a brief legislative history in brackets after the title. Any text in brackets is not considered to be part of the policy, but is simply there for purposes of explanation or clarification. The same is true of titles, which are simply added for convenience and can be changed in the future without Board action.

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## **Administration**

### **Executive Director Contracting Authority**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 91-1 (November 1993).]

The Executive Director may sign, as an agent of the Society for American Archaeology, contracts, leases, and agreements provided that such funds have been included in the budget or explicit authorization has been provided by the Executive Board. Contracts, leases, and agreements related to the annual meeting may be signed by the Executive Director once the Executive Board has approved the meeting destination.

### **External Grants Developed in Partnership with SAA Members**

[Adopted in Motion 110-27.1 (April 2003)]

The SAA desires to expand its ability to carry out the Society's mission. Given the finite resource base of the SAA, the Society is interested in developing sources of external funding for which Society members serve as Principal Investigators for a grant that is awarded to and administered by the SAA. A strong tie to the SAA's mission is essential for success in such partnerships. Therefore, all parties must understand that such grants are institutional grants, not programs that are independent from or only indirectly related to the SAA's mission. The following general policies apply to such grants.

1. In most cases, the initial concept for a partnership grant will be developed in close consultation with the relevant SAA Committee or Task Force or directly with the SAA Board.
2. In all cases, the grant concept must be brought before the Board prior to its drafting and submittal to a potential funding agency. The proposal to the Board should include a clear identification of the tie between the grant purpose and SAA's mission.
3. Once approved in concept, the Principal Investigator will work closely with agreed upon SAA representatives to develop and submit the grant proposal. These representatives could, but not necessarily include the SAA Executive Director, an appropriate SAA Committee or Task Force, and identified Board members.
4. All direct costs needed to implement the grant must be identified in the grant proposal.
5. Whenever appropriate, an SAA overhead factor will be included as part of the total grant cost. SAA overhead rates applied to the grant reflect audited administrative costs and are not to be considered as an additional source of direct expenses for the grant or related activities. The Principal Investigator will consult with the SAA Executive Director regarding current rates during the proposal preparation process.
6. During the course of grant implementation, the Principal Investigator will provide annual reports. Upon notification of the award, the Executive Director will decide if reports should be provided for the fall or spring Board meetings.
7. Should a Principal Investigator, with an external grant administered by SAA, seek additional internal funding from SAA, that request should be submitted for consideration at the fall Board meeting. A Principal Investigator can submit a detailed cost proposal through the appropriate SAA committee or Task Force or as a special appropriation based on initial consultation with the Executive Director. The Board will address that proposal based on its merits and SAA's financial condition.

8. All grants administration shall be implemented by the Executive Director in concert with the financial and management policies approved by the SAA Board of Directors.

## Member Compensation

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-27E (November 1996).]

Although most SAA activities are carried out by members who volunteer their time, important jobs cannot always be staffed adequately in this way. In such cases the SAA may hire appropriate help, including its own members, to get these jobs done, provided that certain stipulations are followed: (a) all hiring and procurement will be done using standard SAA procedures (i.e., individual candidates for jobs will not be given preference or exceptional treatment by virtue of their being SAA members); (b) the criteria for deciding who gets compensation will be applied equitably, in that no SAA member will be paid for jobs that other members are doing voluntarily; and (c) all SAA funds used in compensating members, including those obtained through outside grants and contributions, will remain under the general control of the SAA (acting through its Executive Director) and be tracked using standard SAA accounting practices.

## Process for Determining Compensation (applies to the Society's Executive Director)

[Adopted in Motion 121-27.4 (October/November 2008)]

This Policy on the Process for Determining Compensation of the Society for American Archaeology applies to the compensation of the Society's executive director.

The process includes all of these elements: (1) review and approval by the Executive Committee of the Board of Directors; (2) use of data as to comparable compensation; and (3) contemporaneous documentation and recordkeeping.

1. **Review and approval.** The compensation of the executive director is reviewed and approved by the Executive Committee of the Board of Directors of the Society, provided that persons with conflicts of interest with respect to the compensation arrangement at issue are not involved in this review and approval.
  2. **Use of data as to comparable compensation.** The compensation of the executive director is reviewed and approved using data as to comparable compensation for similarly qualified persons in functionally comparable positions at similarly situated organizations.
  3. **Contemporaneous documentation and recordkeeping.** There is contemporaneous documentation and recordkeeping with respect to the deliberations and decisions regarding the compensation arrangement.
  4. **Outline of Process.** Each year the performance of the Executive Director will be evaluated at the Fall Executive Committee meeting.
- A) For the Fall Meeting, meeting, the Executive Director shall prepare a statement of no more than 3 pages to be provided to the Executive Committee at or before the meeting. The Executive Director's statement will address:
- 1) any issues of particular relevance regarding the Executive Director's activities over the past year that are not evident to the Executive Committee through other reporting or interaction;



- 2) the key challenges and opportunities facing the Society and how the Executive Director proposes that they be approached.
- B) Having read the Executive Director's statement, the Executive Committee will evaluate the performance of the Executive Director. In determining compensation, comparable data will be studied in order to determine the compensation level of the Executive Director. The Executive Director performance in the following areas will be taken into consideration:
- 1) The quality and quantity of services SAA provides.
  - 2) Effective use of and accountability for SAA's financial resources.
  - 3) Maintenance and development of strong internal organization of the SAA Executive Office in which systems, staff productivity, morale and teamwork are high.
  - 4) Productive working relationships with the Board.
  - 5) Significant achievements or problems encountered during the past year.
- C) Through a personal discussion at the fall Executive Committee and through a formal letter following, the President will convey the Executive Committee's evaluation. The letter will be inserted in the Executive Director's personnel file.
- D) The Executive Director has the option of responding to the evaluation through a letter to the President, a copy of which will be maintained in the Executive Director's personnel file

### **Scope Of Collections Statement**

*Motion 146F-43D – The Board rescinds Motion 102-27D (March 1999), which added the statement on “Archival Deposit of SAA Records” to the SAA Board Policy Document; and replaces that statement with the Scope of Collection Statement in the SAA Board Policy Document. (3/30/2021)*

## **SCOPE OF COLLECTION STATEMENT FOR THE SOCIETY FOR AMERICAN ARCHAEOLOGY ARCHIVE**

### **Purpose**

The purpose of this Scope of Collection Statement (Scope) is to define the bounds of the present and future records included in The Society for American Archaeology (SAA) records.<sup>1</sup> The records include those items that promote understanding about the history of archaeology in the Americas, the organization's accomplishments and contributions to the major debates about practice, methods, and knowledge of the field, and to record the history of the SAA. This Scope is designed to ensure that the SAA archive is clearly relevant to these objectives. The collection of SAA records is curated at the National Anthropological Archives (NAA) under a Transfer Agreement, which is in keeping with the SAA's goals to preserve the archaeological record and to maintain an organizational history of its activities.

### **Organizational History, Mission, and Goals of The Society for American Archaeology**

The SAA was founded in 1934 and incorporated as a 501(c)(3) corporation in 1972. The SAA's Articles of Incorporation and Bylaws establish the organizational framework and a Board of Directors

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<sup>1</sup> See Appendix A for a glossary of terms used in this Scope.

that is responsible for management of the organization. Board policy is codified in the Policy Manual, which includes the actions taken in 1978 to define organizational records and provide for their long-term care at the NAA.

The mission of the SAA is to expand understanding and appreciation of humanity's past as achieved through systematic investigation of the archaeological record. The SAA leads the archaeological community by promoting ethical research, stewardship of archaeological resources, public and professional education about archaeology, and dissemination of archaeological knowledge. The SAA serves the public interest by seeking the widest possible engagement with all segments of society, including governments, educators, and indigenous peoples, to advance knowledge and enhance awareness of the past.

The SAA goals related to advancing archaeological research and disseminating archaeological knowledge to the professional community and to the public at large are:

- Improving the practice of archaeology and promoting archaeological ethics.
- Being dedicated to the conservation of the archaeological record.
- Serving as a bond among archaeologists worldwide in all segments of the archaeological community.
- Effectively serving the needs of the diverse constituencies that comprise its membership.
- Being an effective advocate for archaeology in the legislative and public policy arenas.
- Providing an effective and flexible structure for the SAA's operations and initiatives.

### **Contributors of SAA Official Records**

The SAA's official records include a wide variety of materials in many formats produced by or for the following "SAA Officers," as identified and employed in this document, while acting in an official capacity: elected Executive Board members (i.e., President, President-Elect, Secretary, Secretary-Elect, Treasurer, Treasurer-Elect), elected Board members-at-large, and Board-appointed Board members-at-large when an elected Board member resigns); Committee and Task Force chairs; subcommittee chairs; editors of the SAA journals, newsletter/magazine, and SAA Press; Board-appointed representatives (i.e., someone appointed to liaise with an outside organization), and others in rare circumstances. It is quite possible that not all "SAA Officers" listed above may create SAA official records during their term, such as non-Executive members of the Board of Directors.

Other official records are created by SAA staff.

(NOTE: See the "Acquisition and Transfer to NAA" section below for the responsibilities of the "SAA Officers" and SAA staff to prepare and submit records.)

### **Types of Records to Be and Not to Be Archived**

The SAA's mission and goals as stated above provide the direction for the creation, acquisition, and preservation of official records to be archived. Records with a direct association to the SAA are more desirable for inclusion in the archive than similar records without such primary significance. The types

of items that are official records include written correspondence, reports, meeting minutes, images, sound recordings, and other document types that may be in hard-copy or digital formats. Hard-copy records are to be copied on acid-free paper, as is typical of most printer paper, but key records should be printed on acid-free, lignin-free paper. Digital files are to be in the PDF/a format, especially for those records that may have uncommon program or reader requirements, or in their native format.

The directions in this Scope prevent arbitrary and excessive future growth of SAA records, while ensuring that the archive remains relevant to the SAA's goals. This Scope also ensures that only relevant records are accessioned by NAA into the archive.

The SAA has a Document Retention and Destruction Policy (DRDP) that was adopted in a motion by the Board of Directors in 2008 (Appendix B). Compliance with this policy is distinct from the Scope. All work performed under this Scope must be in alignment with the 2008 DRDP or later updates to that policy, since some of the records that are to be archived are identified in the DRDP.

Additionally, there are other documents that are beyond the bounds of both the SAA's responsibility and preservation capabilities and are not to be archived. These include personal papers. If personal papers that contain SAA official records as outlined in this Scope are donated to an archives other than the NAA, effort should be made by the donor to notify the NAA of those materials so that they may be cross-referenced. Documents that can be readily found in other places (e.g., the published journal issues of the SAA) or are duplicates of widely distributed materials, such as business meeting handouts, are also outside of this Scope and are not to be archived. Other types of documents that are not to be archived are identified in the appropriate sections below. Furthermore, objects, including SAA memorabilia and merchandise, are not to be archived.

Record types that are not included in this section may be exceptionally acquired if they meet the missions and goals as stated in the "Purpose" and "Organizational History, Goals, and Mission of the Society for American Archaeology" of this Scope. This may be done at the recommendation of the Archive Committee and approval by the SAA Board of Directors.

The following sections identify and define groups of official records that are to be retained for archiving at the NAA.

**1. Corporate Documents.** These legal records document the formal inception of the SAA, changes to the incorporated status of the SAA, its relationship with and responsibilities to other organizations, and benefits accruing to the SAA from these relationships. Drafts and correspondence related to the development, application, issuance, and maintenance of the documents must be retained. Included in these corporate documents are:

- a. Articles of Incorporation that document the formal inception of the SAA.
- b. Tax status determinations made by federal and state organizations relevant to organizational business operations including various annual forms.
- c. Non-Governmental Organization status determinations.
- d. Co-publication agreements with presses.
- e. Documentation of formal relationships with other organizations, such as the Register of Professional Archaeologists, Digital Antiquity, and the National Park Service.
- f. Written correspondence with attorneys and others regarding legal issues that may or may not be reflected in governance documents. Records involving individual conduct are not to be retained.

**2. Governance Documents.** These include all materials produced by the SAA that define the organization, structure, policies, principles, and procedures of operation. Changes to these governance documents must be preserved, along with the text and results of formal votes and substantive correspondence related to the development of these materials. Failed attempts to change governance documents are to be retained to provide a full historic view of SAA development and include proposed text, substantive correspondence, Committee activities, and records of meetings. These documents are to be cross-referenced with official meeting records as necessary to represent fully the information in governance discussions. Most e-mail exchanges related to governance documents do not meet these criteria and should not be retained, particularly those that are routine. Governance documents are official records that include the following items:

- a. Bylaws. The bylaws set the organizational parameters, management, and business processes of the organization. Published documents are the official versions of these documents.
- b. Policies. Policies are the principles adopted by the SAA to determine present and future courses of action. The SAA has developed policies as situations arise. All policies, changes to policies, and documentation related to their development and implementation must be preserved. Only critical drafts that contain significant changes during the development of issued policies are to be retained.
- c. Procedures. Procedures are the steps taken to accomplish particular tasks. The SAA historically has developed and revised several manuals documenting accepted procedures, including the Procedures Manual that describes responsibilities of SAA Board members, representatives, and Committee Chairs and the Program Chair Manual that presents operational processes for organizing the annual conference. These documents evolve continuously. Preservation of all issued documents and correspondence related to document revisions, along with any interim documents, are important to understanding the philosophical changes of the organization. Only critical drafts that reflect significant changes to the development of issued procedures are to be preserved.
- d. Board Books and Meeting Minutes. The Board Books are comprised of Committee, Task Force, and staff reports that provide the background and information necessary to brief members of the Board of Directors about the current business of the SAA that they must address at their face-to-face meetings.
- e. Records of Official Votes Outside Meetings. The Board of Directors may vote on issues throughout the year using telephone, e-mail, or other forms to poll the Board. These records include the issue to be voted upon, critical backup documentation circulated with the issue, meeting notes, the formal vote, and the minutes of actions taken without a meeting. Related e-mail exchanges or personal notes from informal phone calls are not to be retained.
- f. Annual Business Meeting Minutes and Documents. As outlined in the bylaws, the SAA has an annual Business meeting that includes official reports of the Executive Board members. A record of any new business stated at this annual meeting is to be preserved.
- g. President's Correspondence with Membership. Critical governance and policy issues may arise that necessitate correspondence between the President and the SAA membership.

**3. Planning Documents.** These include all documents that set short- or long-range goals and targeted accomplishments for the organization or a group within the SAA. Planning documents include the SAA's strategic long-range plan, annual work plans for individuals or Committees, correspondence related to plan development, review comments, and similar information. Although budgets are planning documents, they are categorized below under Financial Documents.

**4. Project Products.** The SAA, primarily through its Board members, Committees, and Task Forces, engages in a wide variety of tasks that produce deliverables for the organization. The products vary widely, such as exhibits, posters, brochures, videos, fliers, studies and surveys, guidance, reports, substantive correspondence on an issue researched by a relevant Committee or Task Force often at the

request of the SAA President or Board, and similar items. These include the final tangible product, in addition to the proposal, relevant contract documents, and product reviews. Only drafts that reflect significant changes in the development of final products are to be preserved. Much of this work is done through Committee efforts<sup>2</sup>, sometimes as directed by the Chair, and at other times by individuals and sub-committees. Assembly of the records to fully document the products may involve several hierarchical levels and may include relationships with other organizations.

**5. Financial Documents.** These include internal and external records that summarize and analyze fiscal procedures, fund balances and allocations, and financial planning processes. The following records must be retained for archiving:

- Annual budgets, including the process of developing and modifying those budgets, and the results of regular monitoring, evaluation, and assessment;
- Financial statements, tax returns, audits, and reviews that summarize the SAA's financial position and document independent reviews of procedures and conclusions;
- Summaries of investments activity and donations;
- Documentation and valuation of inventory and dispersal of inventory;
- Special financial analyses, such as asset management, donation projections, business services and publications costs, outsourcing financial management, and dues increase projections;
- Documentation of financial discrepancies and mismanagement, and financial correspondence with auditors, accountants, and other parties; and,
- Annual audits by outside agencies.

Supporting financial materials (i.e., bank and other account management statements, credit and debit documentation, investments activity, records of other income, and ledgers) should not be retained for archiving, but kept for Internal Revenue inspection or other audits up to seven (7) years. Documents that provide an audit function are copious and not revelatory about the intentions and discussions of the SAA, so are not to be archived.

**6. Business Operations.** The SAA's business operations furnish a wide variety of services to the membership. Preserving the history of business services is important to providing the complete context in which the SAA's accomplishments can be viewed. Contracts for business office services, procurement documents, procedures manuals, and other documentation provide the expectations for service delivery and report actual results. Regular reports documenting accomplishments, as well as correspondence between the Board of Directors (and designated liaison officials) related to performance documentation, direction, and planning are to be preserved. An annual list of members is to be retained. Correspondence between the business office and membership should be archived only if it is unusual, developmental, or related to society issues arising during normal business operations. Routine requests for information (e.g., requests for membership login information and requests for clarification about the three-role rule during annual meeting submissions) are to be discarded, unless used for documenting a pervasive lack of performance or malfeasance by an officer of the SAA or outside agency.

**7. Publications.** The SAA publishes journals (*American Antiquity*, *Latin American Antiquity*, and *Advances in Archaeological Practice*), monographs of the SAA Press, and *The SAA Archaeological Record* (previously the *SAA Bulletin*). The publications themselves are filed with the Library of Congress during assignment of copyright and the SAA office also serves as a repository for these

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<sup>2</sup> Specific Award Committee work products are under Awards; Government Affairs Committee, International Government Affairs Committee, and Repatriation Committee work products are under Government Affairs; Investment Committee work products are under Financial Documents; and Publication Committee work products are under Publications.

publications, so they are not to be archived at the NAA. Documents, substantive correspondence about policy and procedure, and minutes of the Publications Committee and Editorial Board meetings related to the development, maintenance, and improvement of the publications program, particularly the development of new journals, publication series and individual volumes; any legal or ethical issues that have been raised; contracts (i.e., JSTOR, Editorial Manager, Cambridge University Press); sales projections and issues; information on continuation of a series; and major changes to the *Style Guide* must be retained. Additionally, the Editor(s) of each journal, newsletter/magazine, and the SAA Press must retain a summary list of authors and titles for all manuscripts received, accompanied by their disposition, and a list of reviewers for each title reviewed. The following records must not be archived: correspondence pertaining to rejected and accepted manuscripts, which should be destroyed after three years unless needed by an incoming Editor; original artwork from authors that is to be returned to the author after the publication is printed; and pre-publication reviews of manuscripts.

**8. Conference Documentation.** The annual conference provides important opportunities for professional interaction and advancement of the SAA's goals. The preliminary and final conference programs are filed with the Library of Congress during assignment of copyright and the SAA office also serves as an archive for these programs, so they are not to be archived at the NAA. The Annual Meeting abstracts are sent to The Digital Archaeological Record at the Arizona State University for preservation and access, so they are not to be archived at the NAA. Status and final reports, registration packets, calls for papers, negotiations and agreements, and other organizational information documented through correspondence preserve the structure of the conference. Records of conference financing are important for framing the conference accomplishments. Public relations information, including press releases document the impact of the conference on the local community, and photographic images of attendees and events are to be preserved as important visual records. Individual papers presented by conference attendees, handouts, transparency slides, and similar presentation materials are considered personal papers and are not to be retained as SAA official records.

**9. Awards.** The SAA presents a variety of awards to individuals and groups for outstanding achievements. Information on the development and operational procedures of each award is critical to understanding its purpose and any changes to it through time. Recipients and citations of presentations are published in the May issue of *The SAA Archaeological Record* and listed in the final conference program, but correspondence regarding award creation, selection, and awardees are to be retained.

**10. SAA Website.** The SAA's website is designed to educate and inform a diverse, worldwide audience about the organization's purpose and activities. The webmaster must preserve a copy of the website annually, using the best available format for preservation purposes.

**11. Elections.** Annually, the SAA holds elections to fill vacant Board of Directors positions, as well as vacancies on the Nominations Committee. Elections may also include changes to the by-laws or an issue or issues on which member input is requested. A copy of the full ballot, including supporting documentation, and the final election report must be preserved.

**12. Online Seminars.** The SAA produces online seminars. Correspondence regarding learning outcomes and objectives, contracts with speakers, and the final recording are to be retained.

**13. Government Affairs.** The SAA creates letters and statements to public officials about the archaeological record and provides testimony on issues impacting archaeological resources. The records to be preserved are the final products, previous drafts when significant changes were made, and substantive correspondence about their development when a Committee is assigned to draft a letter about an issue. Meeting notes of the Government Affairs Committee and International Government Affairs Committee are to be retained.

**14. Memorabilia and Merchandise.** The SAA produces various memorabilia (i.e., commemorative items such as the trowel celebrating the 75<sup>th</sup> anniversary of the SAA) and merchandise (i.e., shirts, hats, daypacks, mugs, pins) that vary in type and style over time. The SAA archive at the NAA does not include objects, however, every effort is to be made to take and retain a high-resolution image of each item of memorabilia or merchandise each year.

#### **Acquisition and Transfer to NAA**

The SAA primarily acquires records for archiving by submission from the “SAA Officers” identified in the “Contributors of SAA Official Records” section acting in their official capacity to the SAA Archive Committee. Occasionally, donation may occur if, for example, a family member finds records from a deceased SAA member who was not able to submit the official records created under their charge. Beginning with the adoption of this Scope and the execution of a Transfer Agreement with the NAA, a communication will be issued to all current “SAA Officers” as defined in “Contributors of SAA Official Records” above noting the requirement to assemble the records identified for retention in this Scope and submit them to the Archive Committee within six (6) months after the end of their term. Transfer by a “SAA Officer” may also occur on an annual basis, if that is preferred. Each “SAA Officer” is to provide the Archive Committee with an inventory of the records submitted using the “Types of Records to be Archived” section of this Scope, along with the record format.

The Archive Committee is responsible for ensuring that the submitted or donated records are in compliance with this Scope; eliminating duplicates; creating a basic inventory of the records received, reviewed, and accepted; and transferring the records to the NAA for archiving. It is also responsible for evaluating the nature and extent of the intellectual property of the “SAA Officer” or donor and evaluating whether the “SAA Officer” or donor has consented to release confidential information to SAA and NAA. They will destroy any items they cull, unless a donation is rejected at which time the materials shall be returned to the donor. Furthermore, the Archive Committee represents the Board of Directors in accepting title to and responsibility for non-official records transferred or donated by donors not identified in “Contributors of SAA Official Records” section above. If the members of the Archive Committee cannot agree on a proposed donation, the matter is to be sent to the Board of Directors for a final decision. The SAA Secretary prepares any deeds of gift, letters of thanks, acceptance, or rejection, and transmits them, as appropriate, to the donor or other source of acquisition.

SAA staff also prepares official records for archiving following the section “Types of Records to be Archived” above, particularly pertinent records in Corporate Documents, Governance Documents, Planning Documents, Financial Documents, Business Operations, Conference Documentation, Awards, SAA Website, Elections, Online Seminars, Government Affairs, and Memorabilia and Merchandise. SAA staff prepares and directly transfers official records to the NAA for archiving. A copy of the inventory is to be sent to the Chair of the Archive Committee to help ensure that duplicates are not transferred to the NAA.

The submission of records is regarded by SAA and NAA as a permanent transfer of ownership<sup>3</sup> from SAA to NAA, except if SAA establishes its own permanent archives. The circumstance of SAA establishing its own archive elsewhere is the only time that SAA records may be withdrawn, in whole or in part, from NAA.

The SAA strongly discourages the acquisition of donations with restrictions or limiting conditions, such as copyright, except in extenuating circumstances whereby the material is of sufficient significance that reasonable accommodation might be offered. The SAA Archive Committee makes clear to all donors

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<sup>3</sup> SAA retains copyright in its publications and trademark of its name, logo, and the title of its publications.

that the donation of records for archiving results in the transfer of ownership, copyright, and intellectual property to the SAA and then to the NAA. The Committee also evaluates any submission of records with a restriction and, if the members cannot agree, sends the matter to the Board of Directors for a final decision.

The SAA is not be a partner to, or encourages in any way, the trafficking in illicitly collected materials. All acquisitions must be collected, exported, imported, transported, or otherwise obtained and possessed in full compliance with the laws and regulations of the country of origin, the United States federal government, and the individual states of the United States. The SAA also is not a partner to accepting materials where the intellectual property of the donor is not clear or is clouded or where confidential information is being provided without clear indication of consent to release that information to a third party.

### **Uses of SAA Records Archived at the NAA**

The SAA's official records are to be deposited at the NAA where ownership of these records shall pass from the SAA to NAA upon acceptance by NAA. The SAA archive or any portion is not to be withdrawn from the NAA under any circumstance except if the SAA establishes its own permanent archive elsewhere.

Access to the SAA archived records is provided by the NAA. The contents of this archive may be used for exhibits, research, publications, other interpretive media, or such other purposes as NAA permits with primary consideration given to the preservation of each item and of the archive as a whole, as well as accurate interpretation.

Unless otherwise specified, records archived by the NAA are to be accessible for research after ten (10) years from the date of their creation. At the discretion of the SAA, longer access restrictions, no greater than fifty (50) years, may be placed on specific bodies of records. The SAA Archive Committee or SAA staff is to identify any bodies of records that require an access restriction period longer than ten years when they transfer records to the NAA. SAA Executive Board members shall be allowed to consult all records as necessary to transact current business, whether or not they are still withheld from research use.

When any SAA archived records are opened by NAA for research, NAA will be responsible for informing researchers of the requirement to obtain clearance from writers (or their descendants) of letters or other papers possibly not covered by the SAA's transfer of ownership to NAA. NAA has the right to microfilm, digitize, or otherwise duplicate any records for preservation and research purposes and to permit others to do so in accordance with NAA standard operating policies.

### **Restrictions**

Restrictions may be placed on the publication of images or manuscripts in the SAA archive if, upon rare occasions, these materials are subject to copyright and the SAA does not hold the copyright.

### **Review of Scope**

This Scope is to be reviewed every three (3) to five (5) years from the date signed, or sooner if the need arises, to ensure it is up-to-date and comprehensive.

Joe E. Watkins  
President, The Society for American Archaeology  
Date



Joshua Bell  
Acting Director, National Anthropological Archives  
Date

#### APPENDIX A: GLOSSARY<sup>4</sup>

Access restriction – A period of time in which users are allowed or denied access to archival records, often in order to protect confidentiality or personal privacy, or to preserve materials.

Archive – An organization’s entire preserved body of interrelated and interdependent records.

Archives – 1) The location where an archive is stored. 2) Multiple, unrelated archival collections.

Board of Directors – An elected group of SAA members composed of a President, Treasurer, Secretary, and six Board members-at-large and, in addition, a President-elect, a Secretary-elect, and a Treasurer-elect. The Executive Director is an ex-officio member of the Board without voting rights.

**Copyright** - A legal protection for creative intellectual property works.

Correspondence – 1) Written communication typically addressed to a specific individual or group and sent by courier, post, or electronically, including letters, e-mail, postcards, telegrams, memorandum, and facsimile (fax). 2) The process of communicating in writing, including e-mail. Substantive correspondence is that which is important and meaningful such that it significantly alters or improves the outcome of the final product being communicated.

Cull - The process to remove and dispose of unwanted materials, usually duplicates.

Deed of gift - An agreement transferring legal title (i.e., ownership) to property without an exchange of monetary compensation. Occasionally, it may include restrictions on access and use.

Donation – Material for which legal title is transferred from one party to another without compensation.

Executive Board – SAA members elected into the positions of President, President-Elect, Secretary, Secretary-Elect, Treasurer, and Treasurer-Elect.

Finding aid: A textual or electronic tool that assists researchers in locating or using archival collections. It is a description that typically consists of contextual and structural information about an archival resource.

Image - A representation of the appearance of something or someone; a picture. Includes photographic prints, negatives, color transparencies (slides), and digital images.

Official record - A record created by, received by, sanctioned by, or proceeding from an individual acting within their designated capacity.

Personal papers – Records created and originally kept by an individual outside of their official capacity and function as the archive of that individual. Examples might be personal correspondence about SAA

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<sup>4</sup> The majority of definitions provided are adapted from the Society of American Archivist’s Dictionary of Archives Terminology at <https://dictionary.archivists.org/index.html>.

Committee or Task Force matters that was not included in the submission of official records by a Committee or Task Force Chair, or individual papers presented by SAA conference attendees, handouts, transparency slides, and similar presentation materials.

Processing: The arrangement, description, and housing of archival materials for storage and use by researchers and others.

Record – Information that is recorded in many different types of formats including, but not limited to, paper, e-mail, electronic document software, spreadsheets, web pages, databases, analog and digital audio files, analog and digital video files, photographs, and ephemera, and has value as evidence of institutional activity. Not all recorded information constitutes a record. The International Organization for Standardization defines a record as “information created, received, and maintained as evidence and information by an organization or person in pursuance of legal obligations or in the transaction of business”.

Record series: A set of records grouped together because they relate to a particular subject or function, or result from the same activity.

SAA Officers: Members of the SAA who create and submit official records in their official capacity for archiving at the National Anthropological Archives. These members are: elected Executive Board members (i.e., President, President-Elect, Secretary, Secretary-Elect, Treasurer, Treasurer-Elect), elected Board members-at-large, and Board-appointed Board members-at-large when an elected Board member resigns); Committee and Task Force chairs; subcommittee chairs; editors of the SAA journals, newsletter/magazine, and SAA Press; Board-appointed representatives (i.e., someone appointed to liaise with an outside organization), and others in rare circumstances.

Sound recording - Any medium capable of capturing and reproducing an audible signal, including phonograph records, magnetic tape, compact discs, and computer files. The term does not include multimedia recordings that include sound, such as the soundtrack on a motion picture.

Transfer - The process of moving records as part of their scheduled disposition, especially from an office to an archives or from a SAA record creator to the SAA Archive Committee.

## **Travel Policy**

[Amended in Motion 142-27.1 (November 2018) Amended in Motion 140-27.3 (October 2017)  
Amended in Motion 102-27D (March 1999); also see Motion 97-27X (November 1996), Motion 86-3 (April 1992).]

It is the SAA traveling member’s responsibility to book air and ground transportation via the least expensive means. SAA staff will book lodging.

All Board members, editors, and program chairs are encouraged to save money whenever possible booking tickets. Excessive fares resulting from inordinately late purchases will not be fully reimbursed at the full reimbursement rate. SAA does not have preferential airlines nor does it support individual preferential airlines but rather the lowest cost airlines to the destination. Web fares are generally the least expensive. SAA does not reimburse travel agent fees nor travel insurance fees.

Requests for reimbursement should be submitted with the digital Expense Reimbursement Request form along with all documentation and receipts. All forms and backup should be submitted via email to the manager, Financial and Administrative Services, whose email is included on the expense reimbursement form. Reimbursements may be requested as soon as the ticket is purchased.

### **Board and Executive Committee**

For both the annual meeting (and fall Board and Executive Committee meetings), room and tax will be covered, but the traveling member will need to provide a credit card for incidentals.

- a. Meal expenses incurred during the annual meeting and regular board meetings are not covered other than the group meals provided during a Board meeting. At the spring meeting breakfast and lunch are provided. At the fall meeting, breakfast, lunch, and dinner are provided. Group dinners are provided for the Board at the Fall meeting on Thursday evening, Friday and Saturday.
- b. All Board members, including those starting and concluding their terms, may claim reimbursement for transportation expenses, including airfare, cab/shuttle fare between airport and hotel, or personal car mileage (the current IRS rate), if not flying, assuming that the mileage reimbursement does not exceed the cost of the airfare from a Board member's home base. A Board member will be reimbursed only up to the airfare level from the member's home base.
- c. Lodging is provided for the duration of the annual meeting, normally Tuesday night through Saturday night at the annual meeting, and Thursday through Saturday night for the fall Board meeting. During the annual meeting, private rooms are provided. During the fall Board meeting, rooms may be shared to reduce costs and as a team-building experience if the budget does not allow for single rooms. In this instance, single rooms may be requested but the cost difference must be reimbursed to SAA by the Board member requesting that arrangement.
- d. The two Executive Committee meetings are treated similarly to the Board meetings. Group meals are covered from Thursday night dinner to Saturday night dinner, all inclusively.

