New Mexico Commission of Public Records - State Records Center and Archives

STRATEGIC PLAN
Fiscal Years 2001 - 2005
2004 Update

Understanding New Mexico through Its Public Record

Management Team:

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EXECUTIVE SUMMARY

From 1996 through 2000, the Commission of Public Records made significant improvements by following a strategic plan adopted in 1996. The cycle of that five-year plan ended in FY00, and so a new cycle was initiated. Early in Fiscal Year (FY) 1999 the management team began the strategic planning process for the next five years with an assessment of the internal and external environments. A review of the statutory duties of the Commission, the State Records Administrator, and the agency followed. The management team sought to validate its functions and to identify any areas that had been neglected or overlooked.

Building on the results of various strategic planning exercises, the management team discovered that opportunities, along with challenges, are presented the Commission as a result of technology. Therefore, technology figures prominently in the strategic initiatives of this plan. It was also evident that the agency needed to promote its mission and its services to its constituents in order to effect real improvements in government record repositories.

The original *Strategic Plan, Fiscal Years 2001 – 2005* was widely circulated – to all staff and to agency constituencies – to solicit comments. Consequently, the plan synthesized ideas from the Commission, the management team, employees, and those that use or benefit from services that the agency provides. In 2002, the mission was revised to better demonstrate the impact the agency proposes to have in the future. In the planning process, critical issues were carefully considered and became the foundation for the ensuing strategic initiatives, strategies, and action plans.

Each year the *Fiscal Years 2001 – 2005 Plan* adopted in 2000 is updated, based on the experience gained in the previous years and changes in the operational environment. The *Fiscal Year 2004 Update* presented here derives from a planning review conducted on May 7, 2003. Members of the management team, bureau chiefs, activity managers, and two members of the Commission of Public Records participated in the review.

AGENCY OVERVIEW

The members of the COMMISSION OF PUBLIC RECORDS are:

Historian, specializing in NM history	**Stanley Hordes, Ph.D. (Chair) - appointed six-year term**
Secretary of State	**The Honorable Rebecca Vigil-Giron**
Attorney General	**The Honorable Patricia Madrid -** *Al Lama, Designee*
State Auditor	**The Honorable Domingo Martinez**
State Law Librarian	**Thaddeus Bejnar**
Secretary, General Services Department	**Edward J. Lopez Jr.**
Director, Museum of New Mexico	**Vacant**

In 1959, the newly adopted Public Records Act [Chapter 14, Article 3 NMSA 1978] charged the Commission with establishing a Records Center in Santa Fe and appointing a State Records Administrator to manage the facility. That facility is commonly known as the State Records Center and Archives (SRCA). The agency is perhaps more frequently also referred to by that name, although in statute it is designated as the Commission of Public Records. **Throughout**

this plan, the terms Commission of Public Records and State Records Center and Archives are used interchangeably in referring to the agency.

Sandra Jaramillo, the State Records Administrator, directs the SRCA staff of 36 FTEs ("full-time equivalent" positions). The SRCA protects and preserves New Mexico's permanent public records - records that in turn preserve and protect the rights of its citizens; provides records management for the State's public records; files, publishes, and preserves regulations promulgated by State agencies; and promotes access to and facilitates use of the State's public records.

For purposes of performance-based budgeting and the Accountability in Government Act, the agency has identified one program - Records*, Information, and Archival Management (RIAM)*. The identification of the program was drawn from the agency's strategic plan and is a theme that permeates much of the plan. Four sub-programs or activities are also identified: administration, public records management, administrative law, and New Mexico history.

Structurally, the SRCA is organized into four divisions and the Office of the Administrator. The divisions are Administrative Services, Archives and Historical Services, Records Management, and Administrative Law. The directors of these divisions, along with the Administrator, serve as the management team of the agency. The Deputy State Records Administrator also serves as Administrative Services Division Director. In addition, the agency provides staff and administrative support for the New Mexico Historical Records Advisory Board. Following are brief descriptions of the functions of these organizational units.

ADMINISTRATIVE SERVICES DIVISION

The Administrative Services Division provides support services to the program divisions of the agency. Those services include management, fiscal, personnel, building oversight, and information systems.

ARCHIVES AND HISTORICAL SERVICES DIVISION

The Archives and Historical Services Division maintains, preserves, and makes available to the public the permanent records of New Mexico. Consultation and research assistance are provided to State agencies, businesses, and the public. Archival documents are used to support the operations of government agencies, social services, and the judicial system. Archives help also support scholarly studies, document citizenship and family histories, and resolve land and water issues.

RECORDS MANAGEMENT DIVISION

Government offices maintain vast amounts of records containing information that their employees must be able to locate quickly. To continue to preserve these records and provide public access to them, a systematic records management program has been developed by this Division. Records management deals with the management and control of State agencies records - their use, storage, and transfer, from their creation to their final disposition. Efficient and economical management involves the description of records in use by State agencies. Record retention and disposition schedules provide this description and become the basic tool of an agency's record and information management program. This Division also offers warehouse management of inactive records as well as records disposition services and records management consultation.

ADMINISTRATIVE LAW DIVISION

The Administrative Law Division administers the State Rules Act that governs the official filing of rules and publication of developed by State agencies. Rules promulgated by State agencies are intended to support and implement the laws of New Mexico. For those rules to be valid, they must be filed with the SRCA and published in the *New Mexico Register*. The Administrative Law Division publishes the rules filed with it by State agencies as well as notices of intended rule making in the *New Mexico Register*. It also publishes the *New Mexico Administrative Code*, a free and searchable on-line compilation of those rules. Other regulatory instruments - interstate compacts and county sub-division regulations - must also be filed with the SRCA. These permanent State records can also be accessed through the Division and its web page.

NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

The New Mexico Historical Records Advisory Board was established to serve as the local advisory body for reviewing all New Mexico records preservation and access, or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission. Since its establishment, the Board has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. Six of the seven members of the Board are appointed by the Governor and include historians, records managers, and archivists representing public and private interests throughout the state. The State Records Administrator serves ex officio and is the Chair of the Board.

INTRODUCTION

Each State agency has a purpose; it is charged with certain duties and responsibilities. In a strategic plan, the mission statement provides a concise expression of that purpose, and it is from that purpose that all the other elements of the plan flow.

Two New Mexico statutes govern the Commission of Public Records, its facility, and staff. The Public Records Act [Chapter14, Article 3, NMSA 1978] and the State Rules Act [Chapter14, Article 4, NMSA 1978] mandate specific duties and processes that are addressed through rules promulgated and consultation and services offered by the agency. In consideration of the obligations imposed by statute and the public's demand for access to the State's public records, the mission of the Commission of Public Records follows.

I. MISSION

To preserve, protect, and facilitate the use of records that document the rights and history of New Mexicans, the Commission of Public Records oversees the management of those records.

To carry this out, the Commission:

❖ *Cultivates a workforce that is expert in:*
- archival management;
- records and information management;
- leading-edge technology;
- rule-filing methodology;
- materials management; and
- financial and human resource management.

❖ *Balances competing interests, including:*
- access versus preservation;
- openness versus confidentiality and privacy;
- acceptance of private records versus use of public funds;
- accountability for records versus demand for their use;
- limited human and financial resources versus multiple needs; and
- employee needs versus agency demands.

❖ *Improves government decision making by:*
- promoting records preservation, records management, and rules management;
- providing training in Records, Information, and Archival Management (RIAM); and
- recommending statewide initiatives that save tax dollars.

❖ *Fosters a worker-friendly environment, including:*
- open communication;
- flexible work schedules;
- safe work place; and
- consideration.

II.   FUNCTIONAL ASSESSMENT

This section of the plan outlines, by function, the statutory authority and rules that support the activities of the agency, its Commission, and its advisory board.   Following statutes and regulations, customers served by each function and major activities and tasks carried out are defined.

MANAGEMENT

Statutes: Commission of Public Records

NMSA 1978	Provisions
14-3-4	Hire the Administrator; approve the budget.
14-3-4	Adopt rules and regulations necessary to carry out the Public Records Act, e.g. record retention and disposition schedules (RRDS) and destruction of public records.
14-3-4	Resolve disputes over the disposition of public records
14-3-4	Request agency appointments of Records Liaisons
14-3-4	Report to the Governor on operations, costs, and effected savings.
14-3-5	Approve loan or donation of material to the State Archives.
14-3-10	Resolve disagreements about the value of records between State agencies and the Administrator.
14-3-14	Appoint advisory committees to study public records issues.
14-3-15	Adopt minimum standards for microphotography systems.
14-3-15.1	Adopt procedures, schedules, and technical standards for the retention of computer databases and rules governing the access to database information.
14-3-15.2	Adopt standards for electronic signatures
14-3-21	Adopt uniform standards for manuals of procedure, State agency rules and regulations (except session laws), and official reports (except budget).
14-3-22	Adopt regulations setting uniform standards for State agency publications to minimize expenses; supervise such publications; report persistent violations to the Secretary of General Services.

Statutes: State Records Administrator

NMSA 1978	Provisions
14-1-7	Review and act on notices from county officials of their intent to destroy county records; claim the records if they are to be preserved.
14-3	Carry out the Public Records Act.
14-4	Carry out the State Rules Act.
14-3-6	Adopt and publish rules and regulations to carry out the purposes of the Public Records Act.
14-3-6	Report on activities of the agency to the Commission of Public Records including: ongoing operations, projected operations, and records transferred, destroyed or processed during the year.

Regulations: Commission and Administrator

NMAC No.	Name
1.12.2	Information Technology Systems, Electronic Authentication
1.13.2	Fees
1.13.5	New Mexico Historical Records Grant Program Guidelines
1.13.70	Performance Guidelines for the Legal Acceptance of Electronic Records

See also the regulations listed in other functions of the agency.