### **Editors of SAA Journals and the Magazine**

For sitting editors of *American Antiquity*, *Latin American Antiquity*, *Advances in Archaeological Practice*, and *The SAA Archaeological Record*, SAA will normally reimburse expenses for travel from the editor's home airport to the annual meeting.

- a. At the annual meeting, SAA will cover transportation from/to the airport via shuttle or public transportation and lodging for a maximum of four nights.
- b. This travel support is provided for three years, including the year the editor will be outgoing. Travel support is not provided for the year in which the editor-designate transitions to editor on the Friday night of the meeting ("incoming editors.") It is provided for the following three years.

### **Program Chair**

A program committee chair will have air travel and four nights lodging at the annual meeting for which s/he serves as chair. In the case of joint program chairs, only one will have travel and room paid.

### **Other Chairs**

No other committee chairs will have travel paid to Board meetings or the annual meeting.

### **Members Representing SAA**

An individual travelling to represent SAA is included in this travel policy. Specifically, SAA will reimburse for meals based on the allowable amounts for government per diem travel (see Staff below). SAA will reimburse based exclusively on receipts submitted. SAA expects the member to use the most economical means of transport available and will reimburse from the member's home base.

### **Executive Director and Staff Travel**

Executive Director and staff travel is held to the same economical constraints as that of the Board. Meal reimbursements in the U.S. will be based on the allowable amounts for government per diem travel as determined at: <https://www.gsa.gov/travel/plan-book/per-diem-rates> . Per diems are not provided. SAA exclusively uses receipt and reimbursement. If charged on the Society credit card, receipts are required, and the allowable meal per diems may not be exceeded.

- a. For Executive Director travel outside of the United States, (excluding Mexico and Canada) economy comfort on flights is an option, assuming that it is a nominal increase over the economy rate.
- b. SAA does not reimburse for incidental expenses. Specifically, no reimbursements are available for mini-bar purchases, dry cleaning, etc.
- c. When all staff or several staff dine together, the bill, including tax and service, must not exceed the meal per diem rate per person.

### **Whistle Blower Policy**

[Adopted in Motion 117-27.1 (October 2006).]

In compliance with the recommendation of the management letter from SAA's auditors, a "whistleblower" policy has been developed using language from samples supplied by Watkins, Meegan, Drury & Company. This draft is a composite of those samples, and the resultant policy is one which fits the size and structure of SAA's organization. Once such a policy has been adopted by the Board, it will be made a part of the Employee Manual.

#### Whistleblower Policy

The Society for American Archaeology is committed to fostering a workplace conducive to open communication with respect to the Society's business practices and to protecting employees from reprisals or victimization for whistleblowing in good faith.

#### Reporting Violations

The whistleblowing procedure is intended to be used for serious issues such as concerns regarding financial reporting, unethical, or illegal conduct. In most cases an employee's supervisor is in the best position to address areas of concern. If for some reason reporting the concern to your supervisor is not possible, you may take your concern to the head of the Audit Committee of the Board of Directors (the president of the Society).

The employee should be able to demonstrate to the person they have contacted that there are sufficient grounds for concern.

## How the Report Will Be Handled

The action taken will depend on the nature of the concern. If reported to a supervisor, the Audit Committee of the Board of Directors will receive a report of any complaint and a follow-up report on the actions taken. All reports will be promptly investigated, and appropriate action will be taken, if warranted.

Subject to legal constraints, the complainant will receive information about the outcome of any investigations.

Employment-related concerns should be reported to the executive director.

## Annual Meeting

### Abstracts

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-68F (November 1996).]

Abstracts are required for all sessions other than administrative meetings and for all formal presentations.

[The sense of the board was that introductions to symposia would not be regarded as formal presentations and would not require abstracts.]

### Audio Visual Equipment

[Adopted in Motion 113-70.1A (November 2004)]

The Board approves a shift in the annual meeting from slide and overhead projection to video projection, 2005 to be a transition year, and in future years the SAA will provide video projectors only. Symposium organizers and session chairs shall provide the laptop computers needed to drive the projectors. After the 2005 meeting, participants, with the assistance of SAA staff, shall arrange and pay for any slide or overhead projectors that a participant may prefer.

### Badge Usage

[Adopted in Motion 115-70.2 (November 2005)]

The Board reaffirms its de facto policy that attendees must display their badges when attending the annual meeting and meeting-related functions.

### Check Box

[Adopted in Motion 131-70.3 (April 2013)]

*The Board authorizes the Executive Director to expand the check box language in the Annual Meeting Submissions system to include the following two statements:*

(a) I certify that this paper conforms to the SAA Principles of Archaeological Ethics.

(b) I understand that SAA has the right to modify or cancel any submission at any time for cause upon written notice to the member.

### **Companion Participation (see also: Guest Registration)**

[Restated in Motion 102-27D (March 1999); adopted in Motion 96-26 (April 1996).]

The board recommends making selected events at the annual meeting available, at some surcharge, to a member companion but recognizes the necessity to restrict certain events that have a professional component and limited room available.

### **Deletion of Withdrawn Presentation for Program and Abstracts**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-68G (November 1996).]

Registration fees for withdrawn presentations will be refunded by the SAA office minus a \$25 processing fee upon receipt of written request postmarked by December 1. Later withdrawals will not result in a refund, and it may be impossible to remove the title of the withdrawn paper from the Preliminary Program or the final Program and Abstracts. Notices will be posted at the meeting for late changes to the program.

### **Delinquent Payments**

[Adopted in Motion 106-70.2 (April 2001).]

Meeting abstracts from individuals who owe the SAA money will not be accepted unless and until the account is fully paid. It will not be possible to present unless the account is fully paid by the last day of the grace period for submissions.

### **Forum Participants**

[Adopted in Motion 132B-70 (Fall 2013)]

The Board changes the number of possible participants in a forum at the annual meeting from up to eight to up to 12 members and changes the number of moderators from one to up to 2 co-moderators.

### **Fryxell Symposium**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 61-6 (December 1986).]

Beginning in 1988 a symposium slot will be allocated each year at the SAA annual meeting for the "Fryxell Symposium." This symposium will be organized according to guidelines developed by the Fryxell Award Committee.

## **Funding of Receptions**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 101-70C (November 1998).]

The Board approves in principle the following policy for funding of receptions at annual meetings: SAA does not, as a general rule, fund committee or interest group receptions at the annual meetings. Committees may request, through the annual budget process, funding for a reception for a specific purpose, such as formation of an interest group. Committees and Interest Groups may sponsor receptions if they can cover the costs through Interest Group fees or by other means.

## **Guest Registration (see also: Companion Participation)**

[Adopted in Motions 115-70.3, 115-70.4, and 115-70.5 (November 2005)]

Individuals who are non-archaeologists and who are attending the annual meeting as guests of meeting registrants must purchase and display a guest badge during the annual meeting. Guest badges provide entry to the meeting venue.

Accompanied children 12 years of age or under are not required to display a guest badge. Unaccompanied children may not attend the annual meeting.

For the 2006 Annual Meeting, the price of the guest badge will be \$25, and the badge must be purchased during the pre-registration process.

## **Listing Authors in Program**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 87-10 (November 1992).]

There is no limit on the number of presentation authors; however, the program chair may use his/her discretion in the number of authors listed in the program.

## **Paper Lengths**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-68C (November 1996).]

Starting with in 1998, all contributed and symposium papers at the annual meeting will have 15-minute time slots.

## **Papers Read by Stand-ins**

[Restated in Motion 102-27D (March 1999); adopted in Motion 97-68H (November 1996).]

In the event of unexpected absence from the meetings, an SAA member may permit his or her paper to be read by any registered attendee.

## **Participation and Membership**

[Adopted in Motions 115-70.1 (November 2005)]

Participation in the annual meeting is denied to individuals who are non-members and who have not submitted a membership application and fees as of November 15 prior to the Annual Meeting. For renewing members, dues must be paid by the close of the grace period, (January 31) as required by the Bylaws, or their names will be removed from the final program, and their registration fees, if paid, will be forfeited.

Individuals who have presented papers at times when they were not members will be denied the member privilege of participating in future Annual Meetings until monies owed SAA are paid.

Individuals who have violated SAA policy by participating in the Annual Meeting without having paid their dues, may return to good standing by paying monies owed SAA but will not receive SAA serial publications for the period in which monies were owed.

Special circumstances, not related to waivers, may be appealed to the Executive Director, for example, a delegation of non-U.S. scholars.

The Board instructs the Executive Director to reject submissions of papers for the 2006 Annual Meeting from those individuals who have not joined the Society by December 15, 2005.

## **Posters**

[Adopted in E-Motion 120-70.1, March 2008]

The Board of Directors amends its action in Motion 118-70.1 to allow for the number of simultaneous posters to be increased to no more than 50, starting with the 2009 annual meeting.

[Adopted in Motion 118-70.1 (April 2007)]

In order to improve poster sessions at the annual meeting, the Board specifies the length of poster time slots to be two hours and the number of simultaneous posters to be no more than 40 per time slot beginning with the 2009 annual meeting.

## **Forums**

[Adopted in Motion 129-70.5 (April 2012).]

The Board sets the minimum number of discussants for a forum at the annual meeting at 3, and the maximum number at 8, and confirms that the de facto practice that all forums are two hours long.

## **Past Presidents Sessions**

[Adopted in Motion 138-70.2 Fall 2016]

The Board provides for a timely annual meeting session to honor a past SAA president. While these are not Board-sponsored sessions, they are exempt from the three-role rule.



## **Program Chair Appointment**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 96-31 (April 1996).]

Program chairs will be appointed 2 years in advance of the meeting they will organize.

## **Public Session**

[Restated in Motion 102-27D (March 1999); adopted in Motion 90-4 (April 1993).]

The Board instructs future Annual Meeting Program Chairs to exempt the Public Session from the usual review (but with full coordination with Executive Director and Program Chair).

## **Reciprocal Arrangements with Other Societies**

[Adopted in Motion 102-27D (March 1999); based on Board discussion item 97/68 (November 1996).]

SAA should exchange meeting announcements with its counterparts in allied disciplines, such as the American Anthropological Association, the Geological Society of America, the Archaeological Institute of America, and the Society for Historical Archaeology. Staff will effect this communication and keep future meeting information on the web. In particular, the American Association of Physical Anthropologists and the Canadian Archaeological Society should be notified of our annual meetings as soon as we know a city and date.

## **Renewing Members as Meeting Participants – Renewal Deadline**

[Adopted in Motion 121-70.1 (October/November 2008)]

The Board changes the membership renewal deadline for members who are meeting participants to January 31<sup>st</sup>, after which they will be dropped from the meeting program without recourse.

## **Research Reports**

[Adopted in e-Motion 129-70.4 (April 2012).]

The Board eliminates “research reports” as a separate category for submissions for the annual meeting.

## **Roles**

[Adopted in e-Motion 129-70.3 (April 2012).]

The Board abolishes the “organizer” role for the annual meeting.

## **Session Scheduling**

[Approved in Consent Motion 116-37B (April 2006)]

The Board acknowledges the inconvenience that may result from occasional problems in scheduling sessions at the annual meeting. However, the Board declines to further increase the difficulties of the program committee by establishing mandatory guidelines.

### **Scheduling and Site Selection Policy**

[Adopted in Consent Motion 102-70 (March 1999).]

The Annual Meeting will normally take place in March or April; it will be scheduled so as not to conflict with either Easter or Passover. Criteria for site selection include: (1) geographical diversity from year to year; (2) reasonable cost to members; and (3) local interest. The Board will consider issues of human rights in selecting cities and states for meeting locations.

### **Sponsorship and Review of Sessions (also see: Three Role Rule)**

[Restated in Motion 102-27D (March 1999); adopted in Motion 95-14 (November 1995).]

With respect to a session at the Annual Meeting, the designation "sponsored" indicates the support of an SAA committee or an organization outside SAA. The designation "invited" reflects a special status and role within the meeting, as defined by the program chair. All sponsored and invited sessions are subject to review by the Program Committee, as are all other submissions, and are subject to the three-role rule. Because numerous committees wish to sponsor sessions, the Program Committee must balance such requests with other program goals; as a result, in some circumstances, requests for sponsored sessions may be rejected. The only exceptions to the review process and three-role rule are the opening and plenary sessions and, in special circumstances, "SAA Sessions" that are mandated by the board in furtherance of key society goals. Non-SAA members who participate only in plenary and opening sessions, or the specifically designated "SAA Sessions," are exempt from the registration fee.

### **Student Badges**

[Adopted in Motion 102-27D (March 1999); based on Board discussion item 69/S (April 1988).]

No distinction between student and professional members (previously called "regular members") shall be made on name badges at the annual meeting.

### **Structure of Meeting Safety Volunteers**

[Motion 146-67A(October 2020)]

#### **Structure of Meeting Safety Volunteer Program for SAA 2021 Annual Meeting**

**Schedule:** Volunteers will be available to support attendees on Wednesday–Sunday. Each day, they will be available from the beginning of the earliest on-site event that is listed in the program until 30 minutes after the end of the last event listed in the program. These hours will be divided into shifts approximately four hours long. If the 2021 schedule matches the published 2020 schedule, these shifts will be:

Wednesday: 6:30pm–11pm (1 shift: 6:30–11pm)

Thursday: 7am–10:30pm (4 shifts: 7–11am, 11am–3pm, 3–7pm, 7–10:30pm)

Friday: 7am–11pm (4 shifts: 7–11am, 11am–3pm, 3–7pm, 7–11pm)

Saturday: 7am–7:30pm (3 shifts: 7–11:30am, 11:30am–3:30pm, 3:30–7:30pm)

Sunday: 7am–12:30pm (1 shift: 7am–12:30pm)

**Request System:** Attendees may request support either via an online form or by phone. The online form will be a Google Form owned by the Meeting Safety Committee’s Gmail account (saasafemeeting@gmail.com). There will also be a Google Voice phone number set up to forward to the phone of the coordinator on duty: the number will be disseminated via the committee’s page on the SAA website (<https://www.saa.org/annual-meeting/safety-committee>), shared via the committee’s social media, and various other outreach efforts. Attendees do not need to provide a reason or details regarding why they are requesting support. Only committee members will have access to the requests and all requests will be kept confidential. An anonymized report of how many requests of which types we received will be sent to the board and staff after the meeting. Once this report is presented to the board, the MSC will delete all individual requests and retain only anonymous, aggregated data.

**Roles:** Each shift, there will be one coordinator and two volunteers on duty. Volunteers and coordinators will be on duty for at least two shifts during the meeting.

**Coordinator:** This person will monitor incoming requests for accompaniment. When a request comes in, the coordinator will assign it to a volunteer on duty at the relevant time, communicate the assignment to the volunteer, and confirm with the requester that a volunteer will meet them at a designated meeting spot at a designated time. If both volunteers on duty already have assignments, then the coordinator will see if any of the other volunteers are available and if so, assign it to them. If no volunteers are available, then the coordinator will communicate that to the requester and provide a volunteer as soon as one becomes available. The coordinator will also monitor the committee’s social media profiles and the social media discussion of the conference overall. If they have concerns, then they will communicate them to SAA staff or to the contracted social media manager. Coordinators need not be physically present at the conference.

Coordinators should keep clear notes to provide to the incoming coordinator about interactions that occur during their shift, especially if they anticipate a request or accompaniment will carry over into the next coordinator shift.

**Volunteers:** The two volunteers on duty agree to be present in the conference center at all times during their shifts. If they are not accompanying someone, they are welcome to attend sessions, socialize, visit the book room, etc., but should be ready to take an assignment at any time.

Volunteers should remember that requests are confidential and they should not bring others (e.g., friends, colleagues, etc.) with them to engage with a survivor.

Volunteer responsibilities will include:

- Accompanying a requester to a session (or sessions) or to other conference spaces, such as the book room.
- Sitting in the front row of a requester’s presentation.
- Waiting with a requester while they wait for transportation from the headquarters hotel or conference center back to their accommodations.
- Checking-in regularly with the shift coordinator, including confirming when a requested assignment is complete and the volunteer is available for a new assignment.
- Following the rules of the Safety Volunteer Program.

Safety Volunteers must engage with survivors by being empathetic and non-judgmental, and by

being active listeners. They must be present and authentically in the space. Safety Volunteers will also validate the survivor (e.g., “It’s not your fault,” “I’m really sorry, that should not have happened to you,” “This is really brave of you,” “Thank you for trusting me with this information”), let the survivor lead the experience, and ask how the survivor would like to proceed. It is imperative that Safety Volunteers not label the survivor’s experience.

Safety Volunteers will provide survivors with a tangible list of resources and/or access to the Annual Meeting Ombuds for reporting or disclosure at the survivor’s discretion. As part of this, Safety Volunteers will work with the SAA Executive and the ombuds to direct requests to appropriate resources, if they are outside the scope of the safety volunteer program.

The safety of our volunteers and their personal care is of the utmost concern. Before undertaking the role of Safety Volunteer, individuals will need to assess their own needs and whether or not they are able to support survivors. Volunteers will also not place themselves in situations that might cause personal danger or confront alleged harassers in any way. Volunteers will neither participate in conversations regarding the pros and cons of the policies and procedures enacted by the board nor will they participate in whisper networks or disclose the requester’s confidential information.

**Off-Duty Volunteers:** If an attendee approaches an off-duty volunteer asking for support, then that volunteer may either agree to support that person or may put them in touch with on-duty volunteers. If an off-duty volunteer agrees to support that person, then they must contact the on-duty coordinator to log the request (name of requester, location, expected duration, outcome) as soon as possible.

**Volunteers:** The volunteers and coordinators will be members of the Meeting Safety Committee, members of the student advisory group of the Task Force on Sexual and Anti-Harassment Policies and Procedures, and other SAA members who have been involved in the work of studying and reducing sexual harassment in the SAA or other archaeology professional organizations.

The Meeting Safety Committee recommends that registration fees for the Annual Meeting be waived for any member participating in the Safety Volunteer program as volunteers and/or as coordinators.

**Recruitment:** Rather than creating an open call for volunteers, we plan to begin by recruiting volunteers who have been involved in feminist, anti-harassment, and/or diversity-related advocacy in the discipline. We will circulate our call to members of relevant SAA committees and task forces, including COSWA, the former Task Force on Sexual and Anti-Harassment Policies and Procedures and its student advisory group, and the Intersectionality Task Force. We will also reach out to the Society of Black Archaeologists and particular individuals whom members of our committee know well and trust.

**Vetting:** Members interested in becoming Safety Volunteers must submit a short statement of interest (200–250 words in English or Spanish) and two letters of reference to be reviewed by the Meeting Safety Committee. Examples of appropriate references include employers, mentors, colleagues, and former employees and/or students. Letters will need to be submitted by the recommender directly to the committee’s email address. Statements of interest and references are due by the deadline for abstracts for the Annual Meeting as set forth by the SAA. Applicants should also let the Meeting Safety Committee know whether their employer is paying for their conference registration and, if not, whether they require subsidized registration in order to participate. Members will receive an email regarding their approval as Safety Volunteers and will be given information regarding next steps.

**Training:** Upon approval, Safety Volunteers will be notified of, and required to, complete training before the start of the Annual Meeting. Training will be provided by a non-profit

organization specializing in sexual violence response and prevention and will take place via videoconference. It will cover topics such as SAA policies and procedures around harassment, trauma-informed responses to sexual violence, and ways to appropriately support survivors. (10/17/2020)

### **Student Member Registration Fees**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 91-4 (November 19, 1993).]

For the 1995 meeting and thereafter, student registration fees be set at a level about 25% below the professional member (previously “regular member”) fees, and that non-student registration fees be adjusted upward to insure that total registration revenues do not decrease.

### **Submissions Format**

[Approved in Motion 116-70.2 (April 2006)]

Beginning with the 2008 annual meeting, the standard submission format will be electronic via the web. Paper submissions will be accepted at an additional cost of \$25. The Executive Director may exempt this additional service fee for legitimate reasons where contributors cannot access/use the web.

### **Submissions Review**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 100-70 (March 1998).]

For meetings where space is sufficient to accommodate all submissions, the Annual Meeting Program Committee need not conduct a full-scale review of all submissions but rather may simply screen the submissions to ensure their appropriateness.

### **Three Role Rule (see also: Sponsorship and Review of Sessions)**

[Restated in Motion 102-27D (March 1999); also see Motion 99-70 (October/November 1997), Motion 97-68E (November 1996), Motion 95-14 (November 1995).]

An individual may fill no more than three presentation roles at an annual meeting (e.g., symposium chair, paper presenter, poster presenter, discussant, forum moderator, working-group chair or participant). Instructing a workshop or chairing a general session do not constitute "roles" under this rule. Also exempted from this rule are the opening and plenary sessions and, in special circumstances, "SAA Sessions" that are mandated by the board in furtherance of key society goals.

In addition, an individual may not be a senior (first) author of more than one paper or poster, and may not be chair of more than one symposium.

[Adopted in Motion 128-70.1 (October 2011)]

Recognizing the complexities of avoiding scheduling conflicts at the annual meeting, the Board establishes the policy that an individual may chair only one session at any annual meeting.

## Waiver Policy

[Reaffirmed in Motion 102-27D (March 1999); amended in Motion 97-70J (November 1996); adopted in Motion 95-15 (November 1995).]

An individual who is invited to participate in a session at the Annual Meeting in order to present information for the benefit of SAA members and who is neither an archaeologist nor a professional in a field whose members would normally belong to the SAA may have the membership requirement waived. In such cases the individual's registration fee should also be reduced to the member rate. In rare instances and for only for the most compelling reasons, the registration fee and membership requirement may be waived entirely. For all waivers, a written application accompanying the session proposal must be made by the organizer of the session and should specifically articulate the benefits to the society and the vocation of the individual for whom the waiver is being requested. Decisions under this policy will normally be made by the Executive Director.

## Annual Meeting Safety Policy and Code of Conduct at SAA Events

[Motion 144H-70.1 (December 18, 2019)]

### I. PRINCIPLES

#### Background

This policy (“Policy”) defines a code of conduct for attendees of the SAA Annual Meeting and other SAA events and mandates response to incidents of misconduct in activities sponsored by the SAA. This Policy will be reviewed and updated, as needed, every three years unless events and situations necessitate earlier action.

Everyone is entitled to a safe and harassment-free experience when participating in SAA activities. The SAA understands that participation at its events is an important part of career development and affirms the values of respect, equity, multicultural pluralism, and nondiscrimination at these gatherings. Harassment harms the individual. Harassment also damages the SAA community by discouraging participation in SAA events and compromising the exchange of ideas that is at the center of the SAA’s mission to promote and stimulate interest and research in the archaeology of the Americas and beyond.

Because of the importance of the meeting to career development and concerns at the Society about inclusion of marginalized groups in the Society’s events, the SAA has elected in this Policy to give priority to survivors of harassment and assault and to ensure their ability to participate freely in SAA events.

#### Scope

This policy applies to all meeting attendees at the SAA Annual Meeting and any SAA events, which includes the conference rooms and organized sessions of the SAA, workshops, excursions, receptions, webinars, and SAA committee, task force, and interest group meetings.<sup>5</sup> Although reportable incidents

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<sup>5</sup> SAA committee, task force, and interest group meetings take place in various venues; the Policy will apply, regardless of venue, for all committee, task force, and interest group meetings that are formally convened. The Policy will not apply to SAA events that are open to the public.

are *not* limited to those occurring at the Annual Meeting and SAA events, any expulsions or restrictions are limited to areas under SAA control. For example, the SAA can bar or exclude an individual from conference sessions, exposition halls, SAA meetings, or social events; however, the SAA's ability to restrict individuals from spaces accessible to the general public is limited.

### **Attendee Health and Safety**

When any event participant discloses or reports an incident of misconduct, the SAA's first immediate priority will be the health, safety, and well-being of the attendee. Except in emergency situations, where the venue policy and procedure take precedence, the SAA Executive Director and SAA President, in consultation with legal counsel and hotel/convention center security, will determine whether the involvement of local law enforcement is necessary or prudent.

## II. CODE OF CONDUCT

SAA meeting participants involved in SAA activities and events are expected to conform to the principles and provisions of this policy and to the SAA Principles of Archaeological Ethics.

The following behaviors are prohibited at the SAA Annual Meeting and SAA events:

- Harassment of any kind, including sexual harassment, sexual assault, and coercion
- Physical or verbal abuse, including bullying
- Unwelcome comments and/or exclusionary behaviors related to an individual's age, sex, gender identity and expression, perceived sexual identity, appearance or body size, military status, ethnicity, individual lifestyle, marital status, sexual orientation, physical or cognitive abilities, political affiliation, race, religion, or nationality
- Intimidation, stalking, or following

Any attendee who is required by their employer or by a legal process to refrain from certain behaviors or from contact with certain individuals is expected to adhere to those restrictions while participating in all SAA activities. Violation of employer requirements and/or legal restrictions will constitute a violation of this Code of Conduct if disclosed or reported.

### **Prohibition against Retaliation**

Retaliation is when someone penalizes another person for

- Reporting, or expressing an intent to report, what the person believes in good faith to be assault, harassment, or any conduct prohibited by the SAA as stated herein
- Assisting another in reporting assault or harassment, or any conduct prohibited by the SAA
- Participating in any SAA inquiry, review, or investigation pertaining to misconduct
- Having previously reported assault, harassment, or misconduct, and/or having participated in an inquiry, review, or investigation, whether the potential violation occurred at SAA or elsewhere

SAA strictly prohibits retaliation to ensure that SAA event participants feel comfortable coming forward with their concerns without fear of reprisal. Any person who engages in retaliation in violation of this Policy will be subject to barring or expulsion from SAA events, possible termination of membership, or other disciplinary action.



### III. OMBUDS AT THE SAA ANNUAL MEETING

#### Ombuds

For each SAA Annual Meeting, the SAA will designate two (2) ombuds (“Ombuds”) to serve as confidential resources for meeting attendees. The primary duties of the Ombuds are (1) to work with meeting attendees to explore and assist them in determining options to help resolve conflicts, problematic issues, or concerns, and (2) to bring systemic concerns to the attention of the organization for resolution. The Ombuds retained by SAA for its Annual Meeting shall follow the Standards of Practice and Code of Ethics of the International Ombudsman Association (<https://www.ombudsassociation.org/standards-of-practice-code-of-ethics-2>).

The Ombuds will operate in a manner to preserve the confidentiality of meeting attendees who come to them, will maintain a neutral/impartial position with respect to the concerns raised, and are independent of formal SAA organizational structures.

#### WHAT AN OMBUDS DOES<sup>6</sup>

**Activities and functions** most frequently undertaken by an Ombuds include, but are not limited to:

- Listens and understands issues while remaining neutral with respect to the facts. The Ombuds doesn’t listen to judge or to decide who is right or wrong. The Ombuds listens to understand the issue from the perspective of the individual. This is a critical step in developing options for resolution.
- Assists in reframing issues and developing and helping individuals evaluate options. This helps individuals identify the interests of various parties to the issues and helps focus efforts on potential options to meet those interests.
- Guides or coaches individuals to deal directly with other parties, including the use of formal resolution resources of the organization. An Ombuds often seeks to help individuals improve their skill and their confidence in giving voice to their concerns directly.
- Refers individuals to appropriate resolution resources. An Ombuds may refer individuals to one or more formal organizational resources that can potentially resolve the issue.
- Assists in surfacing issues to formal resolution channels. When an individual is unable or unwilling to surface a concern directly, the Ombuds can assist by helping give voice to the concern and/or creating an awareness of the issue among appropriate decision-makers in the organization.
- Facilitates informal resolution processes. An Ombuds may help to resolve issues between parties through various types of informal mediation in cases where parties consent to this informal process.
- Identifies new issues and opportunities for systemic change for the organization. The unique positioning of the Ombuds serves to provide unfiltered information that can produce insight to issues and resolutions. The Ombuds is a source of detection and early warning of new issues and a source of suggestions of systemic change to improve existing processes.

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<sup>6</sup> Excerpted from the International Ombudsman Association (<https://www.ombudsassociation.org/what-is-an-organizational-ombuds>).

## **WHAT AN OMBUDS DOES NOT DO**

Because of the informal, neutral, confidential, and independent positioning of an Ombuds in an organization, they typically do not undertake the following roles or activities:

- Participate in formal investigations or play any role in a formal issue resolution process
- Serve in any other organizational role that would compromise the neutrality of the Ombuds role
- Receive notice for the organization
- Make binding decisions or mandate policies
- Create or maintain records or reports of individual visitors and individual consultations for the organization

For the SAA Annual Meeting, the Ombuds will *not* be archaeologists. The SAA Ombuds will be as visible as possible at the Annual Meeting so as to be easily identified by meeting attendees.

**SAA Ombuds may, with the permission of the individuals who come to them, make recommendations to the SAA President and Executive Director about specific actions that might enhance the safety and well-being of the individuals while at the Annual Meeting. In situations where the Code of Conduct is implicated, the SAA President and Executive Director shall advise the individual of the disclosure and reporting process outlined in Section IV below.**

Ombuds will be on-site and accessible during the Annual Meeting and available by e-mail, phone, and for face-to-face meetings. Ombuds' contact information will be published in all SAA Annual Meeting collateral materials (printed and online), including on SAA meeting badges.

### **Ombuds Selection and Identification**

The SAA Ombuds retained for the SAA Annual Meeting shall hold the CO-OP® certification from the International Ombudsman Association, or possess the appropriate professional qualifications and experience to fulfill the obligations and duties as described herein. At the SAA Annual Meeting, there shall be two (2) Ombuds of different genders. The Ombuds positions will be filled by the SAA Executive Director after candidate interviews have taken place with a panel made up of the SAA President or designee(s) and SAA Counsel. Upon selection, the SAA Annual Meeting Ombuds' names and contact information will be published in all appropriate Annual Meeting collateral materials. The SAA Ombuds will be as visible as possible at the Annual Meeting and be clearly badged as the "Ombuds."

## **IV. DISCLOSURE AND REPORTING AT THE SAA ANNUAL MEETING**

SAA encourages reporting of any conduct in violation of the Code of Conduct in Section II above, regardless of the identity of the offender. While SAA encourages individuals to firmly and promptly notify the offender that the behavior is unwelcome, SAA also recognizes that power and status disparities between the offender and the recipient of the offensive conduct may make such a confrontation problematic. Consequently, such direct communication is *not* a requirement or prerequisite for filing a complaint.

### **Ombuds Visit**

Any meeting attendee may reach out to the SAA Meeting Ombuds. This is an independent, informal, and confidential process that enables attendees to discuss any matter of discomfort or distress. The topic of concern may have occurred at an SAA event or elsewhere, or at any point in the past. Connecting with the Ombuds does not require identifying the individual against whom the report is being made (“Subject Individual”<sup>7</sup>) nor naming the Attendee to the Subject Individual(s) or to the SAA.

Ombuds visits are intended to explore creatively the range of legal, institutional, policy, and personal options and to discuss with the visitor benefits and disadvantages in order to help the individual identify solution(s) that best support them.

While high-level data about the overall categories and types of issues will be shared with the Board by the Ombuds (in the interest of improving the meeting in the future), the Ombuds will adhere to their obligation of confidentiality (unless the individual consents to disclosure), and no specific or identifying information will be shared with the SAA.