Customers: Commission and Administrator

- ❖ SRCA
- ❖ Other State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ Historical record repositories

Activities and Tasks: Commission and Administrator

<u>Activity</u>	<u>Tasks</u>
Administration of agency	❑ Manage finances
	❑ Manage human resources
	❑ Provide information systems support
	❑ Provide centralized mail services
	❑ Provide centralized receiving
	❑ Manage grant funds
Manage and coordinate security and building services	❑ Control access to facility
	❑ Coordinate janitorial services
	❑ Coordinate meeting room use
Strategic Planning	❑ Develop a five-year plan and use it to manage the agency
	❑ Review and update plan annually
	❑ Monitor plan
Reporting	❑ Report to the Governor
	❑ Report to the Commission
	❑ Report to DFA and LFC
	○ Annual Action Plan
	○ Performance Measures
Adopt and enforce Regulations	❑ Carry out the Public Records Act
	❑ Carry out the State Rules Act
	❑ Support the activities of the NMHRAB
Approve donations and loans	❑ Accept private collections
	❑ Approve loans of archival materials to other repositories
Outreach	❑ Provide records and archival management training
	❑ Promote the agency and its programs
Appoint and serve on Advisory Boards	❑ Chair (Administrator) the New Mexico Historical Records Advisory Board
	❑ Form special needs advisory boards or committees
	○ Electronic Records Task Force
	○ Site Drainage Committee

ARCHIVES

Statutes: Archives

<u>NMSA 1978</u>	<u>Provisions</u>
1-22-17	Maintain and preserve results of canvass of elections defined as permanent records and filed with the records center.
14-3-6	Establish a Records Management Program for the efficient and economical management of public records, e.g. creation, utilization, maintenance, preservation, and destruction.
14-3-7	Inspect and survey public records of state agencies
14-3-8	Establish and operate a Records Center in Santa Fe that receives, stores, and disposes of the inactive or infrequently used records of present and former State agencies.
14-3-9	Dispose of public records by agreement of the agency head, the official in charge of the records, the Administrator, and the Attorney General; disposition may include transfer to the records center (archives).
14-3-13	Protect public records by prescribing paper, ink, and other materials to be used for permanent records to ensure durability.
14-4-4	File copies of State agency publications, pamphlets, reports, notices, proclamations, or similar instruments.

Federal Law: **National Archives and Records Administration, Affiliated Archives**

<u>Law</u>	<u>Provisions</u>
36CFR1253	Place federal archival material in repositories outside the federal government through a formal program of affiliated archives.

Regulations: Archives

<u>NMAC No</u>.	<u>Name</u>
1.13.2	Fees
1.13.11	Access to Public Records, Research in the New Mexico Archives
1.13.40	Accession of Public Records by the State Records Center and Archives, Private Collection Policy

Customers:
- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ Historical record repositories
- ❖ Historians and others interested in history

Activities and Tasks: Archives

<u>Activity</u>	<u>Tasks</u>
Identify archival records	❑ Review RRDS
	❑ Appraise records for possible accession
	❑ Process accessioned records
	❑ Accrete agency publications and brochures into agency collections
Recover permanent records of State government	❑ Identify State records held by organizations outside State government and request replevin of the records by the Attorney General
Accept donations of collections that fit within the Commission's collection policy	❑ Appraise proposed donations for fit
	❑ Recommend approval or disapproval by the Commission
	❑ Accession donated material
Preserve permanent records transferred or donated to the Commission	❑ Assure appropriate environmental storage conditions
	❑ Secure collections
	❑ Maintain collections
	❑ Inventory archival collections annually
Provide access to collections	❑ Organize collections
	❑ Create finding aids to collections
	❑ Provide online access to collections
	❑ Provide research room and reference assistance
Effectively manage the State's permanent public records	❑ Develop appropriate policies and procedures
	❑ Oversee archival operations in State agencies
Provide advice to local governments and non-profit historical record repositories	❑ Provide advice on proper methods and techniques for preserving and facilitating access to permanent or historically significant records
	❑ Consult with entities to resolve archival management problems
Provide training in archival management methods and techniques	❑ Train staff of archival repositories in State agencies
	❑ Train local government employees
	❑ Train staff of historical record repositories
Serve as an affiliated archive for federal records	❑ Maintain and provide access to Surveyor General records
	❑ Maintain and provide access to the records of the Court of Private Land Claims
	❑ Maintain facilities according to standards issued by NARA
Sell archival supplies, reproductions, and compilations	❑ Sell containers
	❑ Sell calendars and publications
	❑ Sell duplicate photographs, maps and documents
	❑ Sell microfilm copies of collections

RECORDS MANAGEMENT

Statutes: Records Management

<u>NMSA 1978</u>	<u>Provisions</u>
14-3-6	Establish standards, procedures, and techniques for the effective management of public records, which may include: improvements to current records management practices; use of space; use of equipment; and use of supplies.
14-3-6	Establish a Records Management Program for the efficient and economical management of public records, e.g. creation, utilization, maintenance, preservation, and destruction.
14-3-7	Inspect and survey public records of State agencies.
14-3-8	Establish and operate a Records Center in Santa Fe to receive, store, and dispose of the

NMSA 1978	Provisions
	inactive or infrequently used records of present and former State agencies.
14-3-9	Dispose of public records by agreement of the agency head, the official in charge of the records, the Administrator and the Attorney General; disposition may include retention by the agency (storage in warehouse), transfer to the records center, or destruction.
14-3-11	Properly destroy public records.
14-3-15.1	Recommend procedures, schedules, and technical standards for the retention of computer databases and rules governing the access to database information for adoption by the Commission.
14-3-15.2	Recommend standards for electronic signatures on public records for adoption by the Commission.
14-3-15.B	Review and approve purchases of new microphotography systems purchased by State agencies.
14-3-15.C	Recommend minimum standards for microfilming public records for adoption by the Commission.
14-3-15.D	Establish and maintain an inventory of all microfilm equipment owned or leased by State agencies and arrange the transfer of equipment between agencies.
14-3-17	Review and approve existing microphotography systems used by State agencies.
14-3-19	Establish a revolving fund for the sale of microfilm supplies necessary for providing microfilm services.