Visiting an Ombuds is not mutually exclusive with other processes (e.g., disclosure or report.)

### **Disclosure and Report**

Any SAA member or participant at the SAA Annual Meeting (“Attendee”) may submit a disclosure or a report (as defined below) to the SAA President or Executive Director. Reports and disclosures can be made orally or in writing. There may be circumstances, particularly with Reports, where an oral report may need some written documentation. The SAA President and Executive Director will be the primary point of contact for the Attendee. Attendees may report incidents with or without identifying the Subject Individual. For purposes of this Policy, the following definitions shall apply:

**Disclosure** (hereinafter “Disclosure” or “Disclosures”) occurs when an Attendee notifies the SAA of a violation of the Code of Conduct or other misconduct and requests assistance from the SAA to enable the Attendee’s continued safe participation in SAA activities. The violation may have occurred at an SAA event or elsewhere, or at any point in the past. Disclosure does not require further investigation or identifying the Subject Individual(s). Disclosure does not require naming the Attendee to the Subject Individual(s). A Disclosure may be made to the SAA President or Executive Director.

**The Attendee’s identity shall remain anonymous, unless the Attendee elects to be identified.**

**In cases where a Disclosure is made without identification of the Subject Individual, actions that may be taken will be limited to making accommodations for the Attendee, such as arranging for escorts to, from, and during SAA events at the Annual Meeting.**

**Reporting** (hereinafter “Report” or “Reports”) occurs when an Attendee notifies the SAA of a violation of the Code of Conduct, and requests that the SAA review the matter and take action against the Subject Individual to enable the Attendee’s continued safe participation in SAA activities. A Report may be made to the SAA President or Executive Director.

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<sup>7</sup> For the purposes of this Policy, “Subject Individual” refers to *anyone* against whom a report is being made, regardless of SAA membership status.

**Reporting requires that an Attendee identify the Subject Individual. A Report will require a description of the alleged incident of misconduct from the Attendee and may be strengthened by statements from any witnesses to the incident.**

**The SAA President and Executive Director may provide the Subject Individual with a description of the incident and request a timely response. The SAA President and Executive Director will reiterate the non-retaliation provision of the Code of Conduct to the Subject Individual.**

Disclosures and Reports under this Policy may be made orally or in writing. To assist Attendees, a form for submission of a written Disclosure or Report is attached to this Policy as **Appendix A**, and all Attendees are encouraged to use this form. The Attendee may designate a third party to represent them when submitting a Disclosure or Report, provided the third party can present written proof or confirmation of such designation to ensure such third party is authorized to speak on the Attendee's behalf (e.g., signed letter/affidavit). Individuals who are submitting Reports on behalf of other SAA members or individuals should use the form and note that it is on another person's behalf.

*Role of the Ombuds*

*Attendees who submit a Disclosure or Report will be encouraged to speak with the SAA Ombuds at the Annual Meeting as well. The Ombuds will explore with the Attendee ways to stay safe and ways to participate as fully as possible in the meeting. If a formal report has not been submitted by the Attendee (in cases where a Disclosure has been made), the Ombuds may discuss the option of filing a Report with the SAA as outlined in this Policy; a complaint with the Subject Individuals' employing institution or local law enforcement; or a grievance with the Register of Professional Archaeologists or another adjudicating body; along with exploring local, institutional, legal, and interpersonal options.*

*The Ombuds may, if appropriate, mediate or otherwise assist the Attendee and Subject Individual in reaching a resolution, particularly in cases of misunderstandings, if the parties agree to that process.*

**Actions**

**THE SAA PRESIDENT AND EXECUTIVE DIRECTOR, IN CONSULTATION WITH SAA LEGAL COUNSEL, SHALL BE EMPOWERED WITH THE DISCRETION TO TAKE ACTION AT THE SAA ANNUAL MEETING.**

Actions may include, but are not restricted to, the following:

- Providing access to escorts to, from, and during events for the Attendee
- Removing the Subject Individual from the Annual Meeting
- Requiring the Subject Individual to modify and/or restrict his or her behavior and activity at the SAA Annual Meeting
- Other reasonable steps, consistent with the nature of the alleged misconduct

The SAA President and Executive Director will complete a written memo, summarizing the facts obtained and the resolution. The Attendee and Subject Individual will receive a copy. **There may be circumstances in which identities shall be left out or redacted from the memo.**

The SAA President and Executive Director shall be responsible for prompt updating to the Attendee about the actions taken. The SAA President and Executive Director will be responsible for notifying the Subject Individual about actions the SAA is taking.

The SAA President and Executive Director's memo shall be sent to the Findings Verification Committee referenced in Section V below for further review and determination of whether or not the Subject Individual should be barred from future SAA Annual Meetings or events.

#### **IV. DISCLOSURE AND REPORTING PRIOR TO THE SAA ANNUAL MEETING**

Any SAA member or participant at the SAA Annual Meeting ("Attendee") may submit a Disclosure or Report up to 30 days prior to the opening session at the SAA Annual Meeting by e-mailing the SAA President ([president@saa.org](mailto:president@saa.org)) and/or Executive Director ([exdir@saa.org](mailto:exdir@saa.org)). Attendees may use a third party to represent them when submitting a Disclosure or Report to SAA and for purposes of discussing next steps with the SAA, provided the third party presents written proof or confirmation of such designation to ensure such third party is authorized to speak on the Attendee's behalf (e.g., signed letter/affidavit).

Article IX: Meetings and Voting, Section 4 of the SAA Bylaws states:

*Upon being presented with credible evidence that an individual has been found, by a court of competent jurisdiction or an administrative or regulatory body, to have engaged in conduct or actions contrary to the ideals, objectives, and accepted standards of the Society as set forth in these Bylaws, Board policies, or the SAA Principles of Archaeological Ethics, the Board may bar that individual from attending the Annual Meeting and other SAA-sponsored events.*

*Such conduct or action shall include, but is not limited to, sexual assault and harassment.*

Registrants for the SAA Annual Meeting are required to self-certify as follows:

*I am not and have not ever been the subject of adverse findings from a discrimination or harassment lawsuit or administrative complaint; and*

*I have not been found at fault in a disciplinary action, such as suspension or termination of registration resulting from a Register of Professional Archaeologists' grievance investigation.*

A list of the names of advance registrants will be posted online behind the log-in wall for other advance registrants and members to review within two days of advance registration closing. Advance registrants who are on the program are also included in the Preliminary Program when it is published online.

**Disclosures** submitted under advance reporting shall be reviewed by the SAA Executive Director, the SAA President, and SAA Counsel for purposes of arranging any accommodations requested to ensure the Attendees' safe participation at the SAA Annual Meeting. The SAA Ombuds for such Annual Meeting will be made aware of the matter and briefed on the accommodations made.

**Reports** submitted up to 30 days prior to the opening session at the Annual Meeting shall be reviewed by the **Findings Verification Committee ("Committee")**.

### **Findings Verification Committee**

The Committee shall be made up of no fewer than three (3) SAA members, appointed by the Board of Directors to serve staggered three (3)-year terms. Beginning in 2021, at least one of the committee members will be elected by members for a three (3)-year term. The Committee shall be authorized to review Reports and shall be charged with recommending to the Board under Article IX, Section 4 of the SAA Bylaws whether SAA members should be barred from *future* SAA events.

The Committee is charged by the Board of Directors with verifying credibility of evidence and recommending to the Board whether an individual should be barred from attending the SAA Annual Meeting or other SAA-sponsored events and for what period of time. In determining its recommendation, the Committee shall receive and review evidence that the Subject Individual has been found, by a court of competent jurisdiction or an administrative or regulatory body, to have engaged in conduct or actions contrary to the ideals, objectives, and accepted standards of the Society as set forth in these Bylaws, Board policies, or the SAA Principles of Archaeological Ethics. The Committee shall not have the authority to independently receive Reports, or to initiate its own inquiry, review, or investigation with respect to any individual or group.

The Committee's deliberations shall include SAA Counsel, identified to it by the SAA President or Board of Directors.

### **Committee Report and Recommendation**

Upon determining that the documentation underlying the Report is sufficient and credible, the Committee shall document its findings and recommend to the Board whether the Subject Individual should be barred from the SAA Annual Meeting and other SAA-sponsored events. The Committee recommendations shall be made available to the Attendee (or Attendee's representative in such cases), the Subject Individual, and the Board of Directors.

If an adverse finding against the Subject Individual is recommended by the Committee, the Subject Individual may submit objections to the Board of Directors within ten (10) business days of receipt by the Subject Individual, and provide arguments as to why the Committee's recommendations should not be adopted.

**If the Committee's determination is adopted by the Board of Directors, SAA Staff shall be directed to implement all appropriate administrative steps to ensure the Subject Individual is barred from registering for or attending the relevant future SAA events, including the Annual Meeting. Such steps may include measures to identify and prevent the Subject Individual from on-site registration for the relevant SAA events, and may involve asking registrants to provide identification when they pick up their badges.**

## V. CONFIDENTIALITY, RECORDS, AND REPORTING

### **Confidentiality**

All matters falling under this Policy will be held strictly confidential within the SAA Board of Directors, Findings Verification Committee, Ombuds, SAA Staff, and SAA Counsel. Confidentiality shall be maintained in the interest of protecting the identity of any individual submitting a Disclosure or Report, any other individual party submitting the same, and/or the individual against whom a Disclosure or Report is being made, as well as to minimize legal exposure to the SAA subsequent to any inquiry, review, or investigations conducted by the SAA or the Ombuds (“Inquiry” or “Inquiries”).

Notwithstanding the confidentiality of any Disclosure, Report, or Inquiry, the identity of any individual or party to a Disclosure, Report, or Inquiry may be made known on a need-to-know basis, with such individuals’ prior written consent, if such individuals so choose. The identity of Subject Individuals, as part of the reporting to the Board and SAA membership, shall be made consistent with the “Reporting” provisions of this Section V below. It is understood that when an adverse determination is made against a Subject Individual, the identity of such Subject Individual will be disclosed on a need-to-know basis, to effectuate the intent of this Policy.

### **Records**

All SAA deliberations with regard to any Disclosure, Report, or Inquiry, including but not limited to deliberations of the Ombuds, Findings Verification Committee, and SAA Board, shall be kept strictly confidential.

### **Reporting**

The Board of Directors will publish an aggregated summary to the SAA membership each year on incidents of misconduct, Disclosures and Reports made, and list of actions taken and accommodations made.

The Ombuds will summarize for the Board within two (2) months of the Annual Meeting basic demographics and problem categories of those who utilized the service (without any identifying information) at the SAA Annual Meeting and will provide any feedback and recommendations the SAA might wish to consider regarding future meetings.

## **VI. EDUCATION AND COMMUNICATION**

The SAA will provide members with information about appropriate conduct and prevention of misconduct during the SAA Annual Meeting and other SAA events, including the presence of this Policy and contact information for the SAA Annual Meeting Ombuds.

Anti-harassment and all related policies will be posted on the SAA website.

SAA Annual Meeting communications, including web pages, e-mail, and any published materials, including the call for submissions and registration information, will include this Policy or hyperlinks to this Policy. The Policy will be printed in the final program, and a link to the Policy will be provided in the meeting mobile application.

The SAA will promote activities that reduce misconduct in the practice of archaeology, such as trainings for bystander interventions and workshops on reducing abuse, micro-aggressions, and implicit bias. The SAA will make available all information, including the process for making Reports, Disclosures, or filing complaints through social media outlets, where appropriate.

### **Awards**

#### **Multiple Awards Policy**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 95-23 (November 1995).]

Each awards committee should give no more than one award per year, except in the case of collaborative efforts.

#### **Student Poster Award Deadline**

[Adopted in Motion 129-84.1 (April 2012).]

The Board sets the deadline for submission of student posters at one month prior to the beginning of the annual meeting. The announcement of the student poster award recipient will not be included with other award announcements in the program, but will be announced at the Business Meeting and Awards Ceremony.

#### **Student Paper Award Clarification**

[Adopted in Consent Motion 114-89.1 (March/April 2005)]

The Board clarifies that for the purposes of this award “student paper” means that all authors were students at the time the paper was submitted for consideration by the Awards Committee.

#### **Student Paper Award Deadline**

[Adopted in Motion 129-89.1A (April 2012).]



The Board sets the deadline for submission of student papers at one month prior to the beginning of the annual meeting. The announcement of the student paper award recipient will not be included with other award announcements in the program, but will be announced at the Business Meeting and Awards Ceremony.

## Committees and Task Forces

### Annual Reports

[Adopted in Motion 132-27.1B (Fall 2013)]

The Board requests that each committee chair provide a list of its top three action items for the coming year. These action items should be included in the Spring report to the Board. This requirement does not apply to all awards committees, the Bylaws Committee, the Nominating Committee, and task forces.

### Appointments Policy

[Revised in motion 144H-23.1 (December 2019); Revised in Motion 137-27.1A; Revised in Motion 131-27.3 (April 2013) Revised in Motion 125-27.1; Amended in Motion 102-27D (March 1999); amended in Motion 101-23A (November 1998); amended in Motion 99-23B (November 1997); amended in Motions 97-27S, 97-27Q, 97-27V, and 97-27W (November 1996); amended in Motion 96-5 (April 1996); adopted in Motion 95-24 (November 1995).]

#### INTRODUCTION

This policy serves to define the procedures associated with populating SAA committees. Article XI of the SAA Bylaws states that the society will be organized with the following committee structure:

1. ***Subcommittees of the board***, which are composed of board members, facilitate the work of the board in providing advisory information;
2. ***Standing committees***, which facilitate the operation of the Society;
3. ***Advisory committees***, which provide advisory and administrative support to the board;
4. ***Task forces***, which perform specific activities for a defined term; and
5. ***President's Advisory Board***, composed of all past presidents, advises the board when requested to do so.

In this policy, the words “committee chair” or “committee chairs” are understood to reflect chairs of any of the above bodies.

#### STANDING COMMITTEES AND ADVISORY COMMITTEES

Article XI of the SAA Bylaws delineates three standing committees, which are the Bylaws Committee, Publications Committee, and Committee on Ethics, and Article VIII of the SAA Bylaws establishes the Nominating Committee. All other SAA committees are advisory committees.

With the exception of the Nominating Committee, the board may create or dissolve advisory committees, and the president appoints chairs and members to these committees (with the advice and consent of the board for committee chairs).

This policy outlines the process for identifying and appointing members and chairs of SAA standing committees and advisory committees, with the exception of the Nominating Committee which is governed by Article VIII of the SAA Bylaws.

### **Open Call Process**

Since the SAA Bylaws were passed, the number and diversity of members has grown substantially. In order to democratize and open access to service on standing and advisory committees, SAA has introduced an open-call process to allow members to express their interest in serving on a particular committee. The purpose of the open call is to ensure that all members have access to opportunities to serve on standing and advisory committees. Each fall, SAA has an open call for members to submit letters stating their interest in serving on one or two committees. All committee vacancies are filled after the open call.

### **General Policies**

- Committee chairs and members must be SAA members in good standing at the time of the appointment and must maintain their SAA membership throughout their term.
- Committee chairs are appointed by the president with the advice and consent of the board.
- Committee members are appointed by the president, based on the recommendation of the committee chair and the board liaison to the committee (see “Board Liaison” section below).
- Prospective committee members may include respondents to the open call, committee members whose first terms are ending (except award committee members who may not serve two consecutive terms), or any other SAA member recommended by the chair.
- Committees may consult with nonmembers of SAA for their special expertise, but such nonmembers may not be members of the committee.
- A committee chair or member may resign at any time or be removed for cause by the president with the approval of the board.
- Should a vacancy occur as a result of a committee member or chair leaving before the end of their term, a replacement may be appointed by the president, in accordance with the appointment procedures defined above, to complete the term.

### **Committee Co-Chairs**

A co-chair may be appointed by the president, with the advice and consent of the board, to assist the chair and act in their absence, but it is the chair’s responsibility to lead the committee and report to the board. The term of a co-chair shall not exceed the term of the chair with whom the co-chair is appointed to serve. The co-chair does not automatically succeed to the chair position.

### **Open Call for SAA Committee Volunteers**

- Each year in October, SAA staff will notify committee chairs and board liaisons of committee members whose terms are ending and will identify any of those who are eligible for reappointment.
- In November of each year, SAA staff will publish an open call to all members who are interested in serving on committees and will identify the committees that have upcoming vacancies.
- Interested members may respond to the call by submitting a statement of interest (150 words maximum) in which they describe interests, experiences, and skills that are relevant to the committee’s charge. A member may submit statements of interest to a maximum of two committees each year.

- The board has established guidelines for evaluating respondents to the open call (*Motion 131-27.3B*), noting statements of interest should address these criteria: (1) specific expertise and/or experience that relate to the committee's work; (2) diversity of viewpoints on the committee's area of work; and (3) recruitment of new committee members to encourage broader member engagement.
- In December, committee chairs (except award committees; see next bullet point) and board liaisons will receive all statements of interest for their committees and will make recommendations within 30 days of receiving the applications. Recommendations preferably will be made from inquiries received from the open call, but chairs may also recommend a committee member whose first term is ending to serve a second term (except award committees). If there are not enough applicants from the open call to fill open slots, the chair may also recommend any other SAA member who has relevant experience and is willing to serve.
- Also in December, award committee chairs and the Committee on Awards will receive all statements of interest for their committees and will make recommendations within 30 days of receiving the applications. Recommendations preferably will be made from inquiries received from the open call, but if there are not enough applicants from the open call to fill open slots, the chair may also recommend any other SAA member who has relevant experience and is willing to serve. Award committee members may not serve two consecutive terms, although an individual may serve one term as a committee member followed by one term as chair. Members may not serve on more than one award committee at a time. All recommendations put forward by the award committee chairs and Committee on Awards require approval by the board liaison.
- Committee members may be appointed to a shorter term in order to stagger the rotation of members off the committee in any given year (See below, Terms and Service).
- The SAA president appoints committee members taking into consideration the recommendation of the committee chair, the Committee on Awards (for award committees), and the board liaison. Appointment letters will be sent electronically via email from the president to new committee chairs and committee members confirming their appointment and term.
- By January 31, the appointment process should be completed for committee members whose term will begin after the Business Meeting of the Society during the next annual meeting, and at that time committee chairs are responsible for notifying the respondents to the open call who were not selected.

#### **Committee Chair Appointment for all Committees except Award Committees**

- Each year in October, SAA staff will notify board liaisons of committee chairs whose terms are ending.
- Board liaisons will query current committee chairs for recommendations to fill the open chair positions and contact potential candidates to gauge their interest and willingness to serve.
- The committee chair candidate may be, but is not required to be, a current or former member of the committee.
- A person may chair no more than two committees simultaneously.
- A committee chair may be appointed to a second term.
- The outgoing committee chair and the board liaison will recommend committee chair candidates to be appointed by the president each fall with the advice and consent of the board.

#### **Award Committee Chair Appointment**

- Each year in October, SAA staff will notify the chair of the Committee on Awards and its board liaison of award committee chairs whose terms are ending.
- The Committee on Awards will query current award committee chairs for recommendations to fill the open chair positions and contact potential candidates to gauge their willingness to serve.
- The committee chair candidate may be, but is not required to be, a current or former member of the committee.
- An individual may serve on only one award committee at a time as either a member or chair.
- Award committee chairs may not serve two consecutive terms.
- The Committee on Awards in coordination with the board liaison will recommend committee chair candidates to be appointed by the president each fall with the advice and consent of the board.

### **Board Liaisons**

- Board members do not serve as members of committees, but they do serve as liaisons to committees to facilitate transparency and communication between committees and the board.
- Following the seating of new board members, the president will assign board liaisons to each committee in consultation with the board.
- To ensure effective communication, board liaisons for all committees except award and scholarship committees shall be included in all committee communications.
- Board liaisons for award and scholarship committees do not need to be included in all the committees' deliberation in reviewing and selecting award and scholarship recipients.
- Board liaisons (except the award committee board liaison; see next bullet point) will participate with the committee chairs in reviewing the statements from the open call and will approve or disapprove the committee chair's recommendations to the president for committee member appointments.
- The chair of the Committee on Awards will participate with the award committee chairs in reviewing the statements from the open call and will, in collaboration with the board liaison, recommend committee members to be appointed by the president.

### **Terms and Service**

- Terms of standing-committee and advisory-committee members are three years (updated in *Motion 131-27.3A*), starting and ending after the Annual Business Meeting of the Society (with the exception of the Government Affairs Committee).
- The chair and board liaisons have discretion to recommend members to shorter terms in order to stagger the terms on a given committee.
- Members and chairs of the Annual Meeting Local Advisory Committee, the Annual Meeting Program Committee, and the Nominating Committee serve one-year terms.
- The chair of the Government Affairs Committee serves a one-year term as chair-designate followed by a two-year term as chair.
- Members of the Cheryl L. Wase Memorial Scholarship Committee serve a four-year term, and the chair serves a two-year term that corresponds to the second half of their membership term.
- Fryxell Award Committee members' terms lasts four years, with the terms staggered so that only one member rotates off each year. The member whose term is expiring each year is recommended as a candidate to chair the committee.

- Committee chairs (except award committee chairs) may serve as chair of two committees at the same time.
- Committee members (except award committee members) may serve two, but not more than two, consecutive terms. Recommendation of a committee member to an appointment that exceeds the two-term limit must be brought to the attention of the full board for approval.
- Award committee members may not serve two consecutive terms on the same award committee, but they may serve one term as a committee member followed by one term as chair.
- Committee members or chairs are limited to simultaneous service on two committees, except award committees. A member may only serve on one award committee at a time.

### **Advisory Committee Composition**

Each committee's charge and composition are defined by the board and published on the SAA website ([www.saa.org](http://www.saa.org)). Additional members may be added to the committee under special circumstances, such as a temporary increase in the committee's workload or the need for sitting members to recuse themselves from the committee's deliberations. In this case, the president, taking into consideration the recommendation of the committee chair and board liaison, may appoint additional members not to exceed half the number specified in the charge.

The composition statements of many committees include the recommendation for at least two students to serve on the committee. Excluded from this recommendation are the Annual Meeting Local Advisory Committee, Annual Meeting Program Committee, Bylaws Committee, Ceremonial Resolutions Committee, Nominating Committee, Committee on Awards, all award committees, Cheryl L. Wase Memorial Scholarship Committee, H. and T. King Grant Committee, Minority Scholarships Committee, and Native American Scholarships Committee. Several committees have very specific composition criteria that differ from the norm.

#### *Cheryl L. Wase Memorial Scholarship Committee*

The Cheryl L. Wase Memorial Scholarship Committee has a unique composition based on the narrowly defined restrictions on how the scholarship is to be awarded to a female undergraduate student who is a resident of New Mexico pursuing a degree in archaeology at a fully accredited university in New Mexico. The committee shall be composed of a chair and seven members including two representatives from each Qualifying Educational Institution (UNM, ENMU, NMSU) and two members who are not currently employed by any of the qualifying universities. Members of the committee serve a four-year term. The chair shall be a faculty member of one of the Qualifying Educational Institutions and shall be considered one of the two representatives of that university. The committee chair is appointed by the SAA president with the advice and consent of the board to serve a two-year term as chair (out of their four-year term on the committee). The chair should be rotated equitably among the Qualifying Educational Institutions. Only the two non-university positions on the committee are open for participation in the open call.

#### *Fryxell Award Committee*

The Fryxell Award Committee has a unique committee rotation. The committee shall be composed of a chair and four members. Each member's term lasts four years, with the terms staggered so that only one member rotates off each year. Each year, the member whose term is expiring will be recommended as a candidate to chair the committee. The president appoints the chair each year with the advice and consent of the board.

### *Government Affairs Committee*

The Government Affairs Committee is composed of a chair and 15 members, including at least two students. Ideally, an individual serves as chair of the committee for the two years that coincide with a particular Congress (which begins in January of an odd-numbered year). The chair of the Government Affairs Committee should be appointed by the president with the advice and consent of the board as chair-designate in an election (even-numbered) year, then become chair on January 3 of the following year. The chair serves a two-year term that coincides with the two sessions of a single congress and may be reappointed for a second term. The SAA Manager, Government Affairs serves as staff liaison to the committee, and the president serves as board liaison.

### *H. and T. King Grant for Pre-Columbian Archaeology Committee*

The committee is composed of one chair, three members of SAA, plus one member recommended by the Institute for Andean Studies who is also a current member of SAA. Half the committee will be based outside of the US and Canada. The Treasurer and Executive Director of SAA will be nonvoting ex-officio members of this committee

### **NOMINATING COMMITTEE**

Article VIII of the SAA Bylaws defines the role, composition, and selection process for the chair and members of the Nominating Committee. Unlike other standing committees or advisory committees, the chair and members of the Nominating Committee change each year. In practice, the Nominating Committee independently selects a slate of candidates to be voted on by the SAA members. SAA Bylaws, Article VIII states that,

- The committee shall be composed of four members and a past Officer who serves as chair.
- Two of the four members of the Nominating Committee are elected by the general membership each year by electronic or mail ballot.
- The other two members and the chair of the Nominating Committee are appointed by the board at their first meeting following the close of the Annual Business Meeting.
- The committee shall fulfill other duties as may be prescribed to it by the board.

### **TASK FORCES**

Task forces may be established by the board at any time to fulfill a specific purpose in a specified period of time. When the task force completes its work and submits its report to the board, the task force is generally terminated, or sunset, by the board.

- Terms of task force chairs and members are typically coextensive with that of the task force.
- Task force chairs are appointed by the president with the advice and consent of the board.
- Task force members are appointed by the president with input from the task force chair.
- Task forces are not included in the open call for committee members.
- Chairs and members of task forces must be SAA members in good standing.

### **Best Practices for Committee and Task Force Chairs and Board Liaisons**

[Revised in motion 142B-27.1 (January 2019); Adopted in Motion 140F-27.1 (November 2017).  
Amendment to include Conflict of Interest Considerations adopted in 140G-27.1 (February 2018)]

Being a Society for American Archaeology (SAA) task force or committee chair is a big responsibility and the SAA appreciates your service. This brief document is designed to offer best practices guidance for chairs as they either carry on the leadership responsibilities of a standing committee or a shorter-term task force. It also provides guidance for Board liaisons to these groups.

### **Charge of the Committee or Task Force**

When the SAA Board of Directors (Board) establishes a committee or task force, they write an explicit charge that states what is to be the work of that body and the function(s) it will carry out in service to the Board of Directors and SAA. This charge can be found on [saa.org](http://saa.org) and in the Board meeting minutes. Sometimes charges also include a timeline. Committees and task forces (C&TFs) do the work of the Society through the implementation of the charge(s) of the Board. First and foremost, ensure that you know, understand, and refer back to the charge of the committee or task force. It is extremely important that there is good communication between the Board and C&TFs to ensure they work in sync together. It is always best to ask for clarification of your charge if there is any uncertainty. Reach out to your Board liaison. It is imperative that there be no divergence between what the Board expects and what the committee or task force is doing.

Charges work differently for C&TFs. At times, the Board may offer additional charges to a standing committee, beyond those stated at the time of the committee's formation. Task forces are given a single charge and are dissolved once that charge is complete. If a task force identifies an area or issues needing ongoing work, the Board may give that work as a charge to a standing committee, or form a new task force with a new charge.

### **Activities Beyond the Board Charge**

Many Committees/Task Forces wish to undertake activities related to their general charge that are not specifically requested by the Board. The most common example of this type of activity is the sponsoring of a topical paper/poster session, forum, or workshop at the SAA annual meeting. Each Committee/Task Force may sponsor one such event at the annual meeting, but it must go through the regular program review process. Other similar activities include authoring articles or special forums in *The SAA Archaeological Record* or other SAA Publication. The publication of such articles is at the discretion of the magazine or journal editor. Such events and activities are encouraged as they help to elevate the profile of committees/task forces with the membership and engage the members in their activities. These events may not, however, be designed to convey potential changes or newly established SAA policies, procedures, principles, bylaws or other formal governance/policy issues without prior consent of the Board. If you are considering other activities for your committee/task force, be sure to consult with your Board liaison, to insure your activities don't first require Board approval, or to find out if the Board can offer some kind of support!

### **Know the Committee/Task Forces Members and Rely on them**

**For Committee Chairs:** When you begin as chair, get to know the members of your committee, learn about their backgrounds, and identify their strengths as they apply to the charges on which you'll be working. A face-to-face meeting at the SAA annual meeting is a prime opportunity to do this. At this initial meeting, offer your ideas for leadership, and explain your leadership style and expectations for committee members. Committees can go off track when chairs do not know committee members well and/or do not communicate early and often with them. Moreover, lack of leadership and communication from a chair can cause confusion and disengagement in committee members.

While some responsibilities solely fall on the shoulders of the chair, the chair should rely on the expertise and experience of committee membership. Know and understand the cycle of committee membership and when members cycle off. Consider what gaps there are in expertise and what potential new members could best help fill them. Use your networks and work with your Board liaison as needed to find appropriate committee members. In November of each year, new members can be appointed either by application through the SAA Open Call system or by a committee chair asking particular SAA members to serve on their committee. Please check the charge of the committee/task force for the requirements of the group composition. Depending on the committee/task force this may include specific requirements, such as the inclusion of a student member, and/or a minimum and maximum number of members. Chairs make recommendations on appointments to the Board liaison, who is responsible for approving appointments and conveying those names to the SAA for appointment. Chairs cannot officially appoint members to a committee.

***For Task Force Chairs:*** One of the key responsibilities of being a Task Force Chair is recruiting its membership. Use your networks, but also consult with your Board Liaison and the SAA President/Executive Director to help you identify potential members and other groups at SAA whose leadership might want to participate on the Task Force. The Board may include a list of suggested members for you to consider as well. Chairs make recommendations on appointments to the Board liaison for potential candidates about their interest in serving the committee. If these individuals agree to serve, are approved by the Board liaison, and hold a current membership in the society, they may be appointed. Chairs cannot officially appoint members to a task force.

When constituting a task force, please consider the backgrounds and identify the strengths of potential members as they apply to the charges on which you'll be working. Early in your contact with the task force offer your ideas for leadership, and explain your leadership style and expectations for committee members. Task forces and committees can go off track when chairs do not know committee members well and/or do not communicate early and often with them. Moreover, lack of leadership and communication from a chair can cause confusion and disengagement in task force members.

For Task Force recommendations to be most constructive and helpful to the Board, it is advised that the task force members avoid suggesting that the Board create a new standing committee and then detail activities that this non-existent group might do. Task Forces can make more impact and larger contributions by examining the existing structures at SAA and recommending how specifically these could be engaged in the service of the Task Force's charge. Alternatively, Task Forces could seek Board approval to undertake a specific activity to test the waters and provide data to the Board. For instance, instead of a Task Force recommending that the Board create a committee that could hold workshops, it would be more meaningful for the Task Force to seek Board approval to organize a workshop itself, validate the strength of membership interest, and help the Board address the concern(s) that led to the Task Force being authorized in the first instance.

***For Committee and Task Force Chairs:*** When there are tasks for the task force or committee, it is important that the chair identify strengths of different members and assign responsibilities to ensure that these tasks are completed. At times, some committee or task force members may not be as engaged as the chair would like; in those cases, reach out individually to that member and see what can be done to



work together with the entire group. If a particular member of a task force or committee becomes a problem in some way, please reach out to your Board liaison.

### **Board Liaisons and their Responsibilities**

Each committee (with the exception of specific awards committees, which report to the Awards Committee) and task force has an assigned Board liaison. The tenure of this liaison will be one to three years, depending on other responsibilities of that Board member and their term of service. Ideally, the liaison will have several years with the committee or task force to get to know the chair and membership. Good communication between the chair and the liaison is essential.

Board liaisons are at the service of the committee to help facilitate good communication with the Board. Liaisons are not members of the committee or task force and as such should not be tasked with committee business; but they are there to help offer feedback and advice. If a task force or committee would like to present a report or recommendation to the Board, please work with the liaison to do that.

Liaisons assigned to C&TFs must maintain an open dialog with those chairs. Liaisons must communicate the Board's actions with regard to those C&TFs. As part of this, liaisons must:

- attend assigned committee and task force meetings at the annual meeting
- get to know the committee or task force, its members, and keep abreast of what occurs within the group
- receive from the previous Board liaison any pertinent information which will aid in being a productive facilitator between the Board and task force or committee
- work with committee chairs on appointments to the committee as well as develop chair nominations for Board consideration as vacancies occur.
- ensure that committee reports and budget requests are submitted to the Board on a timely basis
- provide a summary of any Board actions related to or of interest to the committee or task force chair.

### **Task Force and Committee Meetings**

Generally, task forces and committees meet face-to-face once a year at the SAA annual meeting. If the chair requested space the previous August or September (based on a prompt by the SAA, and see calendar below), there will be meeting space provided by the Society. At all meetings, the chair should prepare an agenda to distribute ahead of time and assign someone to take minutes or notes of the meeting.

Throughout the year, the activities of the committee/task force may require other meetings, through email, telephonic conferences, Skype, and so forth. Good, regular communication between members is essential for success. Some committees/task forces use shared document spaces or create closed groups on social media to facilitate conversation among members. There are no restrictions or policies on such activities.

### **Scheduled Reports to the Board**

Chairs have a responsibility to provide reports to the Board once a year. These reports are normally due in January and allow Board members to familiarize themselves with the activities of the committee and any issues they need to consider at the spring Board meeting, which is held at the SAA annual meeting. In reports to the Board, it is important to highlight not only the general progress of the task force or

committee, but also to identify and explain any items that required action by the Board (“Action Items”). For example, if a committee would like to undertake a study or prepare a document on behalf of the SAA, such activities would require Board approval before they could begin. If an Action Item requires a financial obligation by the SAA, the Board would also need to approve a budget (see below). Prior to submitting a report to the Board, we suggest sharing it and any proposed Board actions with your Board liaison for feedback.

There are two other times information is requested, as appropriate, from C&TF chairs. In the fall (normally September or late August), chairs are also required to submit a report if they are requesting funds for the following calendar year budget. These will be reviewed at the fall Board meeting, which usually takes place in October. In the fall (normally September or late August, chairs are required to submit a meeting space request for the annual meeting the following spring.

### **Meeting with the Board**

At the annual meeting, there is a board-hosted breakfast (typically Saturday from 7am-8am, so as not to conflict with sessions) both to thank C&TF chairs and to offer networking opportunities among chairs and Board members. The breakfast is an opportunity for the Board to communicate important information to chairs and also get to know one another in a more casual setting. Feel free to bring questions and comments to the meeting. Also realize your Board liaison works with multiple committees/task forces and at the breakfast they’ll want to connect with all of them if possible. If you need a longer conversation with your liaison, it’s best to schedule time outside this breakfast.

C&TF chairs can also request to meet with the entire Board at their spring meeting to discuss a particular issue. This request must come well in advance so time can be allotted in the Board agenda. This request can go through your Board liaison. Similarly, the Board may request a committee or task force chair to come to a Board meeting if there are issues requiring a face-to-face conversation. It may not be possible to request a specific day or time for a meeting with the Board. Board meetings take place all day Wednesday and Saturday at the annual meeting.

### **Guidance on Communication on Behalf of the SAA**

It is important to note that only the President and Executive Director of the SAA may speak for the society. The Executive Director generally speaks to administrative matters, while the President speaks to archaeological matters. C&TFs may help draft letters on behalf of the society, but that draft must be sent through the Board liaison to the President and Executive Director for review prior to it being distributed under the signature of the President. Committee and Task Force chairs should not send letters to outside groups in their role as chair, as this may convey speaking for the SAA. Communication includes “speaking” through social media. Below is some other guidance related to communication outside of your task force or committee:

- If you are approached by the media, we recommend directing them to the main SAA office and contacting the Manager, Communications and Fundraising to describe the approach.
- Don’t share the details of C&TF work through your own personal accounts. The workings of C&TFs is not for public dissemination until approved by the Board.
- Do send any social media post ideas to the SAA Manager, Communications and Fundraising Communication for posting on the Society’s Facebook page or Twitter account.
- Do retweet and share SAA initiatives and activities through your own personal media account. Messages promoting SAA events, initiatives, and activities by your committee/task force and others to your friends and followers is a great way to promote the SAA.

### **Planning for Chair Succession--Committees Only**

Task forces generally are short-lived, as they have been charged with a specific task by the Board. Standing and Advisory committees of the society, however, are permanent (either based on bylaws requirements or the wishes of the Board) and chairs may serve one or two 3-year terms. A second term is not automatic and does require reappointment. If a chair is cycling off a committee, it is important that he or she work closely with the incoming chair so that there is a seamless transition in leadership. Normally new chairs are appointed at the fall Board meeting prior to a chair cycling off at the annual meeting in the spring.

The outgoing chair should share any documents of the committee, offer a history of what the committee has done to date, and identify on-going business. Many chairs now use file sharing programs like Dropbox, Box, or Google Drive to pass relevant documents to the next chair. Some committees also have scanned older documents and placed them in these electronic file-sharing services. This is ideal, as the SAA does not archive committee documents.

The out-going chair should also ensure that the in-coming chair is familiar with the charge of the committee and the current composition of the committee membership. Normally, during this transition, there will be some members cycling off and new members being appointed. It is preferable that outgoing and incoming chairs work together on making recommendations on new members to a committee.

### **Important Deadlines and Dates during the Year**

#### **January**

Submission of names of new committee members to committee liaison for appointment  
Finalization of committee membership from Open Call; chairs must send emails to those not selected to serve. Staff will send appointment letters to those selected to serve.

#### **January/February**

Deadline for submission of report to the Board for its spring Board meeting (required of all C&TF chairs)

#### **March/April**

Face-to-face committee meeting at annual meeting

#### **September**

Deadline for submission of report to the Board for its fall Board meeting (normally only required if you have action items for Board consideration)

Deadline for submission of budget requests for the upcoming year's budget

Deadline for submission of space requests for meeting space at the annual meeting for your committee or task force

#### **November**

SAA Open Call for committee members

#### **December**

Chair receive names of applicants for new committee member seats

### **Conflict of Interest Considerations**

All individuals involved in SAA leadership at the Board, Committee and Task Force levels should be vigilant regarding possible conflicts of interest. To be sure, your professional and personal networks in the archaeological community are an important part of who you are and are an essential resource in your ability to serve the Society. We all reach out and tap our networks to research issues, seek advice or

suggestions, and ask for help. The Society encourages the development of our networks and indeed is one of the contexts in which we build those networks. We also need to be careful how we use and engage in our networks, particularly because the archaeological community is a relatively small one. In your role as chair (or board liaison) it is imperative that you guard not just against actual conflict of interest but also potential perceived conflict of interest by the broader SAA membership. Please remember that the optics and appearance of a situation can sometimes present problems as significant as an actual conflict. If you are concerned about a potential conflict of interest, please reach out to the President and/or Executive Director for advice. Additionally, do not hesitate to disclose a potential conflict of interest and recuse yourself from deliberations if appropriate. In this matter it is often best to be overly cautious than risk creating a difficult situation.

### **Issue-Team Appointment Procedures**

[Restated in Motion 102-27D (March 1999); adopted in Motion 99-47 (October/November 1997).]

Because government affairs issues often require very fast response and because the Government Affairs Committee may not have the appropriate expertise among the committee members to enable the committee to respond quickly to government affairs issues, there is a need for topically-focused response teams that can be established quickly, yet have accountability to the Board.

The Board approves the appointment of Government Affairs Issue Teams according to the following procedures:

- Issue teams may be appointed by either the president or the Government Affairs Committee (GAC) chair.
- Issue teams shall consist of Board members, GAC members, and/or GAC advisors. The GAC chair serves ex officio on each team.
- The Manager of Government Affairs serves as staff liaison to all issue teams.
- Issue teams may keep the President and the Board apprised of their activities directly if they so choose, but must report formally to the Board at least once a year through GAC.
- An issue team shall be disbanded by the GAC chair after it is no longer needed.

### **Network Members**

[Restated in Motion 102-27D (March 1999); adopted in Motion 96-6 (April 1996).]

Members of the Government Affairs Network (GAN), Government Affairs Network State Representatives (GANSRs), and other network representatives must be SAA members. Furthermore, any designated representative (e.g. GANSR, Public Education Committee state coordinator) must be appointed by either the president or the chair of the committee that oversees the network.

### **Process for Reviewing Guidelines of Best Practices from Committees, Task Forces, and Interest Groups**

[Adopted in Motion 139-27.5 (March 2017)]

Any interest group, committee, or task force interested in developing guidelines or best practices must receive approval from the Board to proceed.

The Board must seek review by legal counsel, may organize consultation with appropriate stakeholders, and must approve the final draft.

### **Reimbursement of Internet Costs**

[Restated in Motion 102-27D (March 1999); adopted in Motion 96-8 (April 1996).]

SAA shall not reimburse Internet access fees (as a substitute for long distance phone calls) on the following grounds: Philosophically, such reimbursement seems reasonable and even workable so long as it remains an allocation from an existing committee budget. However, unlike long- distance calls that can be itemized, there is no way to separate SAA-associated Internet use. Also, the Board fears that permitting these reimbursements would result in a demand for much larger committee budgets, which SAA simply cannot afford.

### **Sponsorship of External Activities**

[Adopted in Motion 104-27.2 (April 2000)]

The Board directs all committees to get prior approval for any sponsorship of activities outside of SAA venues.

## **Council of Allied Societies**

### **Policies and Procedures**

[Updated January 2021. Adopted in Motion 141-52.1 (Spring 2018)]

POLICIES AND PROCEDURES  
for the Organization and Operation of the  
Council of Allied Societies  
of the Society for American Archaeology

Updated (Date of board acceptance)

#### **SECTION I: MISSION AND GOALS**

1. The purpose of the Council of Allied Societies (CoAS) is to promote the mission of the Society for American Archaeology to expand the understanding and appreciation of humanity’s past as achieved through systematic investigation of the archaeological record. CoAS is furthering these objectives of SAA, as stated in the bylaws, through information exchange and coordinated activities between the allied societies and SAA.

2. Specific CoAS goals, which parallel SAA objectives, are:

a. To foster the formation and welfare of regional and local archaeological societies to stimulate and promote interest and research in the archaeology of the American continents and to encourage public access to, and appreciation of, the aims, accomplishments, and limitations of archaeological research.

- b. To serve as a bond among those interested in American archaeology, both professionals and nonprofessionals, and to aid in directing all archaeological efforts into scientific channels. CoAS will make the SAA Board of Directors and members aware of local and regional preservation issues and will work together with professional archaeologists to address such matters.
  - c. To advocate for and to aid in the preservation of archaeological resources, to encourage mutual support for non-partisan, preservation-related communication with government representatives, and to encourage mutual support for non-partisan communication related to the appropriate funding of scientific archaeology and archaeology education with government representatives.
  - d. To promote discussion and education about the ethical practice of archaeology and to discourage commercialism in archaeology and work for its elimination. In pursuit of its objectives, CoAS shall promote and support all legislative, regulatory, and voluntary programs that forbid and discourage all activities that result in the loss of scientific knowledge and of access to sites and artifacts. Such activities include, but are not limited to, irresponsible excavation, collecting, hoarding, exchanging, buying, or selling archaeological materials. Conduct that results in such losses is contrary to the ideals and objectives of the SAA and of CoAS.
3. CoAS shall encourage activities promoting these goals and discourage any activity among allied societies and their members contrary to these goals, or to the SAA Principles of Archaeological Ethics, or that detract from study of the human past. Such contrary and unethical activities are cause for membership termination.
4. CoAS also shall promote, among regional, state, provincial, and local societies, individual membership in SAA, in its several categories of membership.

## SECTION II: MEMBERSHIP IN THE COUNCIL OF ALLIED SOCIETIES

- 1. To be eligible for an allied status, a national, regional, provincial, state, or local society must be an organized, incorporated group, open to the general public, and have legal recognition as a not-for-profit organization. Allied societies must have bylaws, goals, and programs that are consistent with those of the Society, and they must adhere to the SAA Principles of Archaeological Ethics and SAA policies on discrimination, harassment and violence.
- 2. CoAS is composed of representatives of national, regional, provincial, state, and local avocational archaeological societies and avocational/professional societies allied with SAA.
- 3. Such allied units shall be completely autonomous and independent of the Society, and the Society shall not be legally liable for any act or failure to act on the part of any allied unit.
- 4. Archaeological societies that wish to be allies shall apply to SAA for an allied status through its Senior Manager, Meetings and Membership, providing necessary information on the official application form to determine eligibility in accordance with the mission and goals noted above, the SAA Principles of Archaeological Ethics, and the SAA policies on discrimination, harassment, and violence. The SAA Board of Directors will have the final approval of applications for allied status.
- 5. The Senior Manager, Meetings and Membership shall inform the officer of the archaeological society signing the application of the Board of Directors' action taken and at the same time shall provide

information about CoAS to that officer, if appropriate. S/he shall likewise inform the CoAS Chairperson of action taken and provide the related Board of Directors resolution.

6. The Senior Manager, Meetings and Membership shall maintain contact with officers of allied societies and keep current information on those societies essential for communication, as provided by the societies.

7. The SAA Board of Directors is authorized to terminate the allied society status of any allied society for cause, which shall be interpreted as actions contrary to the stated goals of SAA, the SAA Principles of Archaeological Ethics, and SAA policies on discrimination, harassment, and violence. Failure to pay the dues in the normal SAA renewal cycle shall be considered cause for termination of the allied status and will require re-submitting an application.

8. Renewal of Allied status after a Lapse: If an Allied society has a year lapse in allied status with SAA, Board reapproval would not be required, assuming that the lapsed society verifies that its organizational status and bylaws have not changed and that current contacts are provided.

### SECTION III: STRUCTURE OF THE COUNCIL OF ALLIED SOCIETIES

Each allied society may be represented at CoAS meetings by a person designated by that society, called the society representative. An alternate representative may also be designated by an allied society to attend meetings. An allied society shall select its representative or representatives in accordance with whatever procedures their bylaws dictate. They shall notify the CoAS Chairperson of their designation as soon as possible prior to the CoAS meeting. The Senior Manager, Meetings and Membership shall distribute the meeting announcement to the allied societies before the SAA annual meeting.

1. The President of SAA shall appoint a member of the Board of Directors to be the Board Liaison to CoAS.

2. During the SAA annual meeting, CoAS shall elect/re-elect a Chairperson, Vice-chairperson, and Secretary from its membership and individual members of SAA for the conduct of the next annual meeting and any other meetings until the next annual meeting. The term of office is a year, but officers may serve for a maximum of three consecutive years.

3. Election of the Chairperson, Vice-chairperson, and Secretary shall be based on a slate of candidates prepared by a nomination committee named by the Chairperson from among CoAS membership, individual members of SAA, and/or by nominations from the floor at CoAS meetings.

4. The Chairperson, or in her/his absence the Vice-chairperson, shall preside at all CoAS meetings. The Vice-chairperson shall perform such other duties as may be delegated or assigned by the Chairperson, who shall consult with the Vice-chairperson on all CoAS actions in the interim between meetings. The Secretary or other member designated by the Chairperson shall take minutes at all meetings.

5. The CoAS Chairperson may appoint committees or task forces as s/he deems appropriate or as recommended by CoAS.

6. CoAS may have its web pages on SAAweb and a Facebook page, with both following SAA guidelines.

7. CoAS officers (Chairperson, Vice-chairperson, and Secretary) may meet or otherwise conduct business in the interim between annual meetings and shall inform the allied societies of all business conducted. The Chairperson shall coordinate all actions of the CoAS officers in this interim period.

8. The CoAS Chairperson shall report to the SAA Board of Directors each spring about CoAS activities in the previous 12 months, using the report form required by the Board of Directors.

#### SECTION IV: COUNCIL of ALLIED SOCIETIES MEETINGS AND ACTIVITIES

1. The Council of Allied Societies will generally convene once a year during the time and at the place of the annual SAA meeting, at the time established for the CoAS meeting.

2. The Senior Manager, Meetings and Membership shall distribute email notifications to the societies for the CoAS Chairperson.

3. The agenda for the meeting shall be prepared by the CoAS Chairperson in consultation with the Vice-chairperson and the Secretary.

4. At the request of the CoAS Chairperson, the Senior Manager, Meetings and Membership will distribute the agenda developed by the chair to the allied societies at least 30 days prior to the annual meeting. All meetings shall be conducted in accordance with Robert's Rules of Order and consistent with CoAS procedures herein defined. Allied society representatives or alternate representatives, the Board liaison, and the Executive Director have the right to speak. Others may be given the privilege of speaking by the CoAS Chairperson. Voting may be by voice, show of hands or paper ballot, but the Chairperson or any representative may require that any vote be counted. If a virtual meeting is called, voting may be conducted through email or other electronic format as decided by the Senior Manager, Meetings and Membership.

5. Visitors from unallied societies or from SAA membership may attend any CoAS meeting, unless a session is declared closed by majority vote of CoAS members attending the meeting and limited to members of CoAS, the Board Liaison, and the Executive Director. Specific exceptions may be made by the same CoAS vote.

6. Decisions shall be by majority vote of the representatives or alternate representatives acting in the absence of the representative. Each representative, or in her/his absence the alternate, shall have one vote. Members of the SAA Board of Directors and the Board Liaison who are present shall not have voting privileges.

7. At its annual meeting, CoAS shall develop a program of action for the following year. The Chairperson may form committees, task forces, or work groups to develop draft programs and to take action and review progress on the programs. The CoAS Chairperson may also call upon individual members of SAA for support of program activity and in the accomplishment of joint CoAS-SAA goals.



8. Any business remaining upon adjournment of the CoAS meeting must be carried over to the next meeting.

9. CoAS shall have final jurisdiction over its own membership at CoAS meetings regarding any dispute over seating representatives or alternates. Alternates may be seated with the allied society representatives and may serve, with vote, in place of a representative who is absent.

## SECTION V: FINANCES AND FUNDS

1. Allied societies shall pay an annual fee that is deemed reasonable by the SAA Board of Directors. For this fee, allied societies shall receive The SAA Archaeological Record (their choice of digital or print), the Preliminary Program of SAA annual meeting, an email announcing the availability of the Final Program on-line, the Government Affairs and International Governments Affairs Update emails, and digital copies of the CoAs Newsletters. SAA shall make the arrangements and provide the facilities for the annual CoAS meetings. The Senior Manager, Meetings and Membership will handle fee collections.

2. The Council of Allied Societies shall have no funds of its own.

3. The representative and alternate from each allied society shall not be required, individually, to be members of SAA, nor shall they be required to pay registration fees for SAA meetings if they participate only in CoAS meetings. They must pay the appropriate registration fee, as members or non-members of SAA, if they attend other SAA programs at its annual meeting.

## SECTION VI: AMENDMENT

Should changes be required to these Policies and Procedures, any allied society representative, SAA Board of Directors member, or the Executive Director may recommend them to the SAA Board of Directors. Amendments to the Policies and Procedures must be approved by the SAA Board of Directors before being put into effect. Board actions are communicated to the CoAS by the Board Liaison.

Adopted: \_\_\_\_\_

## Development

### Dues Form Check-off Box Policy

[Adopted in Motion 129-22.1 (April 2012).]

Normally the number of check boxes for donation on annual membership/renewal forms will be limited to five or fewer, with the Board determining which funds or initiatives are represented based on the changing strategic needs and priorities of the Society. No fund or initiative is guaranteed a place on the membership form.

## Endowment Administrative Fee and Payout Policy

[Adopted in Motion 132-12.1A and Motion 132-12.1B Fall 2013)]

[Amended by Motion 142-12.1 (November 2018)]

The Board establishes a policy that new endowments be assessed an administrative fee of 3% of the fund value at the time of acceptance, and that unless otherwise prohibited all SAA endowments may be assessed an annual administrative fee not to exceed 1% of the fund's value.

## Establishing a Named Endowment Fund

[Adopted in Motion 143-12.2 (April 10, 2019)]

[NOTE: This policy replaces *Motion 131- 22.1B (April 2013)*, "Endowment Creation" policy.]

SAA may, at a donor's request, establish a named endowment fund to commemorate the donor's support for SAA or to honor any other person designated by the donor. Establishing a named endowment fund requires the creation of a written pledge or gift agreement that documents the donor's intent, the purpose of the fund, and SAA's acceptance of the gift. All pledge or gift agreements shall contain a provisional statement that allows SAA to amend the restrictions of the fund in such manner as will most effectively accomplish the donor's objectives in the event that the original purpose of the fund becomes impossible, impractical, or illegal to accomplish. Unless the principal donor to a fund specifies otherwise, all pledge or gift Agreements shall contain the following statement or one with like meaning: "Should SAA cease to be an organization described in Internal Revenue Code Section 501 (c)(3), then all funds held in the endowment shall be donated to another qualified charitable organization or organizations with purposes and objectives similar to those of SAA as the Board of Directors, in its sole discretion, deems appropriate."

The minimum gift required to establish a named endowment fund is \$100,000, which may be paid by one of the following methods, in compliance with the SAA Gift Acceptance Policy:

1. **Outright Gift.** A named endowment fund may be funded by an outright gift of cash, securities, IRA distribution, or other means by which the fund is immediately fully funded. The fund shall be considered established when a gift agreement has been signed by both the donor and the SAA President and the outright gift has been received in its entirety.
2. **Multi-Year Pledge.** A named endowment may be funded by a bona fide written pledge to be paid in full within a period not to exceed five years. The fund will be provisionally established when a pledge agreement has been signed by the donor(s) and the SAA President and a payment of \$20,000 or more has been received by SAA. The fund shall be permanently established when payments totaling at least \$100,000 or more have been received by SAA.
3. **Planned Gift.** A named endowment fund may be funded by a planned gift, such as a bequest, charitable remainder trust, life insurance policy, or a retirement plan beneficiary designation. The named endowment fund shall be provisionally established when a gift agreement has been signed by the donor and the SAA President, the gift is irrevocable, and SAA has knowledge of such designation. The fund shall be permanently established when the payment of the planned gift has been received and the fund balance exceeds \$100,000.

In the event that the funding of a provisionally established named endowment fund does not reach the minimum requirements to establish an endowed fund, then the fund may be terminated and the fund balance and any unspent earnings and gains may be (1) transferred to an expendable fund and used for a purpose as closely related to the original purpose as possible, or (2) combined with another endowment whose purpose closely matches the fund's purpose, keeping in mind the original intent of the donor(s).

### **Fund Raising by SAA Committees**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 98-22B (April 1997).]

Committees may engage in external fund raising on behalf of SAA only with explicit permission from the Board. Normally, such permission is obtained by submitting to the Executive Director a detailed proposal that spells out (at a minimum) the purposes for which the funds are being solicited, the dollar goal of the campaign, the kinds of donors who will be approached, a mechanism by which donors will be informed about the results of the campaign, and the estimated costs of the campaign (if any) to SAA. The Board shall then act on such proposals with the advice of the Fund Raising Committee. If the proposal is accepted by the Board, the Committee shall work with a designated member of the Fund Raising Committee in carrying out the campaign, and shall submit a written report of its fund-raising activities twice a year (in advance of each Board meeting) to the Executive Director. In addition, clearance must be obtained from the Executive Director before approaching any specific donor, either individual or corporate.

### **Fund Raising on Behalf of SAA**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-27D (November 1996).]

Committees or individuals wishing to raise funds on behalf of SAA from sources other than grants must obtain the approval of the Executive Director. The executive director will consult as appropriate, including with the fund-raising subcommittee, before approving such efforts.

### **Fund Raising Policy**

[Reaffirmed in Motion 102-27D (March 1999); amended in Motion 97-27G (November 1996); adopted in Motion 86-7 (April 1992).]

It is the policy of the Executive Board of the SAA to actively seek annual contributions to its endowment and other funds; to offer an opportunity for donors to make gifts reserving income for life to themselves and other beneficiaries, to make such gifts by will, and to make outright gifts by bequest; and to seek grants from foundations, agencies, and corporations.

**Update:** [Adopted in Motion 112-22C (March/April 2004)]

**Authorization to Conduct Fundraising:** The Board may from time to time convey temporary authority to certain members or groups of members (e.g. SAA task forces or committees) to solicit funds for the Society. It is essential that those members receive appropriate background information and training prior to carrying out fundraising activities. In general, members will pursue fundraising as part of an official,

Board-approved campaign. The campaign will be defined in a written document that includes:

- A case statement
- A target amount to be raised
- A time frame for the campaign
- An estimate of fundraising costs to the SAA (if any)
- A procedure to inform donors of campaign results
- A specific plan of action to achieve the target

Persons conducting fund raising must undergo a basic training process. Three areas should be included in the training:

1. General fundraising methods. This will be provided through written materials or through a special training session.
2. General background information about the Society. This will be provided as part of the campaign material in collaboration with the Society's Executive Director. It will include information about the Society's financial practices and how donations are handled.
3. Specific information regarding the campaign. This will include information so that the member will have a thorough understanding of why funds are being raised, know what the targeted amount will allow the Society to accomplish, and be able to efficiently conduct a conversation with a potential donor."

The Board noted in its discussion that implementation of the new policy will require coordination with existing policies that were established by the following motions: 102-27D, 98-22B, and 97-27D.

### **Gift Acceptance Policy**

[The Board revises earlier Gift Policy Guidelines by adopting the SAA Gift Acceptance Policy in Motion 143-22c (4/10/2019); Reaffirmed in Motion 102-27D (March 1999); adopted Motion 99-22 (October/November 1997).]

The Society for American Archaeology (SAA), a not-for-profit institution, encourages the solicitation and acceptance of gifts for purposes that will help SAA further and fulfill its mission.

*The mission of the SAA is to expand understanding and appreciation of humanity's past as achieved through systematic investigation of the archaeological record. The society leads the archaeological community by promoting research, stewardship of archaeological resources, public and professional education, and the dissemination of knowledge. To serve the public interest, SAA seeks the widest possible engagement with all segments of society, including governments, educators, and indigenous peoples, in advancing knowledge and enhancing awareness of the past.*

The following policies and guidelines govern the acceptance of gifts made to SAA or for the benefit of any of its programs.

## **I. Purpose of Policy and Guidelines**

The SAA Board of Directors, membership, and staff solicit current and planned gifts from individuals, corporations, and foundations to accomplish SAA's mission and secure its financial stability. These policies and guidelines govern the acceptance of gifts by SAA and provide guidance to prospective donors and their advisors when making gifts to SAA. The provisions of these policies shall apply to all gifts received by SAA for any of its activities, programs, or services.

## **II. Executive Committee Responsibility**

The Executive Committee is charged with the responsibility of reviewing gifts made to SAA, properly screening those gifts, and making recommendations to the Board on gift acceptance issues when appropriate. It is the purpose of this instrument to provide guidelines to the Executive Committee to make recommendations to the Board regarding the implementation and enforcement of these policies.

## **III. Ethical and Guiding Principles**

SAA adheres to the principles defined in the *Donor Bill of Rights* and the *Code of Ethical Principles and Standards of Professional Practice* developed by the Association of Fundraising Professionals. All gift acceptance policies, procedures, and decisions at SAA shall be interpreted in light of three guiding principles:

- a. No one soliciting on behalf of SAA may knowingly seek or accept any gift or pledge which they believe is not in the donor's best interest or would benefit SAA at the expense of the donor's interest and welfare.
- b. A gift shall not be accepted by SAA unless there is reasonable expectation that acceptance of the gift will support SAA in its mission.
- c. A gift shall not be accepted if it is deemed excessively restricted in purpose or too difficult to administer. In reviewing gifts to SAA, the Executive Committee and the staff will consider the following: the charitable intent and ultimate benefit of the gift, the nature of any restrictions, the permanency of the fund, the projected costs of administering the gift asset, and the fee revenues that may accrue to SAA for administering the gift. All final decisions on the restrictive nature of a gift, and its acceptance or refusal, shall be made by the Board.

## **IV. General Policy**

While SAA is actively engaged in soliciting and accepting gifts to accomplish its mission, the role of all persons acting on behalf of SAA is to inform, serve, guide, or otherwise assist donors who wish to support SAA's mission, but never under any circumstances to pressure or unduly persuade a donor to make or complete a gift.

Persons acting on behalf of SAA shall encourage each donor to discuss a proposed gift with legal and/or financial advisor(s) of the donor's choice and at the donor's expense. This is to avoid any potential conflicts of interest that might arise in the explanation of a gift to a potential donor and to ensure that the donor receives a full, accurate, and independent explanation of all aspects of the proposed charitable gift.

## **V. Types of Gifts**

- A. The following gift types are acceptable:

1. Cash
2. Publicly Traded Securities
3. Bequests
4. Charitable Remainder Trusts
5. Charitable Lead Trust
6. Life Insurance
7. Retirement Plan Beneficiary Designations
8. IRA Distributions
9. In-Kind Gifts
10. Pledges
11. Conditional Pledges

B. The following criteria govern the acceptance of each gift type:

1. Cash: Cash and cash-equivalent gifts are reported the date the cash is received. Credit card gifts are reported on the date that the credit card charges are processed. At year end, any check received in the mail by December 31, or with a postmark of December 31 or before, will be posted and receipted in that calendar year.
2. Publicly Traded Securities: Securities that are: 1) listed on an exchange in which quotations are published daily; 2) regularly traded in national or over-the-counter markets for which published quotations are available; or 3) shares of a mutual fund for which quotations are published daily, will be accepted as outright gifts or payments toward pledges. The value of securities is determined on the recognized gift date, which is established when the donor relinquishes control of the securities. The average of the high and low trading prices on the gift date determine the value of securities for reporting purposes.
3. Bequests: Donors and supporters of SAA are encouraged to make bequests under their wills and trusts. Such bequests will not be recorded as gifts to SAA until such time as the gift is irrevocable. When the gift is irrevocable, but is not due until a future date, the present value of that gift may be recorded at the time the gift becomes irrevocable.
4. Charitable Remainder Trusts: A charitable remainder trust is established when a donor irrevocably transfers money or securities to a trustee who invests the assets to pay annual lifetime income to the donor or others chosen by the donor. At the end of the beneficiaries' lives, the remaining trust assets are distributed to SAA. SAA may accept designation as a remainder beneficiary of a charitable remainder trust at any time without the approval of the Board. SAA will accept appointment as trustee of a charitable remainder trust only under the following conditions:
  - a. That SAA has at least a 75% beneficial interest as the remainderman of these trusts, with the trust having a minimum value of \$200,000.
  - b. That SAA does not generally accept real estate or interests in limited partnerships as assets for the creation of these trusts, although exceptions can be made depending on the nature of the gift/trust.