Regulations: Records Management

NMAC No.	Name
1.13.2	Fees
1.13.10	Access to Public Records, Records Custody and Access
1.13.20	Storage of Public Records, Storage of Electronic Media at the State Records Center and Archives
1.13.30	Destruction of Public Records
1.14.2	Microphotography Standards
1.14.3	Microphotography Systems, Microphotography Equipment: Inventory and Transfer
1.15.1-9	General Records Retention and Disposition Schedules
1.16.1-119	Legislative Record Retention and Disposition Schedules
1.17.1-264	Judicial Record Retention and Disposition Schedules
1.18.1-969	Executive Record Retention and Disposition Schedules
1.19.1-10	Local Government Retention and Disposition Schedules
1.20.1-3	Education Records Retention and Disposition Schedules

Customers:

- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ Historical record repositories

Activities and Tasks: Records Management

Activity	Tasks
Establish standards for efficient management of State agency records	❑ Develop regulations for implementing a records management program for State government.
	❑ Develop Record Retention and Disposition Schedules (RRDS)
	❑ Review agency compliance with regulations

Activity	Tasks
Establish and enforce procedures and techniques for effectively managing the State's public records	❑ Assess environmental conditions ❑ Assess the physical condition of records ❑ Assess accessibility ❑ Assess form control processes ❑ Coordinate agency records programs through Record Liaison Officers
Dispose of public records and non-records	❑ Review destruction notices and recommend action ❑ Transfer records to archives for permanent preservation ❑ Destroy records according to approved methods
Advise local governments and historical record repositories	❑ Advise entities of proper records management methods and techniques ❑ Consult with entity staff to solve records management problems
Accept records into warehouse	❑ Accept records for storage at State agency's request ❑ Inventory stored records
Provide access to stored records	❑ Control access to records ❑ Retrieve stored records ❑ Maintain chain of custody for records accessed while in storage
Provide safe and secure storage for inactive records	❑ Restrict handling ❑ Provide physical security for records (systems and procedures) ❑ Monitor temperature and humidity
Sell storage supplies	❑ Sell cubic foot, plan, and microfilm boxes ❑ Sell transmittal forms
Establish minimum standards for microfilming (film and image) public records	❑ Issue microphotography standards ❑ Inspect film for compliance with standards ❑ Re-inspect film for degradation
Review and recommend approval of microphotography systems	❑ Review and recommend approval of microform systems ❑ Review and recommend approval of imaging systems
Store master media	❑ Accept microphotography (microform and digital) media for storage ❑ Inventory stored masters ❑ Dispose of media according to RRDS
Inventory microphotography equipment (purchased or leased)	❑ Conduct an annual inventory ❑ Arrange transfer of microphotography equipment between agencies
Sell microphotography services	❑ Sell duplicates from original masters ❑ Sell processing services
Microphotograph archival documents	❑ Microfilm archival documents ❑ Image archival documents
Provide records and information management training	❑ Train Record Liaison Officers ❑ Train State employees, record keepers, and custodians ❑ Train local government officials and employees ❑ Train microphotography program managers ❑ Train camera operators ❑ Train historical record repository staff

ADMINISTRATIVE LAW

Statutes: Administrative Law

NMSA 1978	Provisions
14-3-20	File interstate compacts with the records center; maintain the filing with an index.
14-3-21	Recommend uniform standards for: manuals of procedures, State agency rules and regulations (except session laws), and official reports (except budget) for adoption by the Commission.
14-3-23	Review and order published manuals of policies and procedures; develop standards.
14-4-3 and 14-4-7.1	Adopt rules prescribing style, format, and publication standards for rules promulgated by State agencies
14-4-5	File rules/regulations adopted by state agencies.
14-4-7	Prepare and publish a list and index of current rules.
14-4-7.1	Publish a *New Mexico Register* to include official publication of notices of rule making and adopted rules, summary of the text of executive orders, or other material related to administrative law and practice.
14-4-7.2	Create and have published an administrative code.
14-4-10	Prepare and publish list of publications for sale or issue by State agencies.
47-6-10.K-L	File county subdivision regulations or their amendments with the records center.