- c. That the Board accepts the trust only after thorough review of the proposed trust by legal counsel. If such a trusteeship is accepted, SAA may serve directly as trustee or appoint a fiduciary trustee. For example, SAA may contract with its investment advisor to manage the trust.
5. Charitable Lead Trusts: This type of trust provides an income stream for a specified time to SAA, with the remaining trust assets being returned to the donor's estate with reduced estate taxes. SAA may accept designation as income beneficiary of a charitable lead trust at any time. The Board of Directors will not accept an appointment as trustee of a charitable lead trust.
6. Life Insurance: Gift of life insurance may name SAA as beneficiary of the policy, contingent beneficiary, or as beneficiary and owner. Such designations shall not be recorded as gifts to SAA until such time as the gift is irrevocable and SAA has knowledge of such designation. Where the gift is irrevocable, but is not due until a future date, the present value of that gift may be recorded at the time the gift becomes irrevocable.
7. Retirement Plan Beneficiary Designations: Donors and supporters of SAA are encouraged to name SAA as beneficiary or contingent beneficiary of their qualified retirement plans. Such designations shall not be recorded as gifts to SAA until such time as the gift is irrevocable. Where the gift is irrevocable, but is not due until a future date, the present value of the gift may be recorded at the time the gift becomes irrevocable.
8. IRA Qualified Charitable Distributions: A qualified charitable distribution (QCD) is an otherwise taxable distribution from an IRA owned by an individual who is age 70½ or over that is paid directly from the IRA to SAA. QCDs may have tax benefits for the donor, including (1) they can be counted toward satisfying required minimum distributions (RMDs) for the year; (2) a QCD excludes the amount donated from taxable income; (3) QCDs don't require the donor to itemize, which due to 2018 tax law changes, means the donor may take advantage of the higher standard deduction, but still use a QCD for charitable giving; (4) QCDs up to \$100,000 qualify for the above benefits.
9. In-Kind Gifts: An in-kind gift is one in which goods and services themselves are given instead of cash or securities. By law, SAA cannot provide a donor with the dollar value of an in-kind gift. Such gifts are eligible for a charitable gift deduction in accordance with IRS regulations, but valuations of "fair market value" of in-kind gifts need to be professionally assessed and certified, and that is the responsibility of the donor. Only those in-kind gifts that can be converted to cash, or items such as equipment, books, artworks, etc. that can be used in support of SAA's mission should be accepted and reported.
10. Pledges: Pledges are commitments to give a specific dollar amount according to a fixed time schedule. A pledge can only be made by the entity exercising legal control over the assets to be given. The following minimum information must exist in writing from the donor to SAA:

- a. The amount of the pledge;
- b. A clearly defined payment schedule;
- c. The donor may not prescribe contingencies or conditions; and
- d. The donor must be considered to be financially capable of making the gift.
- e. Changes to original pledges must be documented in writing.

11. Conditional Pledges: Conditional pledges are those that place requirements on the organization to perform some task or take some action that it might not otherwise initiate. A conditional pledge may also depend on some future or uncertain event over which the organization or the donor has no control. Examples of conditional pledges are: a challenge gift requiring SAA to match the pledge dollars before the actual contribution is received from the donor, or gifts for capital projects that are contingent on either raising other funds or moving forward with the plans to build or renovate.

## **VI. Classification of Donations**

Based on the donor's stated intentions, all gifts to SAA will be assigned to one of the following classes:

- a. Unrestricted gifts. These funds give SAA broad discretion in using the funds to meet operating and program needs as determined through the normal budgeting process.
- b. Temporarily Restricted Gifts. These funds have a donor-defined restriction as to the purpose and use of the funds.
- c. Permanently Restricted Gifts. These funds are designated by the donor to be permanently invested as an endowment for the purpose of producing present and future income and gains that may be expended or reinvested with the original gift in accordance with the SAA Investment Policy.

## **VII. Use of Legal Counsel**

Acceptance of noncash gifts, other than those listed above, requires approval by the Board and may require the advice of legal counsel. Legal counsel review is recommended for, but not limited to the following:

- a. Closely held securities transfers that are subject to restrictions or buy-sell agreements;
- b. Real estate;
- c. Remainder interest in property;
- d. Tangible personal property where it is not clear that the property is readily marketable;
- e. Documents naming SAA as Trustee;
- f. Charitable gift annuities and other gifts involving contracts;
- g. Transactions with potential conflict of interest that may invoke IRS sanctions;

## **VIII. Changes to the Gift Acceptance Policy**

These policies and guidelines have been reviewed and accepted by the Board, and any changes to or deviations from these policies must be approved by the Board.

## **Grants on Behalf of SAA**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-27C (November 1996).]



Any SAA committee or individual preparing a grant to be submitted on behalf of SAA must, prior to submitting the application, obtain the approval of the grant and its budget from the Executive Director. The Executive Director will consult as necessary (ordinarily, at least with the president, and sometimes with the board) before agreeing to submit or pursue the grant. Grant budgets ordinarily must include appropriate overhead to cover SAA administrative costs.

## **Finances**

### **Capital Spending Plan (see also: Emergency Capital Expenditures)**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 100-14 (March 1998).]

The Board requests that the Executive Director prepare an annual Capital Spending Plan to be submitted to the Board for approval along with each year's budget. This plan shall identify assets to be purchased by the Society during the following fiscal year and include information on costs, expected date of purchase, and source of funds.

### **Cash Components of Endowments**

[Adopted in Motion 137-16C (April 2016)]

The Board establishes the policy that, in the investment accounts for the Endowment Funds, when the cash component of the endowment value reaches three percent, then the value above three percent will be reinvested. The assumption is that reinvestment is exclusive of the cash needed for payout. The Board directs the Executive Director to communicate this policy to Morgan Stanley. (4/6/16)

### **Cash Reserves Policy (see also: Cash Reserves Strategy)**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 101-14A (November 1998).]

The SAA cash reserves consist of the funds in the long-term cash reserves account; the minimum target for these reserves is 30% of the annual operating budget. Each year the Executive Committee will decide what portion of any surplus from the previous year will be transferred to long-terms cash reserves. The decision will be reviewed by the Board at their next meeting.

### **Cash Reserves Strategy**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 101-14B (November 1998); amended in Motion 104-14. (April 2000); amended in Motion 116-27.3 (April 2006); amended in Motion 118-27.5 (April 2007); amended in Motion 120-27.5 (March 2008); amended in Motion 126-27.5 (November 2010); amended in Motion 127-27.5 (March 2011); amended in Motion 129-27.3 (April 2012., revised Fall 2013 in Motions 132-11.1A and 132-11.1B)]

The Board establishes a policy that the SAA Reserves Fund shall keep general but not exact pace with the Society's operating budget; the Board shall seek to maintain the three-year rolling average value of

the reserves within the range of 95% to not more than 105% of the three-year average of the SAA operating budget.

The Board directs that, as the Reserves Fund has now reached its targeted size, earnings from the Reserves fund shall not be automatically reinvested. Decisions regarding whether to reinvest or redirect the earnings from the Reserves Fund shall be made annually by the Board based on recommendations of the Investment and Finance Committee.

The Board raises the reserves target to 100% of the annual operating budget.

The Board raises the reserves target to 95% of the annual operating budget.

The Board approves raising the reserves target to 85% of the operating budget.

The Board approves increasing the reserves target from 65 to 80 percent of the annual operating budget.

The Board sets the new reserves target at 65 percent of the operating Budget.

The Board sets the new reserves target at 60 percent of the operating Budget.

The Board amends the cash reserves strategy to read: The cash reserve target is 50% of the annual operating budget. The Board will strive to increase the reserves account by at least 2% of the annual operating budget each year until the cash reserve target is achieved.

### Depreciation of Capital Software

[Adopted in Motion 131D-13A (Spring 2013)]

The Board establishes a ten year depreciation period for capital system software and system software upgrades, effective as of FY2012. All other capital items will remain under the current policy of a five-year depreciation schedule.

### Emergency Capital Expenditures (see also: Capital Spending Plan)

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 100-14C (March 1998).]

The Board authorizes the Executive Committee to approve emergency capital expenditures not included in the annual Capital Spending Plan, provided that sufficient funds are available.

### Endowment Spending Policy

[Adopted in Motion 142-12.1 (November 2018)]

The Board approves a motion to adopt a new endowment spending policy (applied to the General Endowment, SAA Life Members' Fund, Native American Scholarships Endowment, Public Education Endowment Fund, Binford Fund, Kellogg Fund, Kenyon Funds, and to the SAA Reserve Fund) to take effect beginning with FY19 based on a Tobin formula which is:

**Distribution** = 70% (last year's distribution adjusted for inflation) + 30% (market value X 3.5%) (11/2/2018).

[Rescinds Motion 107-16 and revises Motion 132-12.1A and Motion 132-12.1B]

Motion 142-12.1.2 - The Board approves a motion modifying the management of the SAA Reserve Fund to state that it be managed as a Board-designated endowment fund with distributions in compliance with the spending policy. (11/2/2018)  
[Rescinds motion Motions 132-11.1A and 132-11.1B]

## ENDOWMENT SPENDING POLICY

An endowment spending policy should include a rule to determine the annual flow of funds from the endowment to meet operational needs. A well-designed spending policy takes for its conceptual framework the two principal goals of endowment management: providing a significant and stable flow of funds for operations, while at the same time maintaining the purchasing power of the endowment over the long term. The goal is to balance the needs of the future with the demands of the present.

In addition to seven endowment funds, SAA has a Reserve Fund and a Life Members Fund that are invested as if they were endowments. Four endowment funds are used to support scholarships and awards: Native American Scholarships, Binford, Kellogg, and Dienje Kenyon. These funds should continue to sustain the existing awards and the spending policy is used to incrementally increase the amount of each award as appropriate. Investment returns from the General Endowment and the Reserve Fund are distributed according to the spending rule to support operations and programs that are priorities of the SAA. Distributions from the Public Education Endowment support SAA's public education staff and programs. Distributions from the Life Members Fund support membership benefits of the remaining Life Members. The Cheryl L. Wase Memorial Scholarship Endowment supports female archaeology students enrolled in degree programs in New Mexico Universities and has its own spending rule defined in the Gift Agreement. The Wase Scholarship requires spending 4.5% of the three-year-rolling-average market value of the fund.

To calculate the amount of the endowment to be distributed for expenditure each year, SAA has adopted a Tobin formula, which is named for James Tobin, recipient of the 1981 Nobel Prize in economics. A Tobin spending rule sets the annual distribution in a particular year through a formula that has a stability factor (the prior year's spending adjusted for inflation), and a market factor (the long-term sustainable rate of distribution times the market value of the fund). By appropriately weighting these two factors, SAA can determine the pace at which variations in market value are incorporated into spending. A heavier weighting towards the market factor provides greater responsiveness to rising, but also falling, markets. Conversely, weighting the stability factor more heavily increases the buffering effect—sustaining the spending rate in the face of market declines, but slowing the response in market rallies.

The formula adopted by SAA for calculating annual endowment distributions is:

$$\text{Distribution} = 70\% \text{ (last year's distribution adjusted for inflation)} + 30\% \text{ (market value X 3.5\%)} \quad \begin{array}{l} \text{Stability Factor} \\ \text{Market Factor} \end{array}$$

When a new contribution is received and either added to an existing endowment fund or used to create a new endowment fund, it is held in the investment account for two full fiscal quarters before any distributions are made from it. After two full quarters, funds are distributed based on 3.5% of the contributed value prorated over the remaining quarters of that fiscal year. In the following year, or first full fiscal year after the waiting period, the distribution from the new funds are based on 3.5% of the contributed value.

## SPENDING POLICY ATTACHMENT

### *Distributions from Endowed Funds*

The Tobin spending rule used by SAA calculates the annual distribution ( $D$ ), from an endowed fund as:

$$D = [p \times (1 + i) \times D_{past}] + [(1 - p) \times r \times V]$$

where,

$p$  = the *stability factor* that weights the portion of the distribution that will be based on the previous year's distribution as calculated by the Tobin Rule

$i$  = the inflation rate

$D_{past}$  = the previous year's distribution amount

$r$  = the distribution rate, or the proportion of the market value to be distributed

$V$  = the market value of the endowment

SAA uses the following guidelines for employing the Tobin Rule to calculate the annual distribution from an endowed fund:

- Set  $p = 0.7$  — weight the distribution 70% towards stability, 30% towards market value.
- Set  $r = 0.035$  — set the distribution rate to 3.5%.
- Set  $V$  = year-end market value from two years prior (e.g., 2019 distribution is based upon the December 31, 2017 market value).
- Set  $i$  = the average annualized inflation rate from two years prior (e.g., the 2019 distribution is based upon the 2017 average annualized inflation, or the average of the year-over-year inflation rates in every month of 2017).
- When a new fund is established, hold the new fund in the investment account for two full fiscal quarters before any distributions are made from it. After two full quarters, distribute a quarterly proration of  $r$  times the contributed value of the fund for each of the remaining quarters of the fiscal year. In the second fiscal year of distributions, distribute  $r$  times the contributed value of the fund. Distribute as per the Tobin Rule in subsequent fiscal years.
- When new contributions are made to existing funds, they should be treated similarly to the establishment of new funds (as described above). After two full quarters in the investment account, distribute a quarterly proration of  $r$  times the new contribution of the fund for each of the remaining quarters of the fiscal year. In the second fiscal year of distributions, distribute  $r$  times the new contribution. Do not include a new contribution in the Tobin rule calculation during its first two years of distribution.

### Investment Policy Statement for Endowments

[Adopted in Motion 137-16D Spring 2016]

#### Purpose

The purpose of the SAA Endowment Funds is to enhance the purchasing power of funds held for future expenditures, to maintain the financial stability of the Funds, and to provide future current income to meet the needs of the Funds.

### **Objectives**

The objectives of the accounts should be pursued as a long-term goal designed to maximize the returns without exposure to undue risk, as defined herein. It is understood that fluctuating rates of return are characteristic of the securities markets. The greatest concern should be long-term appreciation of the assets and consistency of total portfolio returns. Recognizing that short-term market fluctuations may cause variations in the account performance, the investment goal is that each account's total expected return should exceed the increase in the Consumer Price Index by a minimum of 4.0% annually over a three-year moving time period. If investment returns do not meet that goal, then the payouts from the accounts will need to be adjusted accordingly.

### **Investment Guidelines**

The investment policies and restrictions presented in this statement serve as a framework to achieve the investment objectives at a level of risk deemed acceptable. These policies and restrictions are designed to minimize interfering with efforts to attain overall objectives, and to minimize excluding any appropriate investment opportunities.

### **Prohibited Investments:**

The following investments and investment activities are prohibited:

1. Private Placements;
2. Letter stock;
3. Individual options contracts (however to the extent that mutual funds are used by SAA the mutual funds may buy or sell option contracts for the purposes of managing portfolio risk);
4. Securities whose issuers have filed a petition for bankruptcy;
5. Commodities or commodity contracts;
6. Short sales;
7. Margin transactions.

### **Diversification:**

Due to the current size of the SAA Endowment Funds, all equity allocations will be made through mutual funds. This strategy will provide optimum diversification, minimal expenses and professional management. The funds will be limited to mutual funds with Morningstar ratings of "Three" stars or better. If an existing fund falls below three stars, then a discussion among the Investment Consultant, the SAA Executive Director, and the Investment and Finance Committee is required to determine whether the mutual fund should be kept.

If a Fund increases in size to a level that justifies individual money managers, the equity portion of this Investment Policy will be reconsidered.

### **TARGET ASSET MIX:**

The long-term component of the Endowment Funds shall be comprised of the asset classes listed in the table below. The target weight is the desired weight for each asset class. The minimum weights and

maximum weights are to allow for normal market fluctuations. It shall be the responsibility of the financial advisor to remain within the range specified for each asset class. In addition, at least semi-annually, the financial advisor should re-balance the portfolio according to the target weights.

<b>ASSET CLASS</b>	<b>MINIMUM WEIGHT</b>	<b>TARGET WEIGHT</b>	<b>MAXIMUM WEIGHT</b>
<b>EQUITY</b>	35%	40%	45%
<b>FIXED INCOME</b>	55%	60%	65%

*Motion 137/16F – The Board approves that the Lewis Binford, the Douglas Kellogg, and the Dienje Kenyon Funds all will be invested in the same ways as all of the other endowment funds. (4/6/16)*

*Motion 137/16G – The Board approves that all future endowment funds be invested according to the established SAA investment policy for endowments. (4/6/16)*

## **Investment Policies: General**

### **Correction of Inconsistencies**

[Adopted in Motion 133-16C, (Spring 2014)]

The Board adopts the revised investment policies for Native American Scholarship fund, the Public Education Endowment, the Life Members and Benefactors Fund, the General Endowment and the Reserve fund prepared by the Morgan Stanley advisor. (approved 4/23/14)

[Note: The revisions in these policies only correct inconsistencies, and do not alter the substance of the policies.]

### **Morningstar Ratings**

[Adopted in Motion 133-16D Spring 2014)]

After reviewing the three mutual funds whose Morningstar ratings have dropped below 3 stars, and considering the advice of the Morgan Stanley advisor, The Board retains all three of these funds in the SAA portfolio. However, the board will decrease the US Government Securities fund target allocation to 10% of assets, and increase the PIMCO Total Return Fund target allocation to 14% of assets. These changes will be carried out at the next regular rebalancing of the funds (typically after the end of the second quarter). (approved 4/23/14)

[Note: All other mutual funds in the portfolio would be kept at their current target allocations.]

### **Investment Policy – Cheryl L. Wase Endowment**

[Adopted in Motion 133-16B Spring 2014)]

*The Board adopts the investment policy for the Wase Endowment prepared by the Morgan Stanley advisor with a correction to the fixed income target of the Wase Endowment to read minimum 65% and maximum 75%. (approved 4/23/14)*

## **SOCIETY OF AMERICAN ARCHAEOLOGY CHERYL L. WASE SCHOLARSHIP FUND INVESTMENT POLICY STATEMENT**

### **Purpose**

The purpose of the SAA Cheryl L. Wase Scholarship Fund is to enhance the purchasing power of funds held for future expenditures, to maintain the financial stability of the Fund, and to provide future current income to meet the needs of the Fund.

### **Objectives**

The objectives of the account should be pursued as a long-term goal designed to maximize the returns without exposure to undue risk, as defined herein. It is understood that fluctuating rates of return are characteristic of the securities markets. The greatest concern should be long-term appreciation of the assets and consistency of total portfolio returns. Recognizing that short-term market fluctuations may cause variations in the account performance, the expectations of the account will be to achieve the following objectives over a three year moving time period:

1. The account's total expected return will exceed the increase in the Consumer Price Index by 2.0% annually. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.
2. The account's total expected return will exceed the increase in the Treasury Bill Index by a minimum of 2.0% annually. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.

Understanding that a long-term positive correlation exists between performance volatility (risk) and expected returns in the securities markets, we have established the following short-term objective:

The portfolio should be invested to minimize the likelihood of low negative total returns, defined as a one year return worse than negative 5.0%. It is anticipated that a loss greater than this will occur no more than one out of twenty years. The portfolio should be invested to return on average 8.0% per year over a three year moving average time period.

### **Investment Guidelines**

The investment policies and restrictions presented in this statement serve as a framework to achieve the investment objectives at a level of risk deemed acceptable. These policies and restrictions are designed to minimize interfering with efforts to attain overall objectives, and to minimize excluding any appropriate investment opportunities.

### **Prohibited Investments:**

The following investments and investment activities are prohibited:

1. Private Placements;
2. Letter stock;
3. Individual options contracts (however to the extent that mutual funds are used by SAA the mutual funds may buy or sell option contracts for the purposes of managing portfolio

- risk);
- 4. Securities whose issuers have filed a petition for bankruptcy;
- 5. Commodities or commodity contracts;
- 6. Short sales;
- 7. Margin transactions.

**Diversification:**

Due to the current size of the potential Cheryl L. Wase Scholarship Fund, all equity allocations will be made through mutual funds. This strategy will provide optimum diversification, minimal expenses and professional management. The funds will be limited to mutual funds with Morningstar ratings of "Three" stars or better. If an existing fund falls below 3 stars, then a discussion among the Investment Consultant, the SAA Executive Director, and the Investment and Finance Committee is required to determine whether the mutual fund should be kept.

If the Fund increases in size to a level which justifies individual money managers, the equity portion of this Investment Policy will be reconsidered

**TARGET ASSET MIX**

The long-term component of the Cheryl L. Wase Scholarship Fund shall be comprised of the asset classes listed in the table below. The target weight is the desired weight for each asset class. The minimum weights and maximum weights are to allow for normal market fluctuations. It shall be the responsibility of the financial advisor to remain within the range specified for each asset class. In addition, at least semi-annually, the financial advisor should re-balance the portfolio according to the target weights.

<b>ASSET CLASS</b>	<b>MINIMUM WEIGHT</b>	<b>TARGET WEIGHT</b>	<b>MAXIMUM WEIGHT</b>
<b>EQUITY</b>	25%	30%	35%
<b>FIXED INCOME</b>	75%	70%	65%

**EQUITIES**

The equity asset classes should be maintained at risk levels roughly equivalent to the sectors of the market represented, with the objective of exceeding a nationally recognized index measuring the performance of the designated sector over a three year moving time period net of fees and commissions. Mutual funds conforming to the policy guidelines may be used to implement the investment program.

The following definitions shall apply for the purposes of this policy:

U.S. Large Capitalization Stocks: Stocks of U.S. based companies with total market value exceeding \$1.0 billion and primary shares of which are traded on a major U.S. exchange.

U.S. Small Capitalization Stocks: Stocks of U.S. based companies with total market value less than \$1.0 billion.



International Stocks: Stocks of non-U.S. based companies, the primary shares of which are traded on exchanges outside the U.S.. American Depository Receipts are considered International Stocks.

### **FIXED INCOME**

Investments in fixed income securities will be managed actively to pursue opportunities presented by changes in interest rates, credit ratings, and maturity premiums. Mutual funds conforming to the policy guidelines may be used to implement the investment program. The Following definitions shall apply for the purposes of this policy:

U.S. Intermediate Bonds: A portfolio of fixed income securities denominated in U.S. dollars issued by U.S. government or U.S. corporations having a weighted average maturity of less than 10 years.

High Yield Corporate Bonds: A portfolio comprised of bonds issue by U.S. corporations and the majority of the bonds are rated below BBB/Baa.

International Bonds: A portfolio of fixed income securities denominated in currencies other than U.S. dollars. Issuers may be both governments and corporations.

### **Performance Reporting**

The Cheryl L. Wase Scholarship Fund will be evaluated quarterly on a total return basis. Returns will be compared to:

1. Consumer Price Index
2. S&P 500
3. Barclays Intermediate Government/ Credit Index

Comparisons will show results for the latest quarter, year to date and since inception. Performance reports will be presented on a quarterly basis to the Treasurer and the Investment & Finance Committee.

### **Investment Policy – General Endowment Fund**

[Adopted in Motion 109-19B (November 2002); Updated in Motion 133-16C (Spring 2014)]

The Board adopts the revised investment policies for Native American Scholarship fund, the Public Education Endowment, the Life Members and Benefactors Fund, the General Endowment and the Reserve fund prepared by the Morgan Stanley advisor. (approved 4/23/14)

### **Society for American Archaeology General Endowment Fund Investment Policy Statement**

#### **Purpose**

The purpose of the SAA General Endowment Fund is to enhance the purchasing power of funds held for future expenditures, to maintain the financial stability of the Fund, and to provide future current income to meet the needs of the Fund.

#### **Objectives**

The objectives of the account should be pursued as a long-term goal designed to maximize the returns

without exposure to undue risk, as defined herein. It is understood that fluctuating rates of return are characteristic of the securities markets. The greatest concern should be long-term appreciation of the assets and consistency of total portfolio returns. Recognizing that short-term market fluctuations may cause variations in the account performance, the expectations of the account will be to achieve the following objectives over a three year moving time period:

1. The account's total expected return will exceed the increase in the Consumer Price Index by 2.0% annually. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.
2. The account's total expected return will exceed the increase in the Treasury Bill Index by a minimum of 2.0% annually. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.

Understanding that a long-term positive correlation exists between performance volatility (risk) and expected returns in the securities markets, we have established the following short-term objective:

The portfolio should be invested to minimize the likelihood of low negative total returns, defined as a one year return worse than negative 5.0%. It is anticipated that a loss greater than this will occur no more than one out of twenty years. The portfolio should be invested to return on average 8.0% per year over a three year moving average time period.

### **Investment Guidelines**

The investment policies and restrictions presented in this statement serve as a framework to achieve the investment objectives at a level of risk deemed acceptable. These policies and restrictions are designed to minimize interfering with efforts to attain overall objectives, and to minimize excluding any appropriate investment opportunities.

### **Prohibited Investments:**

The following investments and investment activities are prohibited:

1. Private Placements;
2. Letter stock;
3. Individual options contracts (however to the extent that mutual funds are used by SAA the mutual funds may buy or sell option contracts for the purposes of managing portfolio risk);
4. Securities whose issuers have filed a petition for bankruptcy;
5. Commodities or commodity contracts;
6. Short sales;
7. Margin transactions.

### **Diversification:**

Due to the current size of the potential General Endowment Fund, all equity allocations will be made through mutual funds. This strategy will provide optimum diversification, minimal expenses and professional management. The funds will be limited to mutual funds with Morningstar ratings of "Three" stars or better. If an existing fund falls below 3 stars, then a discussion among the Investment Consultant, the SAA Executive Director, and the Investment and Finance Committee is required to determine whether the

mutual fund should be kept.

If the Fund increases in size to a level which justifies individual money managers, the equity portion of this Investment Policy will be reconsidered.

### **TARGET ASSET MIX**

The long-term component of the General Endowment Fund shall be comprised of the asset classes listed in the table below. The target weight is the desired weight for each asset class. The minimum weights and maximum weights are to allow for normal market fluctuations. It shall be the responsibility of the financial advisor to remain within the range specified for each asset class. In addition, at least semi-annually, the financial advisor should re-balance the portfolio according to the target weights.

<b>ASSET CLASS</b>	<b>MINIMUM WEIGHT</b>	<b>TARGET WEIGHT</b>	<b>MAXIMUM WEIGHT</b>
<b>EQUITY</b>	25%	30%	35%
<b>FIXED INCOME</b>	65%	70%	75%

### **EQUITIES**

The equity asset classes should be maintained at risk levels roughly equivalent to the sectors of the market represented, with the objective of exceeding a nationally recognized index measuring the performance of the designated sector over a three year moving time period net of fees and commissions. Mutual funds conforming to the policy guidelines may be used to implement the investment program.

The following definitions shall apply for the purposes of this policy:

U.S. Large Capitalization Stocks: Stocks of U.S. based companies with total market value exceeding \$1.0 billion and primary shares of which are traded on a major U.S. exchange.

U.S. Small Capitalization Stocks: Stocks of U.S. based companies with total market value less than \$1.0 billion.

International Stocks: Stocks of non-U.S. based companies, the primary shares of which are traded on exchanges outside the U.S.. American Depository Receipts are considered International Stocks.

### **FIXED INCOME**

Investments in fixed income securities will be managed actively to pursue opportunities presented by changes in interest rates, credit ratings, and maturity premiums. Mutual funds conforming to the policy guidelines may be used to implement the investment program. The Following definitions shall apply for the

purposes of this policy:

U.S. Intermediate Bonds: A portfolio of fixed income securities denominated in U.S. dollars issued by the U.S. Government or U.S. corporations having a weighted average maturity of less than 10 years.

High Yield Corporate Bonds: A portfolio comprised of bonds issue by U.S. corporations and the majority of the bonds are rated below BBB/Baa.

International Bonds: A portfolio of fixed income securities denominated in currencies other than U.S. dollars. Issuers may be both governments and corporations.

### **Performance Reporting**

The General Endowment Fund will be evaluated quarterly on a total return basis. Returns will be compared to:

1. Consumer Price Index
2. S&P 500 Index
3. Barclays Intermediate Government/ Corporate Index

Comparisons will show results for the latest quarter, year to date and since inception. Performance reports will be presented on a quarterly basis to the Treasurer and the Investment and Finance Committee.

### **Investment Policy – Life Member Fund**

[Revised (April 2014) Adopted in Motion 109-19B (November 2002)]

See Updated Motion and policy language under General Endowment adopted Spring 2014.  
*The Board adopts the revised investment policies for Native American Scholarship fund, the Public Education Endowment, the Life Members and Benefactors Fund, the General Endowment and the Reserve fund prepared by the Morgan Stanley advisor.*

### **Investment Policy – Public Education Endowment Fund**

[Revised (April 2014) Adopted in Motion 109-19B (November 2002)]

See Updated Motion and policy language under General Endowment adopted Spring 2014.  
*The Board adopts the revised investment policies for Native American Scholarship fund, the Public Education Endowment, the Life Members and Benefactors Fund, the General Endowment and the Reserve fund prepared by the Morgan Stanley advisor.*

### **Investment Policy – Native American Scholarships Fund**

[Revised (April 2014) Adopted in Motion 109-19B (November 2002)]

See Updated Motion and policy language under General Endowment adopted Spring 2014.  
*The Board adopts the revised investment policies for Native American Scholarship fund, the Public Education Endowment, the Life Members and Benefactors Fund, the General Endowment and the Reserve fund prepared by the Morgan Stanley advisor.*

## **Investment Policy – Reserves**

[Adopted in Motion 137-16E Spring 2016]

### **Purpose**

The purpose of the SAA Reserves Fund is to enhance the purchasing power of funds held for future expenditures, to maintain the financial stability of the Fund, and to provide future current income to meet the needs of the Fund.

### **Objectives**

The objectives of the Reserves account should be pursued as a long-term goal designed to maximize the returns without exposure to undue risk, as defined herein. It is understood that fluctuating rates of return are characteristic of the securities markets. The greatest concern should be long-term appreciation of the assets and consistency of total portfolio returns. Recognizing that short-term market fluctuations may cause variations in the account performance, the investment goal is that the account's total expected return should exceed the increase in the Consumer Price Index by a minimum of 4.0% annually over a three-year moving time period. If investment returns do not meet that goal, then the payouts from the Reserves Fund will need to be adjusted accordingly.

### **Investment Guidelines**

The investment policies and restrictions presented in this statement serve as a framework to achieve the investment objectives at a level of risk deemed acceptable. These policies and restrictions are designed to minimize interfering with efforts to attain overall objectives, and to minimize excluding any appropriate investment opportunities.

### **Prohibited Investments:**

The following investments and investment activities are prohibited:

8. Private Placements;
9. Letter stock;
10. Individual options contracts (however to the extent that mutual funds are used by SAA the mutual funds may buy or sell option contracts for the purposes of managing portfolio risk);
11. Securities whose issuers have filed a petition for bankruptcy;
12. Commodities or commodity contracts;
13. Short sales;
14. Margin transactions.

### **Diversification:**

Due to the current size of the SAA Reserves Funds, all equity allocations will be made through mutual funds. This strategy will provide optimum diversification, minimal expenses and professional management. The funds will be limited to mutual funds with Morningstar ratings of "Three" stars or better. If an existing fund falls below three stars, then a discussion among the Investment Consultant, the

SAA Executive Director, and the Investment and Finance Committee is required to determine whether the mutual fund should be kept.

If the Fund increases in size to a level that justifies individual money managers, the equity portion of this Investment Policy will be reconsidered.

**TARGET ASSET MIX:**

The long-term component of the Reserves Fund shall be comprised of the asset classes listed in the table below. The target weight is the desired weight for each asset class. The minimum weights and maximum weights are to allow for normal market fluctuations. It shall be the responsibility of the financial advisor to remain within the range specified for each asset class. In addition, at least semi- annually, the financial advisor should re-balance the portfolio according to the target weights.

<b>ASSET CLASS</b>	<b>MINIMUM WEIGHT</b>	<b>TARGET WEIGHT</b>	<b>MAXIMUM WEIGHT</b>
<b>EQUITY</b>	45%	50%	55%
<b>FIXED INCOME</b>	45%	50%	55%

**Life Member Fund**

[Restated in Motion 102-27D (March 1999); adopted in Executive Committee Meeting 38, item f (December 4, 1981).]

In order to protect the sum of payments contributed by Life Members, as required by the By-Laws of the Society, a Life Membership Fund is hereby established subject to the following provisions:

1. At the end of each fiscal year, an annual equivalent to the total paid by all new Life Members (that is, those who have joined during the year) shall be transferred into this Fund. At the same time, the fees paid by those Life Members who died during the year shall be transferred to the Operating Fund.
2. The manager of the Society's investments shall insure that money in the Life Membership Fund is invested in the most secure manner feasible in an account (or accounts) fully insured by the Federal Government, consistent with maintaining the viability of the fund.

[Adopted in Motions 115-27.3A,B (November 2005)]

Motion 115-27.3A— The Board rescinds Motion 105-73.1— adopted October 2002 which states “ at the beginning of each fiscal year the Life Member Fund interest earnings from the previous fiscal year will be transferred from this fund to the general membership operating account

Motion 115-27.3B— Consistent with past Board policy, 100 percent of the payout from the Life Member Endowment will be allocated at the Board’s discretion.

## **Operating Surplus Definition**

[Adopted in Consent Motion 102-13B (March 1999).]

For reporting purposes the Society's operating surplus is the excess of revenue over expenses in the undesignated fund, prior to any interfund transfers.

## **Payout Policy**

[Revised in Motion 107-16 (November 2001); Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 99-14 (October/November 1997)]

[Rescinded by Motion 142-12.1 (November 2018)]

## **Subscription Rate, Affiliate Societies**

[Reaffirmed in Motion 102-27D (March 1999); adopted by electronic ballot (January 1998) as reported in minutes item 100/64 (March 1998).]

The affiliate subscription rate to American Antiquity and Latin American Antiquity for the member organizations of the Council for Affiliated Societies shall be 50% of the institutional rate. Only one subscription to each journal per affiliate shall be available at this rate.

## **Government Affairs**

### **Statement Concerning the Treatment of Human Remains**

[Updated in April 2021. Reaffirmed in Motion 102-27D (March 1999); adopted by telephone ballot (May 1986) as described in minutes item 60/A (April 1986).]

The Society for American Archaeology Statement Concerning the Treatment of Human Remains  
April 14, 2021

Archaeology is the study of the ancient and recent human past through material remains. Because archaeologists may encounter and study human remains as part of their work, the Society for American Archaeology (SAA) is providing this statement to reflect the SAA's values of stewardship and accountability in the context of work with human remains.

There are differing viewpoints on many aspects of work with human remains, such as the definition of human remains, what constitutes consultation or collaboration, and ideas about best practices. This statement cannot address the specifics of all viewpoints; instead, it outlines broad principles. It is the archaeologist's responsibility to seek and incorporate the perspectives of descendant communities, affiliated groups, and other stakeholders in making decisions about how and whether to work with human remains.

Since its founding in 1934, the SAA has been dedicated to the archaeological heritage of the Americas. Because of this focus, the principles outlined in this statement apply to all aspects of archaeological work in the Americas (North, Central, and South America) involving human remains. The work covered by this statement includes, but is not limited to, excavation, research, education, curation, exhibits, and publication. While the statement is intended to apply to the Americas, it can also

provide guidance to SAA members who work in other regions. By using these principles, archaeologists can avoid the harm associated with some of archaeology's past practices.

**Principle 1: Working with human remains is a privilege, not a right.**

Archaeologists should approach work with human remains from a perspective of ethical stewardship, responsibility, and equity, rather than entitlement, ownership, or exclusivity. Any work involving human remains should respect the views and interests of descendant communities, affiliated groups, and other stakeholders. In some cases, this may mean that work should not be done unless it is legally required.

**Principle 2: Human remains should be treated with dignity and respect.**

Human remains are deserving of the dignity and respect afforded to living people. This principle applies to all human remains, regardless of ethnicity, sex, age, religion, nationality, socioeconomic status, cultural tradition, form of burial, condition of remains, or circumstances of acquisition.

**Principle 3: Archaeologists should consult, collaborate, and obtain consent when working with human remains.**

In each stage of work with human remains, archaeologists should make every effort to consult, collaborate, and maintain communication with descendant communities, affiliated groups, and other stakeholders. Archaeologists should consult and collaborate as broadly as possible, keeping in mind that there may be descendant communities, affiliated groups, and other stakeholders whose interests have not been previously recognized or acknowledged. Archaeologists should seek to obtain consent from descendant communities, affiliated groups, and other stakeholders for any work involving human remains.

**Principle 4: It is the responsibility of the archaeologist to understand and comply with the applicable law.**

Each country has its own laws and treaties that relate to work with human remains. Archaeologists should recognize the unique legal responsibilities surrounding the sovereign authority of Indigenous nations as established through treaties, court cases, and law. Legal obligations set a minimum threshold for work with human remains, but ethical obligations may go beyond the letter of the law.

**Principle 5: Archaeologists should follow best practices and uphold the highest ethical standards when working with human remains.**

All work with human remains must be done by individuals with the appropriate qualifications and training. Students must be carefully supervised by experienced and properly trained personnel. Archaeologists must be transparent about funding sources and seek to avoid conflicts of interest, violations of privacy, or other harm during their work and in any subsequent archiving and use of the data.

The SAA encourages its members and their affiliated institutions to develop detailed policies and procedures for the treatment of human remains during excavations, lab research, teaching, curation, exhibition, and publication, even if they do not expect to encounter human remains. The principles outlined above can provide the framework for developing these policies. In addition, the United Nations



Declaration on the Rights of Indigenous Peoples, Principle 12, establishes certain rights regarding Indigenous human remains and is a helpful resource when creating policies.

Ethical standards for archaeological practice will continue to change. As a result, this statement will be reviewed at a minimum every seven years to ensure that it reflects the developments in laws and standards. It is the responsibility of the Committee on Native American Relations (CNAR) and the Committee on Repatriation (Repat) to draft an updated statement in accordance with the charge issued by the SAA Board of Directors

## **Governance**

### **Access to Electronic Board Minutes**

[Adopted in Motion 102-27B (March 1999)]

The electronic summary of the compiled SAA Board minutes will be available only to members on the SAA website.

### **Administration of Surveys**

[Adopted in Motion 103-21B (November 1999)]

The Board shall administer the design, implementation, and analysis of all surveys performed under the auspices of SAA. As appropriate, the Board will seek input from SAA Committees in the formulation of survey objectives and the survey instrument. The Board will share survey results and data, as provided by the Survey Project Oversight Policy, with SAA Committees as quickly as is practical and appropriate.

### **Amicus Briefs Policy**

[Adopted in Consent Motion 115-27.2 (November 2005)]

The President shall receive Board approval prior to joining any amicus briefs.

### **Ballots**

[Adopted in Motion 118-27.1 (March 2007)]

The Board approves the conversion to a solely web-based election, beginning with the 2008 election. In order to accommodate a member requiring a paper ballot, SAA staff will send a paper ballot and paper copy of the candidate statements to any member in good standing who telephones or faxes (not emails) the Society requesting that accommodation.

Note: The announcement of the new election method will be through a President's column in the SAA Archeological Record. A copy of the text of the column will be included in the new member packet to ensure that the election method is clear to all future members of the Society.

[Adopted in Motion 104-9B (April 2000)]

The Board directs staff to send annual election ballots by first class mail or foreign expedited service.

[Adopted in Motion 141-27.4 (April 14, 2018)]

Elections Results Announcement Policy: SAA's President will officially announce the election results to the membership via email, once all candidates have been notified. Candidates must keep election results confidential and refrain from personal announcements, social media posts, institutional announcements, etc. until the official notification to the membership has been made by the President.

[Note: This policy must be distributed by the executive director to the chair, Nominating Committee each year so that the chair will share it with all candidates who have agreed to run.]

## **Board Minutes**

[Adopted in Motion 102-27D (March 1999); based on Board discussion item 97/27.1 (November 1996).]

Whenever possible, motions should encode the substance of what is being moved, without reference to other documents. [For example, a motion that simply states The board accepts recommendation 3 of the committee's report@ is not very helpful for the long-term record, because the committee's report is usually not easily available to the reader.] The minutes should not record the numeric votes of the board, nor do they need to reflect who moved or seconded a motion.

## **Board Minute Distribution**

[Adopted in Motion 103-27.2 (November 1999).]

The Board approves the electronic distribution of Board minutes to the Board and Committee chairs, with distribution of paper copies only by specific request.

## **Conflict of Interest Policy**

[Adopted in E-Motion 115-27.12 and Revised in Consent Motion 115-27.12 (November 2005)]

### **Conflict of Interest Policy**

In their capacity as officers and directors, the members of the Board of Directors of the Society for American Archaeology must act at all times in the interests of the Society for American Archaeology. Board members have a fiduciary responsibility to conduct themselves without conflicts to the interests of the Society for American Archaeology. In their capacity as Board members, the welfare and best interests of the Society for American Archaeology must be paramount, and any potential conflicts of interest that arise from, for example, personal, individual business, third party, and employment activities of Board members must be disclosed.

All conflicts are not necessarily prohibited or harmful to the Society for American Archaeology. Full disclosure of all actual and potential conflicts is required. The individual(s) disclosing the actual or

potential conflict(s) would be recused from participating in the discussion and vote on the determination of the matter by the full Board.

The full Board, minus the individual(s) disclosing the actual or potential conflicts, will determine whether a conflict exists and what ensuing action is appropriate, if any.

At the inception of each Board member's term, the Executive Director will provide that Board member a copy of this policy, and the Board member will be required to complete and sign the form below. Copies of this policy will also be distributed by the Nominating Committee chair to Board candidates prior to their decision to run.

### **Acknowledgement & Disclosure Form**

I have read the Society for American Archaeology conflict of interest policy set forth above and agree to comply fully with its terms and conditions at all times during my service as a Society for American Archaeology Board member. If, at any time following the submission of this form, I become aware of any actual or potential conflicts of interest, or if the information provided below becomes inaccurate or incomplete, I will promptly notify the Secretary and Executive Director in writing.

Disclosure of actual or potential conflicts of interest: \_\_\_\_\_

---

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

Date \_\_\_\_\_

### **Candidate Statement Guidelines**

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 98-17B (April 1997).]

The Executive Board requests that future Nominating Committee chairs distribute the following guidelines to all candidates to facilitate the development of SAA ballots.

#### **Guidelines for SAA Candidate Statements**

Candidates asked to run for an SAA elected office must provide statements supporting their candidacy. These statements consist of biographical notes and a position statement in support of their proposed office. In order that the statements be comparable, the following guidelines have been developed.

##### **1. Length of Statement**

In writing their statements, candidates must adhere to the following word limits: President, 600 words; other officers, 500 words; Board members-at-large, 400 words; Nominating Committee, 250 words. The word limits include both the biographical information and the position statement.

Should you submit a statement that exceeds the word limit, you will be asked to shorten it. In the unlikely situation that you are not available to modify the statement, the Nominating Committee chair and/or the president of the society will edit the statement to meet the word limit.

## 2. Content

As mentioned above, your complete statement includes biographical information as well as your position statement. So long as the overall word limit is not exceeded, the relative length of each part is up to you; however, it is strongly suggested that you devote at least 100 words to the biographical part. In presenting your biographical information, please use a terse, c.v. format rather than complete sentences. The biographical information is the first paragraph of your statement.

As you consider presenting biographical information, the following list provides samples of the types of information that has been included in the past:

- Degree(s), date(s) and university(ies)
- Current job title and employer
- Brief job history
- Previous roles within SAA
- Research interests
- Recent publications

Your position statement outlines your views and priorities to the voting membership. The kinds of issues you might raise are your perspective on the position, why you would like to serve, what you will bring to the role, your general philosophy, etc.

## 3. Submitting Your Statement

For the sake of accuracy and expediency in preparing the ballot, the preferred method of submission is via email to the executive director of SAA [tobi\_brimsek@saa.org]. The chair of the Nominating Committee will provide you with the deadline date for the submission of statements. The submission deadline is quite stringent due to the timing of the election in relation to the annual meeting. In order for the election to be conducted on a timely basis, it is vital that the deadlines be met.

## 4. Sample Statement Format

Your statement will not be edited, but it will be formatted to create a consistent look to the ballot material. The entry below provides a sample of how statements will be formatted. Please note again: the information you choose to provide is entirely at your discretion.

Jane Q. Doe (PhD 1960, XYZ University or BA, XYZ College, etc.). Job title, place of employment. Any other biographical information will be presented as you write it.

The statement will comprise the second paragraph and will be presented in italics. Statements should be submitted using the first person format.

## 5. Questions

If you have any questions, they may be directed to the chair of the Nominating Committee or the executive director.

## **Document Retention and Destruction Policy**

[Adopted in Motion 121-27.3 October/November 2008]

The Board approves the existing practice regarding document retention and destruction and adopts the Document Retention and Destruction Policy.

### **Documents Retention and Destruction Policy**

This Document Retention and Destruction Policy identifies the record retention responsibilities of staff, volunteers, members of the Board of Directors, and outsiders for maintaining and documenting the storage and destruction of the Society's documents and records.

**Terms for Retention.** The attached plan delineates the lifecycle of electronic and paper documents. In addition to the timeframes established, it is understood that no paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation or proceeding or private litigation.

**Terms for Destruction.** In cases where destruction of financial or other sensitive material is required, a certified document destruction process will be required. The Executive Director shall be responsible for the retention of such a firm and ensuring that a certificate of destruction is produced upon the destruction of the materials.

**Exceptions.** Exceptions to the established terms of retention may be granted only by the Society's executive director or president, if appropriate, in consultation with the Society's Certified Public Accountant, and/or attorney.

### **SAA Records Retention Schedule**

**Coordinator, Financial & Admin Svcs/ Executive Director**

<b>Record Title or Description</b>	<b>Position Title</b>	<b>Primary Location</b>	<b>Retention Period</b>	<b>Reason for Retention</b>	<b>Convey to Archives</b>
Accounts payable	F/A Coordinator	Current and previous years go to file cabinet outside Acctg office, older files got to Strg room	7 years	Legal	Certified Destruction
Accounts receivable	Exec Dir	Current and previous years go to Acctg office, older files got to Strg room	7 years	Legal	Certified Destruction
Audit reports	Exec Dir	Acctg office	Permanent	Legal	yes
Bank Reconciliations	Exec Dir	Server	Indefinite	Legal	
Bank Statements	Exec Dir	Acctg office	7 years	Legal/working	Certified Destruction
Chart of Accounts	Exec Dir	Server	Permanent	Working	yes
Voided Checks	Exec Dir	Current and previous years go to Acctg office, older files got to Strg room	7 years	Legal	Certified Destruction
Correspondence: Routine with customers and/or vendors	F/A Coordinator		2 years	Legal	Certified Destruction
Depreciation schedules	F/A Coordinator	Acctg Office	Permanent	Working	No
Duplicate deposit slips	F/A Coordinator	Current and previous years go to Acctg office, older files got to Strg room	7 years	Legal	Certified Destruction
Garnishments	F/A Coordinator		7 years	Legal	Certified Destruction
General Ledgers/ year end trial balance	F/A Coordinator	Acctg Office	Permanent	Legal	yes
Inventories of products materials and supplies	Exec Dir	Server	Current	Legal	Certified Destruction

Invoices (to customers, from vendors)	F/A Coordinator	Server	Indefinite	Working	
Accounting Journals	Exec Dir		Permanent	Legal	Yes
Purchase orders: Purchasing department copy	All staff	Acctg office	7 years	Legal	Certified Destruction
Purchase orders: Other copies	Exec Dir	Manager files	1 years	Legal	Certified Destruction
Subsidiary ledgers	Exec Dir	Acctg Office	7 years	Legal	Certified Destruction
Tax returns and worksheet, revenue agents reports and other documents relating to determination of income liability	Exec Dir	Acctg office & Larson Allen	Permanent	Legal	
Timesheets	F/A Coordinator	Coordinator office cabinet	7 years	Legal	Certified Destruction
990 Public Inspection Copy	Exec Dir	Locked Cabinet in Exec Dir office	Permanent	Legal/working	No

## Document Retention Schedule

### Government Affairs Program

Record Title or Description	Confidential	Vital	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Policy Issues	No	Yes	Manager, Government Affairs	Govt. Affairs Office; Server	Permanent	Reference	When complete
Govt. Affairs Committee Correspondence	No	Yes	Manager, Government Affairs	Govt. Affairs Office; Server	Permanent	History	Via Ctrl Files
Government Affairs Monthly Updates; other communications	No	No	Manager, Government Affairs	Govt. Affairs Office; Server	Permanent	History	Via Ctrl Files
Lobbying Disclosure Forms	No	Yes	Manager, Government Affairs	Govt. Affairs Office; Server	Permanent	History	Via Ctrl. Files, where relevant
Procedures Manual	No	No	Manager, Government Affairs	Govt. Affairs Office; Server	Permanent	History	Via Ctrl Files



## SAA Records Retention Schedule

### Information Services

Record Title or Description	Position Title	Primary Location	Retention Period	Reason of Retention	Convey to Archives
SAA Servers Database/Backups	Mgr., Information Services	Offsite Storage (Magnetic Tapes)	Permanent	Reference; Backup	No
iMS Database Table Layouts	Mgr., Information Services	Mgr., Information Services' Office Files	Permanent	Working	No
iMIS Modules Manuals	Mgr., Information Services	Mgr., Information Services' Office Files	Permanent	Working	No
System Documentation (Software & Hardware)	Mgr., Information Services	Mgr., Information Services' Office Files	Permanent	Working	No
Database Structures	Mgr., Information Services	SAA Server (Electronic Files) Offsite Storage	Permanent	Working	No
Hardware/Equipment Purchase Invoices	Mgr., Information Services	Mgr., Information Services' Office	Current plus 3 years	Reference	No
Maintenance Contracts	Mgr., Information Services	Mgr., Information Services' Office	Current plus 7 years	Reference	No
Licensing Agreements	Mgr., Information Services	Mgr., Information Services' Office	Permanent	Legal	No
Correspondence, General (Electronics)	Mgr., Information Services	Server	Indefinite	Working	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason of Retention	Convey to Archives
SAAweb pages	Mgr., Information Services	SAA Server (Electronic Files)	Permanent	History	Yes
Job Webads requests	Mgr., Information Services	Mgr., Information Services' Office	1 year beyond posting termination	Reference	No
Procedure manual	Mgr., Information Services	Server Copy transferred to Exec. Dir.	Current	Working	No
Password File	Mgr., Information Services	Server Copy transferred to Exec. Dir.	Permanent	No	No
Configuration files	Mgr., Information Services	SAA Server (Electronic File)	Permanent	No	No

## SAA Records Retention Schedule

### Publications Manager

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Administrative: 1) Printer Contracts	Pubs Mgr	Central Files	Permanent	Legal/History	No
2) Editorial Manager Contract	Pubs Mgr	Central Files	Permanent	Legal/History	No
3) JSTOR agreement	Pubs Mgr	Central Files	Permanent	Legal/History	No
4) Trademark agreements	Pubs Mgr	Central Files	Permanent	Legal/History	No
5) License agreements	Pubs Mgr	Central Files	Permanent	Legal/History	No
6) Copyright forms	Pubs Mgr	Central Files	Permanent	Legal	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
7) Correspondence	Pubs Mgr	Pubs Mgr Office/Server	Working File	Reference	No
8) Library of Congress Registration Forms	Pubs Mgr	Pubs Mgr Office	Permanent	Legal	No
9) Monograph Production Files	Pubs Mgr	Pubs Mgr Office	1 Year	Working	No
10) Permissions Granted	Pubs Mgr	Central Files	Permanent	History/Legal	No
11) Postage Receipts	Pubs Mgr	Pubs Mgr Office	Permanent	Working	No
12) Postal Permit File	Pubs Mgr	Central Files	Permanent	Working	No
13) Printed books/brochures	Pubs Mgr	Store Room	Permanent	History/Working	Periodically
14) Print Run Statistics	Pubs Mgr	Central Files	Permanent	Reference	No
15) Royalty statements	Pubs Mgr	Pubs Mgr Office	Permanent	Administrative	No
Annual Meeting Publications: 1) electronic files	Pubs Mgr	Server	Permanent	History/Working	No
2) Printed Books and Materials	Pubs Mgr	Library	Permanent	History/Working	Periodically
3) Production Files	Pubs Mgr	Pubs Mgr Office/Server	Permanent	Working	No
Artwork: 1) Annual Meeting Photos	Pubs Mgr	Central Files	Permanent	History	Periodically
2) Current journal cover designs	Pubs Mgr	Server	Permanent	Reference	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
3) Film from printer for monographs and other publications	Pubs Mgr	Store Room	Permanent	History	No
4) Original Artwork from Authors	Pubs Mgr	Old: Pubs Mgr Office New (last 5 years): Server	Send back to authors after printing	Working	No
5) Previous journal cover designs	Pubs Mgr	Central Files	Permanent	History	No
6) Production file for cover designs	Pubs Mgr	Central Files	Permanent	History	No
7) SAA Original Corporate Artwork	Pubs Mgr	Pubs Mgr Office	Permanent	Working/ History	No
Journals and Magazine: 1) Author and Editor Galleys	Pubs Mgr	Pubs Mgr Office	1 year	Working	No
2) Bound volumes	Pubs Mgr	Library	Permanent	History	No
3) Editor Reports	Pubs Mgr	Central Files	Permanent	Working	Through Board Documents
4) Editor RFPs	Pubs Mgr	Central Files	Permanent	History	No
5) Electronic Files sent to Printer	Pubs Mgr	Pubs Mgr Office	Permanent	History/ Administrative	No
6) Printed volumes	Pubs Mgr	Store Room	Permanent	History	Annually
<b>The SAA PRESS</b>					
1) Book Contracts	Pubs Mgr	Central Files	Permanent	Legal/History	No
2) Marketing files	Pubs Mgr	Pubs Mgr Office	Permanent	Working/ History	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
3) Author and Editor Galleys	Pubs Mgr	Pubs Mgr Office	1 year	Working	No
4) Printed volumes	Pubs Mgr	Store Room	Permanent	History	Annually
Media Relations 1) Contact Files	Pubs Mgr	Server	Permanent	Working	No
2) Media List	Pubs Mgr	Server	Permanent	No	No

## SAA Records Retention Schedule

### Membership Support, Development, & Programs

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
<b>Administrative</b>					
Correspondence – General (email)	Mem Mgr.	Saved on C: drive of Mem Mgr PC	One Year	Reference	One Year
Procedures Manual	Mem Mgr.	Server	Permanent	Reference	No
<b>Council of Affiliated Societies (CoAS)</b>					
CoAS Applications and Guidelines	Mem Mgr.	Central Files	Permanent	Reference	Yes
CoAS Correspondence	Mem Mgr.	Saved on C: drive of Mem Mgr PC	One Year	Reference	Yes
<b>Interest Groups (IG)</b>					
IG Correspondence	Mem Mgr.	Saved on C: drive of Mem Mgr PC	One Year	Reference	No
IG Proposals	Mem Mgr.	Central Files	Permanent	History	Yes
IG Newsletters	Mem Mgr.	Mem Mgr Filing Cabinet	Permanent	History	Yes
IG Guidelines	Mem Mgr.	Central Files/Server	Permanent	Reference	Yes
<b>Membership</b>					

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Affinity Program Contracts	Mem Mgr.	Central Files	Permanent	Legal	No
Affinity Program Correspondence	Mem Mgr.	Central Files / Saved on C: drive of Mem Mgr PC	Permanent	Reference	No
Membership Brochures	Mem Mgr.	Mem Mgr Filing Cabinet / Archives	Permanent	History	Yes
Merchandise (SAAgear) files	Mem Mgr.	Mem Mgr Filing Cabinet	5 years	Reference	No
Renewal Files (Invoices, Letters, Envelopes, and Postcards)	Mem Mgr.	Mem Mgr Filing Cabinet / Archives	Permanent	History	Yes
Monthly Membership Stats	Mem Mgr.	Server	Permanent	History	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
<b>Scholarships</b>					
Correspondence – General (email)	Mem Mgr.	Saved on C: drive of Mem Mgr PC	One Year	Reference	No
ACP/NSF Applicants	Mem Mgr.	Mem Mgr Filing Cabinet	7 years	Legal	No
ACP/NSF Applications & Info	Mem Mgr.	Server	Permanent	Administrative	No

## SAA Records Retention Schedule

### Manager, Membership and Marketing

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
<b>Administrative</b>					
Correspondence – General (email)	Mem Asst.	SAA Server: MEMASST folder	One Year	Working/Reference	No
<b>Subscriptions</b>					
Subscriber Claims	Mem Asst.	Mem Asst Filing Cabinet	Current Year +6 months (history in iMIS)	Reference	No
Subscriber Correspondence	Mem Asst.	Mem Asst Filing Cabinet	One Year	Working/Reference	No
<b>Committees</b>					
Comm. Appointment Letters	Mem Asst.	Mem Asst Filing Cabinet	5 years (history in iMIS)	Reference	No
<b>Volunteer Program</b>					
Vol. Applications	Mem Asst.	Mem Asst Filing Cabinet	1 year	Working	No
Volunteer Correspondence	Mem Asst.	SAA Server: MEMASST Volunteer folder	1 year	Reference	No
Volunteer Blacklist	Mem Asst.	SAA Server: MEMASST Volunteer folder	Permanent	Reference	No
<b>Membership</b>					
Member Claims	Mem Asst	SAA Server: MEMASST Folder	Current Year +6 months (history in iMIS)	Working	No
Participant Waiver Requests	Mem Asst	Mem Asst Filing Cabinet	1 year	Reference	No

## SAA Records Retention Schedule

### Manager, Education and Outreach

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Correspondence – General	Mgr. Education & Outreach	Server	Permanent	Historical	yes
Grants & Cooperative Agreements	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
1. BLM	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
2. BOR	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
3. Dept. of Army	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
4. Fish and Wildlife	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
5. NPS	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
6. NSF	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
7. SCS	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
8. Tenn. Valley Authority	Mgr. Education & Outreach	Central Files	Permanent	Historical	yes
PEC Files	Mgr. Education & Outreach	Education Office	Permanent	Historical	yes
Program Files 1. Administrative	Mgr. Education & Outreach	Education Office	Current + 5 years	Working	NO
2. Annotation Project	Mgr. Education	Education Office	Permanent	Historical	yes



Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
3. Annual Meetings, Conferences & Task Groups	Mgr. Education & Outreach	Education Office	5 years	Working, Historical	No
4. Arch. Education Network Coordinator Pilot	Mgr. Education & Outreach	Education Office	Permanent	Historical	Yes
5. Archaeology & Public Education	Mgr. Education & Outreach	Server	Permanent	Historical	Yes
6. Budget	Mgr. Education & Outreach	Education Office	5 years	Working, Historical	No
7. Archaeology for the Public	Mgr. Education & Outreach	Server	Permanent	Working Historical	Yes
8. Career Brochures	Mgr. Education & Outreach	Education Office	Permanent	Working, Historical	Yes
9. Fact Sheets	Mgr. Education & Outreach	Education Office	Permanent	Working, Historical	Yes
10. Bookmarks	Mgr. Education & Outreach	Education Office	Permanent	Working Historical	Yes
11. Departmental Survey	Mgr. Education & Outreach	Server	Permanent	Historical	Yes
12. Harris Poll	Mgr. Education & Outreach	Education Office and Server	Permanent	Historical	Yes
13. Public Education Publications	Mgr. Education & Outreach	Education Office & Server	Permanent	Historical	Yes
14. Exhibits	Mgr. Education & Outreach	Education Office	Permanent	Historical	Yes

**SAA Documents Retention and Destruction Schedule**

## Executive Director

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Correspondence – General	Exec Dir	Server	Permanent	History	Periodically, but no sooner than 10 years after creation
Administration: 1) Contracts	Exec Dir	Central Files	In Effect-Permanent Expired – 7 years	Legal	No
2) DC Annual Report and Registered Agent Identification	Exec Dir	Central Files	Permanent	Legal	No
3) Exemption Letters	Exec Dir	Central Files	Permanent	Legal	No
4) Incorporation Papers	Exec Dir	Central Files	Permanent	Legal	No
5) Insurance Policies	Exec Dir	Central Files	Current – Permanent Expired – 10 years	Legal	No
6) Lease	Exec Dir	Central Files	7 years after expiration	Legal	NO
7) Security - Building	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Working	No
Financial 1) Working Files (budgets, workpapers, audits, financials etc.)	Exec Dir	Exec Dir Office	Current & Historical – As valuable	Working	No
2) Approved Budget Notebooks (w/ justifications)	Exec Dir	Acctg Office	Indefinite	Historical	Eventually
3) Monthly Financials	Exec Dir	Acctg Office 1996-2006; 2006- Server	Permanent	Historical, Legal	No
4) Monthly Investment Statements	Exec Dir	Acctg Office	7 years	Legal	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
5) Audits	Exec Dir	Outside Acctg Office	Permanent	Legal; Historical	Eventually
6) Overhead Calculations	Exec Dir	Exec Dir Office	Current	Working	No
7) SAA by the Numbers	Exec Dir	Exec Dir Office	Permanent	History	Yes, periodically
8) Gift Files	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Working	No
9) Planned Giving	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Working	Samples of brochures on retirement of brochure
Human Resources: 1) Personnel Files	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Legal	No
2) Prospective Employee Files	Exec Dir	Exec Dir Office Locked Cabinet	Until position is filled	Working	No
3) Terminated Employee Files	Exec Dir	Locked cabinet Intern Office	Permanent	Legal	No
4) I-9	Exec Dir	Exec Dir Office Locked Cabinet	Permanent in Each Personnel File	Legal	No
5) Job Descriptions – Current	Exec Dir	Server	Permanent	Working	No
6) Emergency Contacts File	Exec Dir	Work Room File Cabinet	Working File	Reference	No
7) Employee Manual	Exec Dir	Server	Current Employees	Reference	No
8) Summary Plan Descriptions Medical/Dental	Exec Dir	Exec Dir Office	Permanent while in effect	Legal	No

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
(Benefits)		Locked Cabinet	Expired – 10 years		
9) Retirement Plan Document	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Legal	No
10) Emergency Contacts File	Exec Dir	Work Room File Cabinet	Working File	Reference	No
11) Security Access Files (all online systems)	Exec Dir	Exec Dir Office Locked Cabinet	Permanent	Working	No

## SAA Documents Retention and Destruction Schedule

### Governance

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
Board of Directors: 1) Documents & Agenda	Exec Dir	Exec Dir Office/Conference Rm Library	Permanent	Legal	Eventually
2) Minutes	Exec Dir	Exec Dir Office/Conference Rm Library; Web	Permanent	Legal	Yes
3) Board and Committee Handbook	Exec Dir	Web	Current Version	Administrative	Yes, samples periodically
4) Bylaws	Exec Dir	Central Files/Web for current version	Permanent	Administrative	Will be conveyed with web cd
5) Bylaws Ballots	Exec Dir	Central Files	Permanent	History, Working	Periodically
6) Foundation Concept Files	Exec Dir	Central Files	Permanent	Historical	Yes, when value as a reference file is diminished.

Record Title or Description	Position Title	Primary Location	Retention Period	Reason for Retention	Convey to Archives
7)Policy Manual	Exec Dir	Server & Web	Permanent	Legal, Administrative	Web version will be included with cd of web burned periodically
8)President's Correspondence	Exec Dir	Central Files	Permanent	History	Yes
9)President's Files	Exec Dir	Custody of president	Permanent	History	Receive from president after close of service and convey
10)Call to Meetings	Exec Dir	Server	Current Version	History, Working	No
11)Board Correspondence	Exec Dir	Server	Permanent	History	
12)Committee Files	Exec Dir	Central Files	Permanent	History	Periodically
13) Committee Charges and Composition	Exec Dir	Server	Current Version	Legal, Working	No
14) Fundraising Committee Files and Activities	Exec Dir	Exec Dir Office	Permanent	History	Eventually

## Fiscal Impact of Motions

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-11B (November 1996).]