Regulations: Administrative Law

NMAC No.	Name
1.24.1	General Provisions
1.24.10	New Mexico Administrative Code (NMAC)
1.24.11	New Mexico Administrative Code Revisions
1.24.15	New Mexico Register
1.24.20	Emergency Rules
1.25.5	[Reserved] Manuals of Procedure, Style and Format [repealed SRC 70-1]
1.25.10	Publications: Filing, Distribution, Format & Style

Activities and Tasks: Administrative Law

Activity	Tasks
File Rules	❑ Review for style and format ❑ Accept and file rules
Establish and enforce standards	❑ Adopt rules governing style and format of rules ❑ Adopt standard for manuals of procedures ❑ Adopt standards for publications issued in paper ❑ Adopt standards for web-based publications ❑ Adopt rules governing publishing in the *New Mexico Register* ❑ Adopt rules governing filing of emergency rules ❑ Adopt rules governing compilation of agency rules
Provide training	❑ Train rule filers in style and format requirements ❑ Train State employees in the rulemaking process
Produce the New Mexico Administrative Code	❑ Provide electronic access to current rules ❑ Publish an index of current rules
Maintain "Active Rules Collection"	❑ Accept rule filings ❑ Accession new rules or amendments ❑ Remove repealed rules and transfer to archival collection ❑ Provide access
Maintain interstate compacts and county subdivision regulations	❑ Accept new filings ❑ Process into collection ❑ Index ❑ Provide access

NEW MEXICO HISTORY

Statutes: State Historian

NMSA 1978	Provisions
18-6-4.A	Serve on the Cultural Properties Review Committee as one of the committee's seven members,
18-6-5	Take necessary [as a member of the Cultural Properties Review Committee] action to identify, protect, and preserve cultural properties
18-6-14	Serve as the State Historian for purposes of the Cultural Properties Act

Activities and Tasks: State Historian

Activity	Tasks
Serve as the authority on New Mexico history	❑ Prepare history section of the NM Blue Book published by the Secretary of State ❑ Serve on task forces or committees requiring historical authority ❑ Conduct classes on New Mexico history ❑ Consult with government agencies on topics related to New Mexico history ❑ Serve as Deputy Coordinator for the New Mexico Historical Records Advisory Board ❑ Provide reference assistance to patrons of the archives.
Serve on Cultural Properties Review Committee	❑ Attend meetings of the Committee ❑ Prepare text for historical markers ❑ Review nominations to State and Federal Registers of historical sites
Conduct outreach	❑ Conduct lectures ❑ Conduct workshops ❑ Participate in panel discussions ❑ Make presentations ❑ Participate in the NM Historical Society
Contribute to the public's understanding of New Mexico history	❑ Conduct scholarly research ❑ Participate in professional conferences

Federal Law: New Mexico Historical Records Advisory Board

Law	Provisions
36CFR1206.38	National Archives and Records Administration, National Historic Publications and Records Commission (NHPRC): requires the appointment of a state board for participation in NHPRC's grant program and prescribes some of the activities of the board.

Regulations: New Mexico Historical Records Advisory Board

NMAC No.	Name
1.13.5 NMAC	New Mexico Historical Records Grant Program Guidelines

Activities and Tasks: New Mexico Historical Records Advisory Board (NMHRAB)

Activity	Tasks
Strategic plan - improve the condition of historical records	❑ Develop and monitor implementation of a ten-year plan ❑ Update and review periodically
Conduct public meetings of the Board	❑ Solicit public input for NMHRAB activities ❑ Hold majority of meetings outside Santa Fe
Reach out to historical record repositories	❑ Operate the New Mexico Historical Records Grant Program ❑ Recommend approval or disapproval of grant proposals to the NHPRC ❑ Assist repositories in applying for grant funds ❑ Identify needs of historical record repositories
Promote history, archives, and records management programs	❑ Fund training ❑ Fund projects to save, promote, or use historical records ❑ Fund projects that document history ❑ Promote archives and records management practices

III. CRITICAL ISSUES

Every five years the Commission of Public Records - State Records Center and Archives engages in a strategic planning process, the ultimate purpose of which is, in effect, to map a plan of action for the coming five years that will effectively guide the agency in fulfilling its mission. To do this, the agency must first understand where it is, at that point, in satisfying its mission as well as those factors in the larger State environment that affect its performance. In making those assessments during the development of the 2001-2005 strategic plan, a number of critical issues, along with their root causes and desired results were identified. Now entering the fourth year of that plan, although progress has been made, those critical issues largely remain valid, although some aspects of the discussion that follows have been modified through the annual update process.

Critical Issue: ***Inability to completely fulfill the agency's statutory obligations.*** Many of the statutory duties of the agency have been incompletely addressed or not addressed at all. For example, a good records management program includes full analysis of filing systems, equipment, support systems (software, imaging, microfilming), and forms control, as well as the development of the basic tools of record retention and disposition schedules and warehousing facilities. Full analyses of records management programs in place in State agencies have not been completed, and, moreover, standards for such programs have not been addressed. In yet another example, the Commission is charged with issuing standards for procedures manuals and for publications produced by State agencies. Existing standards were outdated, unenforceable, or ineffective and were repealed.

Under the Public Records Act, the State Records Administrator is required to establish a records center for the care of inactive and infrequently used records, including colonial and territorial records. She is also to create standards for records management and microphotography programs, and style and format standards for rules and publications. Records centers exist in both Santa Fe and Albuquerque. Revised microphotography standards, new style and format requirements for rules, and an electronic records management rule have developed and issued. While, as noted above, not all standards needed have been addressed, a number are in place and available for use by agencies and training in those standards and RIAM practices is offered by the SRCA. However, records custodians and potential customers often do not utilize the services of the SRCA because they are generally unaware of those services and the expertise offered through the SRCA that could be employed to manage more efficiently the records entrusted to them. Through the

efficient management of records and a more open and responsive government, ready access to the State's public records can be achieved.