All proposals submitted for consideration by the SAA Executive Board must include a discussion of fiscal impact. Fiscal considerations should include short- and long-term direct and indirect costs and necessary Executive Office staff time.

## Joint Venture Policy

[Adopted in Motion 121-27.5 (October/November 2008)]

This Joint Venture policy of the Society for American Archaeology requires that the Society evaluate its participation in joint venture arrangements under Federal tax law and take steps to safeguard the Society's exempt status with respect to such arrangements. It applies to any joint ownership or contractual arrangement through which there is an agreement to jointly undertake a specific business enterprise, investment or exempt-purpose activity as further defined in this policy.

**1. Joint ventures or similar arrangements with taxable entities.** For the purposes of this policy, a joint venture or similar arrangement (or a "venture" or "arrangement") means any joint ownership or contractual arrangement through which there is an agreement to jointly undertake a specific business enterprise, investment or exempt-purpose activity without regard to: (1) whether the Society controls the venture or arrangement; (2) the legal structure of the venture or arrangement; or (3) whether the venture or arrangement is taxed as a partnership or as an association or as a corporation for federal income tax purposes. A venture or arrangement is disregarded if it meets both of the following conditions:

(a) 95% or more of the venture's or arrangement's income for its tax year ending within the Society's tax year is excluded from unrelated business income taxation [including but not limited to: (i) dividends, interest, and annuities; (ii) royalties; (iii) rent from real property and incidental related personal property except to the extent of debt-financing; and (iv) gains or losses from the sale of property]; and

(b) the primary purpose of the Society's contribution to, or investment or participation in, the venture or arrangement is the production of income or appreciation of property.

**2. Safeguards to ensure exempt status protection.** The Society will: (a) negotiate its transactions and arrangements with other members of the venture or arrangement such terms and safeguards adequate to ensure that the Society's exempt status is protected; and (b) take steps to safeguard the Society's exempt status with respect to the venture or arrangement. Some examples of safeguards include:

- (i) control over the venture or arrangement sufficient to ensure that it furthers the exempt purpose of the organization;
- (ii) requirements that the venture or arrangement gives priority to exempt purposes over maximizing profits for the other participants;
- (iii) that the venture or arrangement not engage in activities that would jeopardize the Society's exemption; and
- (iv) that all contracts entered into with the organization be on terms that are arm's length or more favorable to the Society.

## **Motions Offered at the Annual Business Meeting**

[Adopted in Motion 114-27.3 (March/April 2005)]

Motions to be offered as new business at the Annual Business Meeting of the Society must be received in writing by the SAA Secretary at least seven days prior to the date of the Annual Business Meeting. If the Board determines that the issue is of such importance to the Society, the Board may direct that the question be placed on the next SAA ballot with appropriate statements discussing the motion. This procedure does not preclude the discussion of new business at the Annual Business Meeting.

## **Nominations**

[Adopted in Motion 121-17.1 (October/November 2008)]

The Board adopts as policy that there shall be a listing of the offices to be vacated for which nominations will be made for the ensuing year, with a notice that members may suggest the names of candidates for such offices to the Nominating Committee before the end of the first week in September, the specific date to be set by the Executive Director in conjunction with the Chair of the Nominating Committee.

## **Non-Discrimination Policy**

[Adopted in Motion 108-27.1 (March 2002)]

The Society for American Archaeology is committed to working toward increased representation of diversity in the profession of archaeology and to representing the diversity of its membership in all programs and activities. This commitment is necessary to achieving SAA's goals as described in its mission statement. Therefore, SAA declares discrimination on the grounds of race, color, creed, national origin, age, marital status, sexual orientation, or disability is prohibited in its programs, activities, services, and employment.

## **Relationship with RPA**

[Adopted in Motion 128-27.2 (October 2011)]

The Board codifies the long-standing policy that the President votes only in case of a tie

The Board approves the policy regarding the relationship between SAA and the Register of Professional Archaeologists (RPA), as follows:

In order to show support for the archaeology profession, the Society shall serve as a sponsoring organization for The Register of Professional Archaeologists ("RPA"), a separately incorporated and managed organization. This policy sets forth a description of the Society's relationship with RPA and the corresponding rights.

- 1 Financial Support – On an annual basis, the Society will provide a sponsorship payment to RPA to support its programs and activities. The payment amount will be set on an annual basis upon mutual agreement of SAA and RPA.
- 2 Board Seat – Under the RPA Bylaws, each RPA sponsoring organization is entitled to appoint or to elect one individual to serve on its Board of Directors for a three year term. Reappointment to additional terms will be at the discretion of the sponsoring organization. The Society shall fill such RPA Board seat by appointment based on a majority vote of the Society’s Board of Directors. The criteria for RPA Board candidates shall be determined by the Society’s Board of Directors.
- 3 Separate Organizations – Although the Society financially supports RPA and has the ability to appoint an individual to serve on the RPA Board, the Society and RPA remain independent organizations. As such, the individuals appointed by the Society to serve on the RPA Board shall serve in their own capacity and shall exercise their independent judgment on RPA matters.

## Reports to the Board

[Adopted in Motion 102-27D (March 1999); based on Board discussion item 95/14 (November 1995).]

Officers should prepare written reports for consideration by the Board at its meetings. Other reports should be submitted, as required, by editors, committee chairs, and representatives to allied organizations. In general, reports submitted late need not be considered by the board at its meeting.

## Spokespersons for SAA

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 97-27Y (November 1996).]

The president is the official spokesperson for SAA. With regard to financial and administrative matters, the executive director may also speak for SAA. There may be occasions on which other officers, board members, committee chairs or SAA staff may articulate or convey established SAA positions without advance approval, but on such occasions, those individuals do not have the latitude to embellish or broadly interpret those positions.

## Statement on Diversity Initiatives

[Adopted in Motion 116-18A (April 2006)]

SAA believes that the study and preservation of the archaeological record can enrich our appreciation for diverse communities, foster respect for difference, and encourage the celebration of individual and collective achievement. SAA is committed to promoting diversity in our membership, in our practice, and in the audiences we seek to reach through the dissemination of our research. Moreover, SAA aims to cultivate an inclusive environment that promotes understanding and values diversity in ethnic origin, national origin, gender, race, age, economic status, lifestyle, physical and/or cognitive abilities, religious beliefs, sexual orientation, work background, family structure, and other perceived differences.



## Survey Project Oversight Policy

[Restated in Motion 102-27D (March 1999); amended in Motion 101-21 (November 1998); amended in Motion 98-21C (April 1997); amended in Motion 96-55 (April 1996); approved in Motion 95-20 (November 1995).]

SAA is committed to periodic survey of its membership on issues that relate both to the society itself and to the status of American archaeology in general. Sampling membership opinions and attitudes provides invaluable feedback on how well the society serves its membership, and helps point the direction for future SAA activities. Gathering information on the backgrounds, employment status, and interests of members (and sometimes of nonmembers) helps build a better understanding of the diverse constituency that the society seeks to serve.

The society recognizes the need for coordination of all aspects of the design, implementation, tabulation, and analysis of official SAA surveys. Consequently, a subcommittee of the Board--the Survey Project Oversight Committee (SPOC)--has been appointed to review project proposals for new surveys and reanalysis of existing SAA survey data, to oversee approved survey projects, and to develop policies and procedures on surveys for Board consideration.

A research project proposal may be presented to SPOC by any SAA unit or individual researcher, and possibly by other organizations. Proposals from units of SAA will be given priority. Each proposal must contain the following elements:

1. Working title.
2. Purpose and benefits of the project (e.g., extent to which the project addresses a demonstrated or documented need; extent to which new information, new perspectives, or greater depth of knowledge will be generated; how the society and American archaeology will benefit from the results of the project).
3. Research objectives.
4. Project methodology (e.g., anticipated uses of existing data and identification of variables to be used; draft of survey instrument; description of who will receive responses, design database, enter data, tabulate and verify responses, interpret results).
5. Budget for project costs (e.g., printing and mailing of survey instrument, tabulation of results, publication of results, staff time).
6. Names of project coordinator and members who will assist in the project.
7. Dissemination plan (e.g., how project results will be published or communicated; marketing plan, if survey will be sold, that defines potential audiences, competing products or services, pricing strategies, and methods of reaching potential audiences)
8. Timetable.

Project proposers must not assume that SAA can provide funding for survey projects. It will be helpful if sources of external funding are identified in the proposal.

SPOC will decide whether the project is consistent with the interests of SAA members, whether multiple project goals overlap and can be combined, and whether the project proposal assures anonymity to

respondents. Once a project is approved by SPOC, the project is then presented to the Board for approval.

In considering approval of survey project proposal, the Board will consider the frequency of surveys being undertaken to assure that members are not overwhelmed with requests for survey participation. If the project is approved by the Board, the investigator will be asked to sign a commitment to secure the confidentiality of individual responses and to use the data in a professional manner. The investigator will also be required to submit to the Board a report detailing the survey's results and interpretations prior to public dissemination.

Requests to use existing data from SAA sponsored censuses or surveys should be submitted through the proposal process outlined above, and, in the same manner, are subject to approval by SPOC and the Board. For approved projects, data may be reported only in aggregated form. Groups and individuals should recognize that they are responsible for the cost of acquiring and analyzing the data. Those conducting approved projects may request additional data from existing surveys within one year to clarify elements of the data they wish to use. Expanded studies will require an additional proposal.

Confidentiality of individual responses must always be maintained. Users of SAA survey or census data will be required to sign a confidentiality agreement.

Survey projects are undertaken for the benefit of the society. Data collected belong to SAA, and must be provided to the SAA office as soon as available. In many circumstances, multiple analyses of collected data are appropriate, but common scholarly respect for precedence is an important consideration. Priority decisions for analysis and dissemination will be made by the Board on recommendation by SPOC. Data files will be copy-protected; access is to read-only files exclusively.

All data from surveys will be archived at SAA headquarters. Use of aggregate data is preferred, if these data are appropriate for the inquiry.

A subset of the survey data, not to include identification numbers, may be provided to a committee chair or designated committee member for analysis on the basis of a plan approved by SPOC and governed by a signed agreement. SPOC will take care to exclude variables that would obviously identify particular individuals.

Email surveys are permitted. All such surveys must be reviewed by SPOC and should be sent and received by the Executive Office.

## **Grants**

### **External Grants Developed in Partnership With SAA Members**

[Adopted in Motion 110-27.1 (April 2003).]

The SAA desires to expand its ability to carry out the Society's mission. Given the finite resource base of the SAA, the Society is interested in developing sources of external funding for which Society members serve as Principal Investigators for a grant that is awarded to and administered by the SAA. A strong tie to the SAA's mission is essential for success in such partnerships. Therefore, all parties must

understand that such grants are institutional grants, not programs that are independent from or only indirectly related to the SAA's mission. The following general policies apply to such grants.

1. In most cases, the initial concept for a partnership grant will be developed in close consultation with the relevant SAA Committee or Task Force or directly with the SAA Board.
2. In all cases, the grant concept must be brought before the Board prior to its drafting and submittal to a potential funding agency. The proposal to the Board should include a clear identification of the tie between the grant purpose and SAA's mission.
3. Once approved in concept, the Principal Investigator will work closely with agreed upon SAA representatives to develop and submit the grant proposal. These representatives could, but not necessarily include the SAA Executive Director, an appropriate SAA Committee or Task Force, and identified Board members.
4. All direct costs needed to implement the grant must be identified in the grant proposal.
5. Whenever appropriate, an SAA overhead factor will be included as part of the total grant cost. SAA overhead rates applied to the grant reflect audited administrative costs and are not to be considered as an additional source of direct expenses for the grant or related activities. The Principal Investigator will consult with the SAA Executive Director regarding current rates during the proposal preparation process.
6. During the course of grant implementation, the Principal Investigator will provide annual reports. Upon notification of the award, the Executive Director will decide if reports should be provided for the fall or spring Board meetings.
7. Should a Principal Investigator, with an external grant administered by SAA, seek additional internal funding from SAA, that request should be submitted for consideration at the fall Board meeting. A Principal Investigator can submit a detailed cost proposal through the appropriate SAA committee or Task Force or as a special appropriation based on initial consultation with the Executive Director. The Board will address that proposal based on its merits and SAA's financial condition.
8. All grants administration shall be implemented by the Executive Director in concert with the financial and management policies approved by the SAA Board of Directors.

## **Interest Groups**

### **Interest Group Guidelines**

[Restated in Motion 102-27D; adopted in discussion item 94/23 (May 1995); also see discussion item 93/NB/21 (September 1994); revised in motion 140B-27.2 (November 2017)]

### **Role**

The role of an interest group within the Society for American Archaeology (SAA) is to foster the creation of networks through which members who share interests in particular intellectual and/or professional issues can come together to exchange information and discuss common issues. An interest group is an informal, self-selected, self-governing group approved by the Board of Directors. It is a part of SAA for which SAA is legally responsible and liable.

### ***Length of Existence and Procedural Information***

An interest group will continue as long as the membership continues to meet the minimum requirement for number of members, providing that the group reports annually each fall (please see below for reporting requirements), as well as maintains an organizer or organizers as outlined in their formation plan to the Board.

The interest group leadership is responsible for their self-governance as well as the procedures for implementing their process for selecting and rotating organizers/co-organizers. Procedural information should be passed down from organizer to organizer.

In 2018, the Society will be implementing iMIS Communities, a module from SAA's database management system that will automatically create a community for an interest group who wishes to establish one. The community will provide for blogging, resource libraries, etc. and will automatically include anyone signed up for the interest group.

### ***Scope of Interest Groups***

Interest Groups may not issue public statements or make unapproved commitments. Interest Groups must make sure that any activities undertaken are in line with current Board policy. Interest Groups, unlike committees and task forces, are not advisory to the Board. This does not preclude interest groups from raising Board awareness on appropriate issues.

### ***Board Oversight and Interest Group Reporting***

The executive director, an ex-officio member of the Board, is responsible for oversight of all interest groups, and all interest group reports will be sent to the executive director in the fall. Any issues that require Board attention will be brought forward from the interest group through the executive director to the Board.

## **Formation**

### ***Timing to Submit Interest Group Proposals to the Board***

Before forming an SAA interest group, organizers must prepare a proposal for Board approval. New interest group proposals are generally only reviewed at the spring meetings of the Board. The reason for this timing is that an interest group, when approved, must be added to the membership forms for the coming year in order for members to be able to join. The deadline for documents for the spring meeting can be from early January to early February, depending on the dates of the annual meeting that year.

### ***Proposal Content***

The proposal must contain a concise statement that articulates the following:

- the proposed group's unique area(s) of interest and concern, consistent with the mission of SAA
- needs the interest group will address
- a statement of purpose
- services or activities the interest group will deliver and the resources required to do so; and
- a procedure for selecting (and rotating) the organizer/co-organizer position

The statement of purpose will be used in SAA promotions, communications, and billings as appropriate. An interest group must maintain a minimum participation of 25 SAA members, and the proposal should include the signatures of at least 25 participants. Signatures may be submitted digitally, but backup emails for the signatures must be retained by the organizer(s). All signatories must be members at the time the proposal is submitted as well as at the time the proposal is approved. A call for participation may be carried in *The SAA Archaeological Record*, once interest group formation has been approved and space for such a call is requested from the editor.

## Activities

### *Annual Meeting Activities*

An interest group may request space for one meeting at the SAA Annual Meeting and may submit proposals for symposia, forums, workshops, or special events (e.g., a field trip) that will be identified as being sponsored by the interest group. Please note that all field trip logistics will be handled through the official tour company for the meeting, for insurance purposes. You may work with the executive director on any proposed field trips. The deadline for field trip proposals is July 1, in the year prior to the meeting.

Given the growth in numbers of interest groups, SAA will schedule meetings of all new interest groups for Friday evening after the business meeting, using session rooms. This has benefitted many of the interest groups who wish to make use of the AV equipment for their meetings.

### *Newsletters*

SAA will publish digital newsletters for an interest group that provides copy. Interest groups may suggest special publications by submitting a proposal to the Publications Committee. Newsletters will be produced in accordance with the Society's editorial policies and production procedures. All newsletters are subject to review in order to ensure that accurate information about the Society is being distributed as well as to ensure that all permissions are secured for images and photographs. Interest group publications must include both the interest group name and the Society for American Archaeology's name and/or logo.

## Finance

An interest group may not assess dues or accumulate a general fund. An interest group may assess a fee for a service, with the review of the executive director, and if necessary, the approval of the Board. Fees must be collected through the Society's headquarters. Any service fees collected must be used in a single fiscal year (January–December). Monies cannot be carried over from one fiscal year to another. Leftover monies remain in the general fund, with specific exceptions. Per Board policy, the Society can request \$1 of the service fee to support the activities of the interest group. In reality, the executive director has never set that aside; therefore, the retention of unused funds (in most cases) in the general fund is a reasonable counterbalance to that practice.

Service fees should be as low as needed to fund the specific service for which they are established. At this time, very few interest groups have such fees.

## Organizational Support

The Board support to all interest groups will be from the Society's executive director, as noted above. Day-to-day support will be provided by the manager, Membership and Marketing and the coordinator, Membership and Meetings.

SAA will provide the following services to interest groups:

- maintain rosters (using the same address the interest group member uses for his/her SAA membership)
- collect and disperse any fees for a service
- coordinate the electronic distribution of any newsletter or special publication
- schedule one meeting at the Society's annual meeting
- provide occasional space, as available, in *The SAA Archaeological Record* for information on interest group activities and services, as determined by the sitting editor of *The SAA Archaeological Record*
- provide website space, including iMis communities ***Please Note: All archaeological web content needs approval before it can be posted. The staffer responsible for that review is the manager, Education and Outreach, SAA's staff archaeologist. In fact all content is reviewed by staff prior to posting. If an interest group has a web page being maintained in another domain, the executive director must be informed, and that site must go through the same review processes. Interest groups are encouraged to use SAAweb for their pages. The web re-design will accommodate the expressed needs of interest groups.***

## Membership

### Application Policy

[Originally specified in the bylaws and reaffirmed as a Board policy in Motion 121-73.3 (October/November 2008)]

The following membership procedures shall be followed:

- a) Applications for membership shall be submitted to the Board in such form and accompanied by such supporting documents as the Board may determine.
- b) The Board may assign a committee and/or staff to assist the Board in the processing of membership applications, and in the overall appraisal, ruling or interpretation of questions and inquiries relating to membership.

### Data Privacy Policy

[Adopted in Motion 140J-27.1 (March 2018)]

#### Privacy Policy

*Effective March 16, 2018*

Society for American Archaeology (“SAA”) is committed to protecting your privacy. This Privacy Policy describes how SAA collects, uses, and shares your information when you use and interact with our Services and applies to all persons who use our Services (“Users”). Our Privacy Policy governs your access to and use of all SAA operated and controlled websites including <http://www.saa.org/> (the “Websites”), all other publicly available online services controlled or provided by SAA (collectively, the “Services”).

If you have questions about SAA’s Privacy Policy or practices, or if you need to contact us about the information we collect about you, our contact information is at the end of this Privacy Policy.

## **Applicability & Eligibility**

### **Applicability**

This Privacy Policy applies only to the Services, and SAA’s collection, use, disclosure, and protection of your data. It does not apply to third party websites, applications, or services.

Before accessing, using, or interacting with the Services you should carefully review the terms and conditions of this Privacy Policy. Your use of the Services is further governed by our Terms of Service (<http://www.saa.org/Home/TermsOfService/tabid/1562/Default.aspx>), which is also incorporated into your agreement with SAA by this reference.

### **Eligibility To Use The Services**

The Services are not directed to children under the age of 16.

### **Information Collection & Use**

SAA collects data about you and your use of the Services through various means, including when you provide information to us such as when you join, sign up for a membership, donate, register for events and

seminars, and when we automatically collect information about you when you access, use, or interact with the Services. We use this information for a variety of different reasons, including to improve the Services and to tailor the Services to you.

SAA processes Personal Data collected through the Services on the lawful basis of legitimate interests to provide the Services to you. Such processing is necessary for the purposes of the legitimate interests pursued by SAA or by our Service Providers related to the Services.

The types of information SAA may collect about you include:

### **Information You Provide To Us:**

**SAA Membership & Event Information:** SAA collects certain Personal Data from you when you join the SAA or register for SAA events. “Personal Data” refers to information about you that may be used to identify you, such as your first name, last name, title, email address, phone number, and mailing address. SAA uses this information to provide your membership, register you for events, provide information about memberships and events, and administer your registrations with SAA.

**SAA Account Information:** SAA may require you to register for an account (a “SAA Account”) in order to use certain Services, such as the SAA Marketplace. We do not require you to register to use all of our Services. However if you do register for Services offering a SAA Account, you will gain access to those areas and features of the Services that require registration. SAA will collect certain information about you in connection with your registration for your SAA Account, which may include Personal Data and other information such as a username, password, personal profile, pictures, your location, and information about your contacts. Some of your SAA Account information may be displayed publicly. You are not required to provide your Personal Data; however, if you choose to withhold certain Personal Data, we may not be able to provide you with certain Services

### Life Member Dues

[Adopted in Motion 114/72.2 (March/April 2005)]

The Board approves raising the life membership fee to \$5000, with the additional stipulation that every future dues increase of \$5 shall increase the then current life membership fee by \$200.

[Adopted in Motion 117-72B (October 2006).]

Motion 117-72B The Board of Directors approves raising life membership dues to 200 times the current regular SAA membership fee effective 2008.

### Member Benefits

[Originally specified in the Bylaws and clarified and expanded as Board policy in Motion 121-73.4 (October/November 2008)]

The annual dues for members shall include a subscription to publications of the Society as determined by the Board:

**Professional Member** (Previously “Regular Member”) – *The SAA Archaeological Record* and one journal (either *American Antiquity* or *Latin American Antiquity*).

**Student Member** – *The SAA Archaeological Record* and one journal (either *American Antiquity* or *Latin American Antiquity*).

**Retired Member** – *The SAA Archaeological Record* and one journal (either *American Antiquity* or *Latin American Antiquity*).

**Joint Member** – receives publications via member spouse or partner.

**Avocational/Associate Member** – *The SAA Archaeological Record*.

**Life Member** – *The SAA Archaeological Record* and one journal (either *American Antiquity* or *Latin American Antiquity*).



## Publications

### Advertising

[Adopted in Motion 102-27D (March 1999); based on current staff policy; also see Executive Committee meeting 46, item 12 (April 1983); Executive Committee Meeting (34EC1), item b (April 1969); 15th Annual Meeting, item d (May 1950).]

Advertising may appear in SAA's publications. Acceptance of advertising is based on legal, social, professional, and ethical considerations. SAA publications are published for and on behalf of the membership to advance the scientific and educational purposes of the society. The society, therefore, reserves the right to, unilaterally, reject, omit, or cancel advertising which it deems not to be in the best interest of these objectives, or by its tone, content, or appearance is not in keeping with the essentially scientific and scholarly nature of its publications. The advertised products and services must complement the tone of SAA's journals and other publications.

SAA reserves the right to refuse advertising submitted for printing in any publication which in the society's judgment (1) offers for sale, exchange or barter any historic or prehistoric artifact; (2) provides misleading information because of omissions or inaccuracies; (3) manifests any overtones of age, race, color, religion, gender, sexual orientation, national origin, physical handicap discrimination unless such ads are edited to eliminate objectionable material.

### Color Illustrations in Journals

[Reaffirmed in Motion 102-27D (March 1999); adopted in Motion 101-55A (November 1998).]

The Board approves the following policy for use of color illustrations in *American Antiquity* and *Latin American Antiquity*: When articles are accepted by the journals that would, in the opinion of the Editor(s), truly benefit from the inclusion of one or more color illustrations, such illustrations may be included at the Editors' discretion, provided the author pays the additional publication costs as set out in a standard rate schedule.

[Because inclusion of multiple articles with color illustrations in a single issue of a journal may cause production problems for SAA staff, Editors should coordinate use of color carefully with the Manager of Publications.]

### Curation Policy for Editorial Records

[Adopted in Motion 109-55.1 (November 2002)]

Motion 109-55.1B The Board adopts the following curation policy for editorial records:

1. The following records (paper and/or electronic) should be saved and transmitted from one editor to the next during the four-month editorial transition: templates for letters, files for manuscripts still under consideration or in process, lists of reviewers, files of editors' reports, and any other materials relating to ongoing policy or unfinished business of interest to the incoming editor.

2. Files pertaining to rejected and accepted manuscripts should be destroyed after three years. Outgoing editors would not transmit these materials (except selectively at the request of the current editor), but would curate them temporarily and then take care of destroying and recycling them.
3. Editors should send to the Executive Office at the ends of their terms any files for which legal or ethical issues have been raised.
4. Editors should submit to Executive Office at the ends of their terms a summary list of authors and titles for all manuscripts received, accompanied by their dispositions.

### **Editor Appointment Procedures**

[Reaffirmed in Motion 102-27D (March 1999); approved in Motion 98-64C (April 1997); amended in Motion 103-55B (November 1999).]

The following procedure will be used in selecting or reappointing editors of *American Antiquity*, *Latin American Antiquity*, *SAA Bulletin*, and SAA monographs:

- a. Upon recommendation by the Publications Committee, a sitting editor may be reappointed once by the Board without a formal search; however, subsequent reappointments must be preceded by a search (as outlined in steps b through e below).
- b. Approximately 20-24 months before the current Editor's term expires, a request for proposals (RFP) from prospective editors will be issued by the Publications Committee.
- c. The Committee will review the proposals and, if necessary, identify additional candidates.
- d. No fewer than 18 months before the current editor's term expires, the committee will submit a ranked list of names to the Board, together with a rationale for the ranking.
- e. The Board will review the ranked list (normally at its Fall meeting) and make a final decision on the order in which the candidates will be approached.
- f. The President will extend invitations to the prospective editors, in the order approved by the Board, with the aim of having an Editor-designate in place by the Annual Meeting approximately one year before the current Editor's term expires.

### **Memorandum of Understanding for Editors**

[Updates November 2020; Adopted in Motion 140-27.4 (October 2017)]

#### **MEMORANDUM OF UNDERSTANDING FOR THE PUBLICATION OF**

#### **[Journal title]**

This Memorandum of Understanding states the terms of the agreement between the Society for American Archaeology (“SAA”) and [Journal Editor] (the “Editor”) of [Journal title] (the “Publication”).

The Memorandum of Understanding is in effect immediately through the transition year and [term beginning date] to [term ending date], the term of the Editor.

#### **EDITORIAL**

1. **APPOINTMENT/TERM OF OFFICE.** [Journal Editor] been appointed Editor of [*Journal title*] beginning [term beginning date] and ending [term ending date]. This Memorandum of Understanding is in effect for the period of the term as Editor as provided herein.
2. **MEMBERSHIP.** It is understood that the Editor are and will remain members of SAA in good standing during the term of office. As such, the Editor will be entitled to all the benefits of membership, as well as all the responsibilities that entails.
3. **CONDUCT.** Because Editor is accepting a position that elevates them into positions of high esteem and regard in the community, it is important that Editor engage in conduct that reflects well upon the SAA. Editor agrees to follow the SAA Principles of Archaeological Ethics, Cambridge University Press's Research Publishing Ethics Guidelines, and the Cambridge University Press Code of Ethics and Dignity at Work Policy.
4. **NON-COMPETITION AND NON-DISCLOSURE.** The Editor will not to act in a significant Editorial capacity and will not serve on the Editorial board of any competing (non-SAA) publication during the term of the Editor and agrees not to disclose or make use of any confidential information relating to [*Journal title*] at any time during or after the appointment and during both the Editorship and transition period when the incoming Editor serves as Editor-designate. This includes the obligation to keep confidential all information about the specific terms of the agreement to publish with Cambridge University Press, subscription and financial data about the [*Journal title*], and other sensitive information to which the Editor may be privy.
5. **EDITORIAL MANAGEMENT**  
 The Editor, on behalf of the SAA, shall have overall responsibility for the quality and content of the journal and for its Editorial management. The Editor are responsible for
  - a. using the established workflows of the standard peer review system provided by the Publisher or SAA (Editorial Manager®)
  - b. solicitation of manuscripts
  - c. receipt of manuscripts
  - d. timely peer review process
  - e. accepting or rejecting submissions
  - f. preparation of manuscripts
  - g. submission of a sufficient number of peer reviewed and accepted articles, so as to ensure regular publication of the journal
  - h. ensuring that all journal contributions submitted to the Publisher are complete
  - i. reading page proofs, checking authors' corrections, and returning corrected proofs to the Publisher in a timely manner
  - j. ensuring that all articles are original and are not libelous, defamatory, confidential, infringing of any third-party's legal rights, or otherwise unlawful with the authors
  - k. signed Copyright Transfer Agreements or Exclusive License to Publish forms for each book review, article, or content published in the Journal
  - l. additional responsibilities as the parties may agree on

## 6. EDITORIAL SUPPORT

SAA has agreed to the following Editorial support annually for the years [20XX] to [20XX], upon receipt of an invoice from the respective Editor (or Book Review Editor) for the following sums:

- [insert support]

Editor should invoice the Society for American Archaeology in each of the years for which they will be Editor by emailing an invoice to: [publications@saa.org](mailto:publications@saa.org) or mailing an invoice to:

Society for American Archaeology  
1111 14<sup>th</sup> Street NW  
Suite 800  
Washington DC 20005

SAA will also pay the airfare for the Editor from their home base to the [20XX] through [20XX] SAA Annual Meetings (or through the years they serve as Editor.) SAA will also provide a hotel room at the Annual Meeting for those years from Wednesday through Saturday nights. SAA does not pay for food or other expenses at the meeting.

7. **DISPUTE RESOLUTION.** (a) Issues and questions regarding production – see paragraph 10 (i.e., schedule, format) should be brought directly to the attention of the SAA Executive Director. All disputes relating to or arising out of the Memorandum of Understanding will be referred to the Executive Director and President of SAA for resolution. The decision of the Executive Director and President will reflect the decision of the Board of Directors and will be final and binding upon all parties.
8. **TERMINATION.** It is expected that the Editor will complete the term as stated, but circumstances could require an earlier termination date. This Memorandum of Understanding may be terminated early as follows:
  - a. Termination without cause
    - i. By the Editor, with written notice, 12 months prior to the effective date of termination;
    - ii. By mutual agreement between the Editor and Board of Directors with less than 12 months notice;
    - iii. Death of one of the Editor; or
    - iv. By either the Board of Directors or the Editor for disability that precludes the Editor's effective performance of Editorial duties.
  - b. Termination of Editor, by Board of Directors, for cause upon written notice to Editor based upon any of the following:
    - i. Gross negligence or malfeasance in the performance of duties under this Memorandum of Understanding;
    - ii. Material breaches of this Memorandum of Understanding;

- iii. Acts of fraud, misrepresentations, theft, embezzlement, or misappropriation of SAA assets;
- iv. Conviction of a felony, or any other crime involving moral turpitude; a finding by the Institution employing the Editor that the Editor engaged in serious misconduct; an adverse finding in a discrimination or harassment lawsuit or related administrative complaint; or a current or pending disciplinary action, such as suspension or termination of registration resulting from a Register of Professional Archaeologists' grievance investigation .

## **PUBLICATION PRODUCTION**

- 9. **FREQUENCY.** The Publication will be published 4 times a year.
- 10. **PUBLICATION SPECIFICATIONS.** The budget for this Publication is based on production of 880 typeset pages in the budget per year.
- 11. **PRODUCTION SCHEDULE.** Cambridge University Press is responsible for the Production Schedule. The Editor will work with SAA's Cambridge production Editor to meet that schedule. The Editor agrees to deliver completed manuscripts to Cambridge University Press by the dates specified in the annual Production Schedule.
- 12. **INCOMING EDITOR.** It is expected that the Outgoing Editor will provide assistance to the Incoming Editor throughout the transition. There should be an explicit agreement stating the dates for the transfer of incoming manuscripts, databases, and/or books for review, and office records to the Incoming Editor.
- 13. **RECEIPT OF MANUSCRIPTS.** Authors will submit their manuscripts through Editorial Manager® directly to the Editor for consideration.
- 14. **PREPARATION OF MANUSCRIPTS.** The Editor are responsible for preparing the manuscripts for each issue, including substantive editing, references, and all tables and figures. To facilitate electronic searching, each article must have both an abstract and a list of at least five keywords. The copy should be fully and completely edited in accordance with the current Instructions for Authors/SAA Style Guide, which is the responsibility of the Editor. Substantive editing is the responsibility of the author and/or Editor.
- 15. **BOOK REVIEWS.** The Editor is responsible for appointment of any section editors, such as the section of book reviews. The Editor has ultimate authority and responsibility that the manuscripts for the issue, including substantive editing. The copy should be fully and completely edited in accordance with the current Instructions for Authors/SAA Style Guide, which is the responsibility of the Editor. Substantive editing is the responsibility of the author and/or Editor.
- 16. **AUTHOR AGREEMENT FORMS.** The Editor are responsible for issuing and collecting SAA-provided Copyright Transfer Agreement or Exclusive License to Publish forms from authors of all articles accepted for publication. These and relevant permissions required for use of third-

party content must be sent to Cambridge University Press at the same time as the manuscript package (see Paragraph 13). The Publisher will not proceed with production until all Copyright Transfer Agreements or Exclusive License to Publish forms are received.

17. **PRODUCTION.** Production of the Publication (including both print and digital versions) is the responsibility of Cambridge University Press in compliance with SAA's agreement with Cambridge University Press. This responsibility includes, but is not limited to, copyediting (i.e., correcting punctuation, spelling, reference style, format, etc.), typography, cover design, front matter elements and arrangement, length of issues, and production schedules. Substantive editing is the responsibility of the author and/or Editor.
18. **MANAGEMENT OF THE PUBLICATION.** The Editor are expected to observe general policies and practices—currently in effect, or as subsequently amended—defined in the SAA Style Guide. Changes to the Style Guide are proposed from all Editor to the chair, Publications Committee, and then submitted to the Board of Directors by the chair, Publications Committee, for approval.

Should a matter relevant to the publication or to matters of SAA policy arise, the Editor may consult with the chair, Publications, and the SAA President, as need arises.

19. **EDITORIAL BOARD.** The Editor will appoint all members of the Publication's Editorial Board. The Editor will convene its Editorial Board at the SAA Annual Meeting and will invite Cambridge University Press representatives. As described above, SAA will pay Editor airfare and hotel rooms. Individual Editorial Board members are responsible for their own travel expenses. The SAA will organize a room or digital platform to support the Editorial Board meeting. Cambridge University Press is responsible for travel of its representative(s).
20. **REPORTING.** The Editor will report to the SAA Board of Directors twice a year, meeting the established deadlines for the fall and spring meetings respectively. The reports will also be conveyed to the chair, Publications, as any actions requested from the Editor must come through the Publications Committee. The deadlines for reporting will be provided in the Call for Documents distributed by the secretary of the Society or the Executive Director. These deadlines are often at the end of January and early September.
21. **NATIONAL ANTHROPOLOGICAL ARCHIVES.** The Society for American Archaeology maintains its records at the National Anthropological Archives. The Editor must retain a summary annual list of authors and titles for all manuscripts received, accompanied by their disposition, and a list of reviewers for each title reviewed. This list can be extracted from Editorial Manager annually and should be sent to the Chair of the Archive Committee, preferably within six years of the conclusion of the Editor's term (or sooner).
22. **INDEPENDENT CONTRACTOR:** The Editor are not employees of SAA and nothing contained in this Memorandum of Understanding is to be construed to constitute the Editor and SAA as partners or joint venturers of each other, or to constitute the employees, agents or representatives of either party as the employees, agents or representatives of the other party, it being intended that the relationship between Editor and SAA shall at all times be that of independent contractors.

23. **PROPRIETARY INFORMATION:** Any information, materials, or other work created by Editor in the course of performing the services under this Memorandum of Understanding shall be considered a work made for hire pursuant to 17 U.S.C. §§ 101 and 201(b) and shall be the sole and exclusive property of SAA. To the extent that any work or portion thereof may not be considered a work made for hire, for whatever reason, Editor agrees to and does hereby irrevocably transfer and assign to SAA any and all of its right, title and interest in and to the work, including ownership of all copyright rights and registrations, without the necessity of any further consideration. Subcontractor further agrees to do all things and execute all documents necessary to perfect this assignment. The terms of this provision shall survive the termination or expiration of this Memorandum of Understanding.
21. **ENTIRE MEMORANDUM OF UNDERSTANDING.** This Memorandum of Understanding is entire and all negotiations and understanding have been merged herein. This Memorandum of Understanding may be amended only in writing executed by the Editor and the SAA Executive Director.

[Journal Editor]  
Editor

Oona Schmid  
Executive Director

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

### Process for Selection of New Editors

[Adopted in Motion 139/55.2A and 139/55.2B (Spring 2017)]

The Board establishes that editors of its journals will normally serve one three-year term. Under no circumstance will an editor serve more than two consecutive terms

At the discretion of the Board, an editor may be asked at the beginning of the second year of the first term, to serve a second three-year term.

### Journal Editor Reports

[Adopted in Motions 127-56B and 127-57B (March /April 2011)]

Motion 127-56B – The Board requests that each report from the Editor, American Antiquity, include a table that shows the total estimated journal pages for manuscripts in the three categories of (1) accepted, (2) revise and resubmit, and (3) under review. If the estimated journal pages look like they will exceed the two issue carryover to the next editor please include a statement on how you will keep the journal to the number of pages allocated to your editorship.

Motion 127-57B – The Board requests that each report from the Editor, *Latin American Antiquity*, include a table that shows the total estimated journal pages for manuscripts in the three categories of (1) accepted, (2) revise and resubmit, and (3) under review. If the estimated journal pages look like they will exceed the two issue carryover to the next editor please include a statement on how you will keep the journal to the number of pages allocated to your editorship.

### **Editor Responsibilities**

[Originally specified in Bylaws and reaffirmed as policy by the Board in Motion 121-64.1 October/November 2008]

- a. The Editor of each publication of the Society shall be appointed by the Board, on recommendation by the Publications Committee, for a term to be determined by the Board, and shall be subject to such editorial policy as may be adopted by the Board.
- b. The Editor of each publication shall have such responsibility and authority as delegated by the Board.
- c. Each Editor may, subject to review by the Board, appoint such associate and assistant editors as may be required, in addition to clerical and editorial assistance subject to authorization and budget approval by the Board.

### **Editorial Office Responsibility re: Conflicts**

[Adopted in Motion 121-27.1 (October/November 2008)]

SAA editors who become aware of potential conflictive/litigious situations or receive notification that material in SAA publications may be/is defamatory or libelous or involving intellectual property theft should immediately notify the President and Executive Director.

### **Editor Transition**

[Reaffirmed in Motion 102-27D (March 1999); approved in Motion 98-64D (April 1997); amended in Motion 103-55C (November 1999).]

SAA regards its journal editors as stewards of an ongoing process (soliciting and receiving manuscripts, sending them out for review, making editorial decisions, and overseeing production), rather than as "owners" of particular issues. Normally, an Editor's term will last three years; editorial terms expire on March 31 for *Latin American Antiquity*, April 30 for *American Antiquity*, and May 31 for the *The SAA Archaeological Record* and at the Annual Meeting for the Editor of SAA Monographs. An Editor and Editor-designate, at their own discretion, may work out a reasonable division of labor during the period of transition; they are also expected to consult on a regular basis. In general, the Editor-designate assumes the responsibility for processing manuscripts well in advance of the beginning of the editor's term: 6-8 months in the case of the journals and 3 months in the case of *The SAA Archaeological Record* and SAA Monographs. However, the Editor alone is responsible for the publication until his or her term ends, at which point the responsibility is passed on to the successor.



Thus, it is expected that each editor will inherit a backlog of papers accepted by his or her predecessor, which will appear in issues published under the new editor's stewardship. At the same time, each editor has a responsibility to ensure that the backlog of accepted manuscripts passed on to his or her successor is not unreasonably large. By convention, the masthead of the journals and *The SAA Archaeological Record* will bear the name of the Editor holding office during the month printed on the issue's cover; the name of the Editor-designate will also appear in the masthead as soon as practicable after the appointment is made.

### **Editor-Designate for The SAA Press Selection Process**

[Adopted in Motion 114-56 (March/April 2005)]

One year prior to the expiration of the term of the current editor of The SAA Press, the Board shall appoint an editor-designate.

### **Obituaries, Annual Business Meeting Reports, and Award Citations**

[Adopted in Motion 102-27D (March 1999); based on Board discussion in minutes item 93/O/35 (September 1994).]

Obituaries, reports from the annual business meeting, and awards citations will generally be published in the *SAA Bulletin*, rather than in the journals.

### **Open Access Copyright Permission**

[Adopted in Motion 121-64.2 (October/November 2008)]

The Board authorizes authors of articles published in SAA journals to post those articles in open-access repositories once they are available through JSTOR.

### **Right of First Refusal Policy**

[Adopted in Motion 107-27.2D (November 2001).]

The Board establishes a right of first refusal policy for publications resulting from the activities of SAA units. The Board retains the right to determine whether any SAA units name will be used on any publication. SAA units include but are not limited to Committees, Task Forces, and Interest Groups.

### **The SAA Press Mission Statement**

[Adopted in Consent Motion 113-60.2 (November 2004).]

The Board adopts the following mission statement for The SAA Press:

The SAA Press publishes book-length works dealing with archaeological research, practice, and interpretation, and with protection of the archaeological heritage of the Americas. The SAA Press:

- Serves the profession by publishing high quality works of broad disciplinary interest, meeting the same standards as the Society's journals,

- Emphasizes theoretical and substantive works that are well defined and coherent,
- Provides a unique publishing venue for books on issues in the practice, context, and ethics of contemporary archaeology,
- Addresses the future of the profession through classroom readers and thematic volumes,
- Provides revenue to support the Society’s mission

## **The SAA Press Editor Appointment Process**

[Adopted in Motion 114-56 (March/April 2005).]

One year prior to the expiration of the term of the current editor of The SAA Press, the Board shall appoint an editor-designate.

## **Social Networking**

### **Policy and Guidelines**

[Adopted in Motion 123-27.1 (October 2009).]

#### **Policy**

The Society for American Archaeology (“SAA”) encourages all of its members to participate in public discussions through social networking including but not limited to social networking sites such as Facebook and Linked In, as well as blogs. At the same time, SAA expects that its members will make statements that are in the best interests of SAA and will not engage in any inappropriate statements or statements which would be detrimental to SAA as a whole. SAA retains the right, under its bylaws and policies, to take disciplinary actions against any member it determines is acting contrary to SAA’s interests.

#### **Guidelines**

Should any SAA unit wish to establish a group on any social networking site, the chair or organizer shall contact the SAA Executive Director and provide a plan for the development and maintenance of such a site. Please note that, if appropriate, there should be a link so that any non-member would be able to join SAA from the established social networking site. Please note that only official units (committees, interest groups) of the Society may establish social networking sites related to the Society.

Once approved, the SAA chair or organizer shall ensure that all SAA members who participate in the group are in compliance with the SAA Social Networking Policy noted above. Said policy will be distributed to all members of the unit. The chair or organizer must also post the following statement on the social networking site:

“While many of the individuals participating in this group are members of the Society for American Archaeology (SAA), the statements, views and opinions of individuals in this group are their own and are not those of SAA. As such, participants in this group acknowledge and agree that SAA shall not be responsible for any statements, content or other communication posted or disseminated through this group.”

Should the chair or organizer become aware that an SAA member has violated the SAA Social Networking Policy, the chair or organizer shall so inform the SAA Executive Director. The matter shall then be investigated, and the chair or organizer shall be notified of the outcome of such investigation.

Should the chair or organizer become aware of any inappropriate, defamatory or unlawful statements made by nonmembers participating in the group, the chair or organizer shall so notify the SAA Executive Director. The matter shall then be investigated, and the chair or organizer shall be notified of the outcome of such investigation.

Should SAA determine that an SAA unit's group is not acting in compliance with the SAA Social Networking Policy noted above, the SAA Executive Director shall so notify the chair or organizer who shall promptly correct any violations. Should such violations not be corrected promptly, SAA shall direct the chair or organizer to terminate the group.

Further while SAA members may use the name "Society for American Archaeology" and the acronym "SAA" in their postings on the social networking site, nonmembers may not use the name or acronym without prior consent of SAA. Any SAA members who observe such nonmember use of the name or acronym shall notify the SAA Executive Director.

## Technology

### List Serv Policy

[Adopted in Motion 122-27.4 (April 2009).]

*Motion 122-27.4 – The Board approves the SAA List Serv Rules for members only lists.* (April 2009)

Note: The Board has not yet taken action on list servs for open membership.

### SAA List Serv Rules

By joining and using SAA's e-mail lists, you agree that you have read and will follow the rules and guidelines set for these peer discussion groups. You also agree to reserve list discussions for messages relating to the list serv topic. General questions concerning SAA should be posed to [info@saa.org](mailto:info@saa.org) or [membership@saa.org](mailto:membership@saa.org).

As with any community, there are guidelines governing behavior on the list serv. For instance, violating antitrust regulations, libeling others, selling, and marketing are not permissible. Please take a moment to acquaint yourself with these important guidelines. SAA reserves the right to suspend or terminate membership on all lists for members who violate these rules.

- The discussions on the lists are meant to stimulate conversation not to create contention. Do not challenge or attack others. Let others have their say, just as you may and do not dominate the discussions.
- Contact people directly with products and services that you believe would help them. Do not post commercial messages.

- Use caution when discussing products. Information posted on the lists is available for all to see, and comments are subject to libel, slander, and antitrust laws.
- All defamatory, abusive, profane, threatening, offensive, or illegal materials are strictly prohibited. Do not post anything in a list serv message that you would not want the world to see or that you would not want anyone to know came from you.
- Remember that SAA and other e-mail list participants have the right to reproduce postings to this list serve.

## **Disclaimer and Legal Rules**

This list is provided as a service of the Society for American Archeology (SAA). SAA accepts no responsibility for the opinions and information posted on this site by others. SAA disclaims all warranties with regard to information posted on this site, whether posted by SAA or any third party; this disclaimer includes all implied warranties of merchantability and fitness. In no event shall SAA be liable for any special, indirect, or consequential damages or any damages whatsoever resulting from loss of use, data, or profits, arising out of or in connection with the use or performance of any information posted on this site.

Do not post any defamatory, abusive, profane, threatening, offensive, or illegal materials. Do not post any information or other material protected by copyright without the permission of the copyright owner. By posting material, the posting party warrants and represents that he or she owns the copyright with respect to such material or has received permission from the copyright owner. In addition, the posting party grants SAA and users of this list the nonexclusive right and license to display, copy, publish, distribute, transmit, print, and use such information or other material.

Messages should not be posted if they encourage or facilitate members to arrive at any agreement that either expressly or impliedly leads to price fixing, a boycott of another's business, or other conduct intended to illegally restrict free trade. Messages that encourage or facilitate an agreement about the following subjects are inappropriate: prices, discounts, or terms or conditions of sale; salaries; profits, profit margins, or cost data; market shares, sales territories, or markets; allocation of customers or territories; or selection, rejection, or termination of customers or suppliers.

You agree that SAA will not be responsible to you for any indirect, consequential, special or punitive damages or losses you may incur in connection with our list serve or any of the data or other materials transmitted through or residing on our list serve, even if SAA has been advised of the possibility of such damage or loss. In addition, you agree to defend and indemnify SAA, its officers, directors, employees, and agents and hold SAA, its officers, directors, employees, and agents harmless from and against any and all claims, proceedings damages, injuries, liabilities losses, costs and expenses (including attorneys fees) relating to any acts or omissions by you or materials or information transmitted by you in connection with our list serve leading wholly or partially to claims against SAA, its officers, directors, employees, or agents or our list serve by other users or third parties.

SAA does not actively monitor the site for inappropriate postings and does not on its own undertake editorial control of postings. However, in the event that any inappropriate posting is brought to SAA's attention, SAA will take all appropriate action.

SAA reserves the right to terminate access to any user who does not abide by these guidelines.

You agree that the law of the District of Columbia in the United States of America will apply to all matters relating to this Agreement and to our list serv. In addition, you agree and consent that, if there is ever any legal action against SAA, the state and federal courts of District of Columbia, USA, will have exclusive jurisdiction and be the exclusive venue for any such legal actions.

This agreement is the entire understanding between you and SAA regarding your relationship to our list serv. If either you or we fail to notify the other of any violations of this agreement, this will not mean that you or we cannot notify the other of future violations of any part of this agreement.

### **Acknowledgment and Acceptance**

I have read and understand the list serve Rules and agree to accept these rules and to use the list serve only in compliance with them.

**YES: CONTINUE**

**NO: EXIT**

## **Website**

### **Membership Directory Publication**

[Reaffirmed in Motion 102-27D (March 1999); approved in Motion 98-15A (April 1997); amended in Motion 103-60.1 (November 1999).]

The Board authorizes putting the Membership Directory up on SAAweb with member names and addresses restricted to member access on the private side of SAAweb.

### **SAAweb Copyright Information and Disclaimer Statement**

[Adopted in Motion 110-38.1 (April 2003).]

All materials posted on this site are subject to copyrights owned by the Society for American Archaeology (SAA) and other individuals or entities. Any reproduction, retransmission, or republication of all or any part of any document, image or sound clip found on this site is expressly prohibited, unless SAA or the copyright owner of the material has expressly granted its prior written consent to so reproduce, retransmit or republish the material. All other rights reserved.

The names, trademarks, service marks and logos of SAA appearing on this site may not be used in any advertising or publicity, or otherwise indicate SAA's sponsorship of or affiliation with any product or service, without SAA's prior express written permission.

Although SAAweb includes links providing direct access to other Internet sites, SAA takes no responsibility for the content or information contained on those other sites, and does not exert any editorial or other control over those sites.

## **SAAweb Linking Policy**

[Restated in Motion 102-27D (March 1999); adopted in Motion 101-61A (November 1998); Revised in Motion 121-61.2 (October/November 2008)]

### **Background**

Since its inception, SAAweb has linked to other sites and been linked from other sites on a rather ad hoc basis. Links to SAA's site have been established both with and without the permission of the Society. As we are continuing to develop the web in a structured environment, it is important to define those criteria which govern the permission or rejection of links to and from SAAweb.

The purpose of this document is to offer the Board criteria for links which relate to the realities of managing the site on a day-to-day basis.

### **Criteria for Linking From SAAweb**

As a general principal, all information displayed on the SAAweb will be stored on servers maintained by SAA. Exceptions may be made, as appropriate, by the executive director. As the web expands, it is likely that additional cases may arise.

Links to outside resources are subject to the criteria outlined below.

#### **1. Purpose of Links to External Sites and Responding to External Requests for Links**

The external resources sites should develop and exchange relevant information for the SAA membership and interested public.

Acceptance of links is based on legal, social, professional, and ethical considerations. SAAweb is developed for and on behalf of the membership to advance the scientific and education purposes of the Society. The Society, therefore, reserves the right to unilaterally reject, omit or cancel links which it deems are not in the best interest of these objectives.

SAA reserves the right to refuse links which in the Society's judgement, 1) offers for sale, exchange or barter any historic or prehistoric artifact; 2) provides misleading information because of omissions or inaccuracies; 3) manifests any overtones of age, race, color, religion, gender sexual orientation, national origin, or physical handicap discrimination; 4) in other ways are contrary to the ethics of the Society.

#### **2. Types of Links**

SAA will maintain three types of external links on SAAweb:

1) links to for-profit organizations or not-for-profit organizations from paid advertisements ( e.g. exhibitor web links for which there is currently a fee); 2) administrative links for operations purposes such as those links to software organizations for free software plug-ins needed to access SAA information etc.; and 3) links to non-profit organizations and government web sites with information regarding archaeology, education, or legislation.

### **3. Requirements for All External Links**

External resource links can only be made to sites for which we have: 1) a stable URL, and 2) an email address for the Administrator

### **4. Reciprocal Linking**

Reciprocal linking to the SAAweb is suggested, though not required. Links should be to the URL <http://www.saa.org/>. If appropriate, a more specific URL may be provided.

### **5. Use of SAA Logo**

Use of the SAA logo or graphics is only granted with written permission. Action will be taken to eliminate any unauthorized use of SAA's logo.

### **6. Disengaging a Link**

The Society for American Archaeology reserves the right to remove any link to an external site without notice.

Questions regarding the implementation of this policy may be directed to the executive director.

## **SAAweb Policies and Procedures for Archaeological Content**

[Adopted in Motion 122-61.1 (April 2009)]

### **I. Posting Archaeological Content**

In contrast with the products of administrative actions and Society business that are posted on the SAA website for effective dissemination to the membership and the community at large, "archaeological content" refers to material that primarily references the practice of archaeology or the knowledge products of that practice. Unlike administrative activity of the Society, which can be most efficiently evaluated by SAA staff, archaeological content requires review by a person or people with archaeological knowledge and expertise. Such content may be submitted through an SAA committee or interest group. In most cases, such content will be signed by the SAA member(s) who has authored the content.

Upon submission of archaeological content, the web manager for archaeological content ( an SAA staff member who is an archaeologist) will review archaeology content. If no current web manager for archaeological content is on staff, review will be provided by a Web Review subcommittee of the Publications Committee, established for such a purpose. As the web is a recognized publication, it is logical that like all content in publications, should issues arise, the Publications Committee would be the logical place for that process. In both cases, when additional review is warranted, the staff member subcommittee will solicit the advice of appropriate experts from the SAA membership. Review will be conducted for appropriateness and, if necessary, in the judgment of the SAA staff member or Web Review Subcommittee of the Publications Committee, for accuracy.

After archaeological content has been reviewed, the responsible SAA staff member will ensure the posting of archaeological content in appropriate sections of SAAweb. When the material is submitted, the submitters must indicate where their contributed content would best serve the disciplinary needs of the Society. The SAA staff content reviewer will alert the submitter when the material is posted on the SAA website, and the submitter reviews the final content. Any tech-editing needed at this point will be handled by the submitter working with the SAA staff content reviewer. Any new content added at this point should be treated as a new submission.

#### A. Addressing Potentially Controversial Archaeological Content

Content submitted through an SAA committee or interest group may be determined by the responsible SAA staff member (or the Subcommittee of the Publications Committee) as potentially controversial. Such controversial material may contradict official SAA policy, conflict with SAA position statements or be potentially offensive to SAA constituents or members of the public. In such cases, the material will be returned to the contributor for appropriate revisions. If the contributor disagrees with the assessment that the material is controversial or proposes that the controversy is necessary for discussion within the profession, the issue should be taken to the Executive Committee, through the executive director. The material will be evaluated, and it will be determined whether it should be posted, revised, or removed from consideration for posting on the SAA website. If necessary, the Executive Committee can consult with SAA members who may be able to provide expertise on the matter.

#### B. Responding to Archaeological Content That Becomes Controversial

Despite precautions defined above, the possibility remains that material posted on the SAA website becomes controversial. Once staff are notified of any controversy, the material will be made inaccessible from the website until the Executive Committee determines its disposition and whether any additional actions should be taken to address the controversy.

### II. Reviewing Existing Content

#### A. Facilitating Review of the Archaeological Content for SAAweb

All newly added pages on the SAA website should have a time stamp of the last reviewed/updated date.

#### B. Reviewing Archaeological Content

SAA committees and interest groups responsible for archaeological content on SAAweb are expected to develop their own internal procedures for routinely evaluating existing material and providing new material. These procedures should be documented and a copy of the documentation forwarded to the executive director. The procedures will be reviewed prior to posting/launching the new committee or interest group pages.

Minimally, all archaeological content should be evaluated annually by the responsible SAA committee or interest group that has provided the material to ensure that the content does not require updating or removal. If either action is needed, the committee or interest group responsible for the original posted material will provide such changes. The spring report to the Board from the committee chair or interest



group organizer will include an update on the maintenance of the committee's/interest group's web pages. The staff archaeological content web manager can also suggest that new material be added to/removed from the website; however, it is not a staff responsibility to provide the continuous review/updates to those pages generated by committees and interest groups.

## **SAAweb Policy and Guidelines for SAA Committees and Interest Groups**

[Adopted in Motion 122-61.2 (April 2009)]

### **Background**

With regard to the newly launched site, the Board recognizes that there is a backlogged demand from SAA committees and interest groups relative to establishing a presence on SAAweb. In light of that, the Board has determined to both set expectations and provide guidance for that purpose. In order to address a number of the basic issues entailed in such web undertakings, committees and interest groups must familiarize themselves with both these guidelines and the relevant existing policies that will impact on the development of pages for SAAweb. The purpose of this document is to both present the guidelines and provide a compilation of the key policies. All SAA policies may be found in the policy manual posted on the members' side of SAAweb.

### **Staff Assistance**

First and foremost, it must be recognized that the Society has limited staff resources to devote to web development, as one manager is responsible for all of the technology services that the Society has to offer. As a result, projects will be prioritized and completed as expeditiously as possible, within the constraints of the overarching Information Services program. Logically, within the last 8 weeks prior to the annual meeting, no new initiatives can be undertaken, given the priority of the production of the annual meeting materials. In addition, changes and updates to the sections of the site created by SAA committees and interest groups should be scheduled in advance.

### **Policies**

There are a number of existing policies which specifically address the development of SAAweb pages. All SAA committees and interest groups should review and consider these policies prior to developing content for the web:

- ▶ Policy on Review and Posting Archaeological Content for the Web [Adopted in Motion 122-61.1 (April 2009)]
- ▶ Copyright and Disclaimer Statement [Adopted in Motion 110-38.1 (April 2003)]
- ▶ Links from SAAweb [Updated in Motion 121-61.2 (October/November 2008); Restated in Motion 102-27D (March 1999); adopted in Motion 101-61A (November 1998).]

These policies are reproduced in their entirety in Appendix A.

### **Who May Post on SAAweb?**

Staff are solely responsible for the administrative, governance, the technological, and the transactional sides of SAAweb. Also included is the responsibility for posting publications as well. Other postings may come through a committee or an interest group. No posting from individual members other than through a committee or interest group will be considered. Task forces may also use the web as a tool to disseminate their work, as determined by the Board.

### **Responsibilities of the SAA Committee/Interest Group Wishing to Develop Web Pages**

1. Review all of the existing policies listed to ensure that all materials posted meet SAA requirements.
2. Discuss the development of the pages with SAA's manager, Information Services to develop a timeframe and launch date for the pages. In order to establish the calendar, be aware of the need for review, if the pages contain archaeological content. All material that will be posted will need to be "web ready". Instructions for preparing those documents will be disseminated by the manager, Information Services.
3. In addition to developing the pages, a committee or interest group must establish a reasonable plan for the review and update of the pages or the links within them on a quarterly, semi-annual, or annual basis. The timeframe will be based on the content. Naturally, anything that needs urgent attention will receive it as soon as practical (i.e. a dead link is discovered). A copy of the maintenance plan must be shared (electronically) with the executive director. It is critical that the decision to develop pages be a commitment by the entire group – not one person in the group, as the commitment to the pages will go beyond any one individual's service on a committee or potentially within the interest group. If pages developed by a committee or interest group are not maintained, the Board may recommend that they be removed.
4. In the annual report to the Board each spring, a committee or interest group responsible for web pages must report, in general terms, (no specific details) about the maintenance of those pages relative to their established maintenance plan.
5. Copyright and linking permissions must be in writing. Those permissions must be conveyed to staff for review and archiving. No copyrighted material can be posted nor links made without the documentation being conveyed.
6. Before submitting the pages to the Society for review, they must be shared with the Board liaison to the committee or interest group. The liaison is responsible for a preliminary review prior to formal submission.

### **Responsibility of the Board**

The Board of Directors of the Society for American Archaeology reserves the ultimate authority to post, edit or remove SAAweb pages, as they judge to be in the best interests of the Society.

## **Appendix A**

### **Copyright and Disclaimer Statement**

[Adopted in Motion 110-38.1 (April 2003).]

All materials posted on this site are subject to copyrights owned by the Society for American Archaeology (SAA) and other individuals or entities. Any reproduction, retransmission, or republication of all or any part of any document, image or sound clip found on this site is expressly prohibited, unless SAA or the copyright owner of the material has expressly granted its prior written consent to so reproduce, retransmit or republish the material. All other rights reserved.

The names, trademarks, service marks and logos of SAA appearing on this site may not be used in any advertising or publicity, or otherwise indicate SAA's sponsorship of or affiliation with any product or service, without SAA's prior express written permission.

Although SAAweb includes links providing direct access to other Internet sites, SAA takes no responsibility for the content or information contained on those other sites, and does not exert any editorial or other control over those sites.

### **Links from SAAweb**

[ Updated in Motion 121-61.2 (October/November 2008); Restated in Motion 102-27D (March 1999); adopted in Motion 101-61A (November 1998).]

### **Background**

Since its inception, SAAweb has linked to other sites and been linked from other sites on a rather ad hoc basis. Links to SAA's site have been established both with and without the permission of the Society. As we are continuing to develop the web in a structured environment, it is important to define those criteria which govern the permission or rejection of links to and from SAAweb.

The purpose of this document is to offer the Board criteria for links which relate to the realities of managing the site on a day-to-day basis.

### **Criteria for Linking From SAAweb**

As a general principal, all information displayed on the SAAweb will be stored on servers maintained by SAA. Exceptions may be made, as appropriate, by the executive director. As the web expands, it is likely that additional cases may arise.

Links to outside resources are subject to the criteria outlined below.

### **1. Purpose of Links to External Sites and Responding to External Requests for Links**

The external resources sites should develop and exchange relevant information for the SAA membership and interested public.

Acceptance of links is based on legal, social, professional, and ethical considerations. SAAweb is developed for and on behalf of the membership to advance the scientific and education purposes of the Society. The society, therefore, reserves the right to unilaterally reject, omit or cancel links which it deems are not in the best interest of these objectives.

SAA reserves the right to refuse links which in the society's judgement 1)offers for sale, exchange or barter any historic or prehistoric artifact; 2)provides misleading information because of omissions or inaccuracies; 3)manifests any overtones of age, race, color, religion, gender sexual orientation, national origin, or physical handicap discrimination; 4) in other ways are contrary to the ethics of the Society.

### **2.Types of Links**

SAA will maintain three types of external links on SAAweb:

links to for-profit organizations or not-for-profit organizations from paid advertisements ( e.g. exhibitor web links for which there is currently a fee);

administrative links for operations purposes such as those links to software organizations for free software plug-ins needed to access SAA information etc.;

and links to non-profit organizations and government web sites with information regarding archaeology, education, or legislation.

### **3. Requirements for All External Links**

External resource links can only be made to sites for which we have: a stable URL and an email address for the Administrator

### **4. Reciprocal Linking**

Reciprocal linking to the SAAweb is suggested, though not required. Links should be to the URL <http://www.saa.org/>. If appropriate, a more specific url may be provided.

### **5. Use of SAA Logo**

Use of the SAA logo or graphics is only granted with written permission. Action will be taken to eliminate any unauthorized use of SAA's logo.

### **6. Disengaging a Link**

The Society for American Archaeology reserves the right to remove any link to an external site without notice.

Questions regarding the implementation of this policy may be directed to the executive director.