Root Cause:

Staffing: A high turnover rate has been experienced due to the inadequate number of employees and the magnitude of work required; job dissatisfaction as evidenced by low leave balances; low staff commitment; lack of expertise or, once developed, expertise frequently lost to other entities through staff turnover; and a socio-economic environment that forces employees to relocate away from Santa Fe.

Financial resources: In FY02, for the first time, the Commission of Public Record's appropriations crossed the two million dollar mark for an agency with now 36 full-time employees (FTEs) that provides services to all State agencies and acts in an advisory capacity to local governments. While there has been some growth in the intervening years, it has been small, due to the "flat budget" approach revenue shortfalls have brought. Although the agency has received federal funds for specific projects and to support some of the New Mexico Historical Records Advisory Board's (NMHRAB) activities, those funds are limited. In order to carry out fully its statutory duties, the agency estimates it would need to at least double its current appropriation.

Under-utilization of the SRCA: Although the services of the agency have recently been more widely promoted, there are still agencies that remain unaware of the services provided by SRCA or of the benefits those services could provide. As a result, they store records on-site unnecessarily, manage their records inefficiently, or destroy records improperly.

Records, Information, and Archival Management (RIAM) skills and knowledge: Although every employee and the head of each agency create records in the course of their jobs, few receive appropriate instruction on how those records are to be managed or the role they play in documenting the business of their agency. This can be attributed to at least three factors. First, the failure of the state to have **mandatory** RIAM courses for newly appointed officials or employees. Such training would create a common understanding of processes and ensure that records are maintained and accessible for as long as they are needed. Resources, such as money and staff, to provide RIAM training are an issue because training is expensive and highly specialized. Secondly, the SRCA needs staff with appropriate RIAM skills to support State agencies in developing their own RIAM skills. Salary levels and a virtually nonexistent pool of trained individuals to fill vacancies hamper the SRCA's ability to sustain an appropriate level of support. Lastly, technology and its impact on managing records introduce additional complexity to developing and maintaining RIAM skills. High growth and volatility in technology and technology's use in creating and maintaining records require increased skill in SRCA staff in order to support agencies properly. Work processes and tools are changing rapidly, and mechanisms must be defined to help State agencies adapt. The SRCA does not have sufficient resources to address the growing need to raise the information technology coefficient.

Enforcement authority: The Public Records Act does not require compliance by agencies except in very broad terms, and there is no specific language that addresses the Commission's or the Administrator's abilities to enforce provisions of the Act.

Commission of Public Records: Most Commission members have not been actively involved in developing or implementing solutions for the agency. Commission members could facilitate discussion with the governor, the cabinet, and the legislature through active intervention and support for specific policies and projects.

Desired Result: *Resources are available, and used, to fully address the agency's mission and statutory obligations.*

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Critical Issue:	***Deterioration, loss of, or limited access to public and historical records.*** State agencies store inactive public records in a wide variety of locations and under what are, in many cases, less than ideal conditions. Many State agencies storing records on site do not have intellectual control over those records, making retrieval unpredictable and loss of records likely.

Many of the records of appointed and elected officials have not been delivered to the State Archives. Because of the lack of understanding of records and archival management principles and of the law itself, records are removed – sometimes transferred to other repositories or retained by individuals for their "historical" value. Records are also destroyed without authorization of the State Records Administrator, contravening law and preventing the necessary review that protects public records from premature destruction.

Many repositories throughout New Mexico maintain historical records. The individuals responsible for the care of those records often lack the knowledge, skills, and abilities to preserve them fully or to make them accessible.

Centralized storage, complete with inventories and destruction flags in compliance with adopted RRDS, are not features of on-site State agency record-keeping systems. Records are usually found in basements and in boxes of all sorts. Boxes may be summarily labeled, but that is not sufficient to deter a search through several boxes to retrieve needed records. Records stored on site are not routinely purged by all State agencies. The result is records retained beyond their useful life, thus wasting space and equipment. Such unnecessary retention can also expose the custodial agency to liability it would not otherwise incur if records were destroyed in the "normal course of business," in compliance with properly promulgated RRDSs.

Although several agencies use one or both of the SRCA records warehouses to store inactive records, clerical errors at the originating agency can impede retrieval or result in loss of records due to premature destruction. Clerical errors include mislabeling boxes (contents do not match label description), supplying incorrect transaction dates (used to trigger destruction), or using incorrect item numbers (identifies the record series).

Many State agencies have implemented, or are considering implementing, microphotography systems (microform or digital imaging) to compact the storage of public records and facilitate access to them. In implementing a microphotography system, standards adopted by the Commission require that agencies consider the implications for continued preservation of original records, which must then be stored, as well as issues of migration for continued access to microphotographed records. As imaging technology continues to evolve, migration to new and denser storage media will occur. Unfortunately, agencies do not always submit microphotography systems plans to the State Records Administrator as required by law, so no evaluation with respect to long-term preservation, migration, and other records requirements occurs. Further, many agencies simply have not considered or do not understand the issues involved in migration of records.

Root Cause:	<u>Enforcement authority:</u> The Commission of Public Records' lack of sufficient enforcement authority is caused by weakness in the Public Records Act.

<u>RIAM practices:</u> Improper management of public records can be attributed to the lack of RIAM skills, failure to apply proper RIAM practices, lack of awareness that RIAM standards exist (especially those issued by the Commission, e.g. microphotography standards, regulations regarding the destruction of public records, etc.), and a lack of understanding of RIAM benefits. As a result, records are maintained by agencies on-site without proper physical and environmental controls.

<u>RIAM knowledge:</u> In preparation for the development of the 2001 –2005 Strategic Plan, two surveys were sent to State agency representatives to obtain information

about their records and their records management, archival management, and rule-filing practices. What was clear from the results was that many of those directly responsible for agency records lack an understanding of records and archival management concepts and of rule-filing requirements. The surveys also illustrated the absence of management support for implementing records management or archival management programs.

RIAM benefits: The full benefits of records and archival management principles and techniques are not generally recognized by agencies. They become evident only when a crisis occurs and records important to agency operations or needed to substantiate agency decisions or under subpoena cannot be found or are irretrievably lost.

RRDS: Outdated RRDS may not reflect records actually being created or maintained. This occurs because the Commission lacks the resources to update schedules with the frequency needed. Additionally, agencies may simply ignore their RRDS or may not be aware that one exists that governs the retention of their records.

Record Liaison Officers: Basic criteria for liaison officer have not been adequately developed, and individuals appointed often lack the knowledge of the organization's records or the authority to implement appropriate RIAM practices. The problem is often exacerbated by turnover in State agencies resulting in the need for continual training in basic RIAM principles and procedures.

Mandatory employee orientation: An employee orientation program with respect to RIAM and State government structure and function has not been developed. Such orientation would provide general information about the obligations associated with caring for records that the employee creates on the job and would include instruction in the use of record retention and disposition schedules issued by the Commission. While more people are discovering Record Liaison Officer training, there is also an increasing demand for – and need for - basic records management training.

State agency management support for RIAM: Agency directors do not emphasize the need for proper RIAM practices within their agencies. Records, information, and archival management is often overlooked as one of the essential administrative functions of any agency. As a consequence, it must often be done, if at all, without much active support from upper management – at least until the agency must produce its records and either spends unnecessary resources or is unable to locate the requested records, or unless a lawsuit is filed because the agency fails to produce requested records.

Physical distances between agencies and the SRCA: Since storage facilities are provided only in Santa Fe and Albuquerque and archival facilities are only available in Santa Fe, some agencies prefer to keep records on-site, or close by, for convenience.

Failure of civic education: Schools, institutions of higher education, and governments all too often give little or no importance to how the records of government are created and maintained.

Insufficient resources in historical records repositories: Many repositories (including local and tribal governments) lack staff, training, and money to care properly for and provide access to the records in their custody.

Desired Result: *A complete and accurate public record with sufficient intellectual and physical control over the records to ensure that they will be preserved and readily accessible.*

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Critical Issue: ***Increased demand for electronic access to information and to maintain records electronically.*** Electronic records are being created and maintained by State agencies, but the knowledge necessary to manage these records is lacking. E-mail, imaged records, and records created, maintained, and retained in pure electronic format are but a few of the issues that electronic records represent.

New and more sophisticated automated systems designed to help the State meet the needs of its citizens are being implemented. Little attention, however, is given to planning for retention of the electronic records that are being created and maintained solely in electronic form. Most agencies retain these records as part of the "back-up" process, if at all. This assures neither preservation nor continued access for as long as the record is needed. As more agencies move their records to an electronic (as opposed to paper-based) medium, the need for standards will increase in order to prevent loss and assure accessibility. In early FY04, the SRCA promulgated an electronic records management rule, but it has no effective ability to compel State agencies to adhere to the standards it sets forth.

The Internet is both a tool for improving access and a source of increasing demand for access. Since the implementation of the SRCA's web page, there have been increasing requests for information by e-mail as well as requests to provide access to archival documents and regulations on-line. Many State agencies are publishing information through web pages on the Internet (publications and brochures). This raises concern about how to address retention and preservation if a report is only published on-line.

Root Cause: Technology: State employees and Commission staff lack adequate knowledge of technology and specific methods for preserving electronic records or overcoming the barriers of omissions in legacy applications' design. The number of record creators and keepers has expanded exponentially with the advent of the office where a personal computer on every desk is the norm; however, few understand the technology or the implication it holds for records management. Further, only infrequently do the designers of information technology applications understand or take into consideration records management requirements. State agency information technology personnel don't understand records and preservation issues and consequently don't plan adequately. This is compounded by the continuing development of and innovation within the information technology industry that, in turn, require continuing modification to issued standards.

Overlapping responsibilities: Authority for records created and maintained with or through the use of technology is divided between the Commission and the State's Chief Information Officer (CIO). This division has created ambiguity with respect to responsibilities, resulting in some duplication of effort, and unassigned or un-enforced responsibilities.

Resources: Time, money, and staff are scarce. The Commission's small information technology staff does not have sufficient time to address the demands of the agency and also participate fully in the development of standards for the other agencies. As a result, RIAM staff must develop expertise in technology from any sources available.

Desired Result: *Development and implementation of appropriate standards to address technological impacts on record keeping.*

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Critical Issue: ***Failure of State agencies to comply with the Public Records Act.*** The Public Records Act does not provide sufficient enforcement authority so State agencies are not compelled to protect their records. Records are destroyed without prior authorization from the State Records Administrator, violating law and regulations governing the destruction of records, and, in some cases, the retention of records.

Permanent records documenting the administration of various agencies of the executive branch are not being transferred to the State Archives. Requests for approval of microphotography systems, including imaging systems, are not being submitted to the State Records Administrator as required by State law.

An audit conducted by the Foundation for Open Government revealed several instances at where local governments simply did not comply with requests for records or withheld records without adequate grounds to do so. Although the audit did not include many State agencies, the SRCA has received requests that were inappropriately referred to SRCA because records are stored in the records warehouse. These records remain in the custody of the storing agency and SRCA staff does not the authority, nor do they have sufficient information about the records stored, to properly address requests for specific records. Many – probably most – State employees do not understand the difference in the inactive records stored in the records centers and the permanent and historical records housed in the archives. This often leads to confusion and misdirection, which can impede public access.

Root Cause: Enforcement authority: The Commission of Public Records' lack of sufficient enforcement authority is caused by weakness in the Public Records Act.

Underutilization of SRCA services: State agencies are unaware of the services available from SRCA and so do not make use of available tools to assist them in storing and retrieving their records. There is no Public Information Officer (PIO) to focus efforts on promoting training and the services of the agency to other State agencies and the public.

Non-compliance with law and regulations: Agencies are not familiar with the requirements of the Inspection of Public Records Act and so do not respond to requests for information even when the Act is appropriately cited. Ineffective retrieval tools employed by custodial agencies and a lack of understanding of custodial issues (records centers versus archives) also hamper efforts to comply with requests for records.

RRDS: Failure by the SRCA to cover records in retention schedules, or dated retention schedules that reflect records no longer created and do not reflect new records created inhibit compliance.

Record Liaison Officers: Appointment by custodians (agency directors) of inappropriate individuals as record liaisons and an absence of specified criteria for appointment as liaison officers lead to an inability to access records or to locate records efficiently (too much time spent in identifying or locating requested records).

Desired Result: *Compliance with the Public Records Act, which includes preservation of, access to, and control of public records.*

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Critical Issue: ***Inadequate access to public records.***   The lack of a comprehensive locator service requires the public to search, at times endlessly, for the appropriate entity from which to obtain the information they seek. Since the SRCA established a presence on the Internet through its web site, there has been an influx of questions requesting direction to agencies that hold particular public records. The expectation that the SRCA holds all the public records of State government has also increased. The 2002 appropriation included $15,000 for a contract to develop the design of the Public Records Locator System (PRLS) and the RFP to begin addressing this issue. That amount was supplemented by an additional $12,000 in federal grants, and design of a core system was completed in FY03.

Not all State agencies understand the laws and regulations relating to access to

public records. The dispersal of inactive public records in various agency storage facilities and the lack of detailed indices to stored records inhibit ease of access. Continuing confidentiality of designated records proscribes public access to historical documents often permanently, long after the basis for the original restriction has become invalid. .

Root Cause: Expectations: The public expects that government tracks all of its transactions through a central point. State agencies expect that if records have been sent to the SRCA, the SRCA will provide access to those records – even those held in the records center warehouses or on master microfilm. Only records transferred into the custody of the agency's State Archives are accessible in this manner. All other records remain in the custody of the State agency that placed them with the SRCA for storage.

Decentralization: Records are created and distributed throughout State government by more than 100 State agencies, with various organizational subdivisions maintaining records in a variety of formats and in various locations. Retrieval of records stored in a decentralized system is complicated by the need to track not only the records series that are created but their locations as well.

Confidentiality: Access to public records is restricted by unlimited confidentiality of certain records.

Laws: Custodians are not familiar with their obligations under the Public Records and Inspection of Public Records Acts and consequently are not diligent or are simply unresponsive to requests for access to public records.

Finding Aids: State agencies have not, as a rule, created finding aids to locate inactive records. Records are not indexed when sent into storage, except in those agencies where retrieval is of paramount importance. With the improvements to software, tracking at the file level should be possible; however, implementation will be hampered by the associated costs in time and money.

RIAM practices: The General Services Department's Information Systems Division, the New Mexico Information Technology Management Office, State agency IT and records staff, and technology vendors don't understand public record preservation and access issues. Consequently, State agencies make IT procurement decisions that could require expensive modification after implementation.

Desired Result: *Standards issued by appropriate regulatory bodies (CIO, GSD and CPR) that incorporate RIM concepts and result in open access to the State's public records.*

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Critical Issue: ***A small pool of expertise exists in New Mexico from which to staff the agency and historical record repositories.*** Staff turnover, especially in the Records Management Division, is high. The learning curve in records management is long, now a year or more and getting longer as issues become more complex. As soon as analysts are trained, they are offered more lucrative positions, and the cycle begins again. Retention of administrative law analysts has not yet been a problem, but they are faced with changing technological tools and processes that affect productivity and job satisfaction.

Historical record repositories include local and tribal governments as well as non-profit organizations (museums, historical societies, faith-based groups, etc.) that collect historical records. In local governments, care of records is frequently left to the clerk or each elected official. Consequently, the level of care and training varies greatly.   Tribal organizations have recently become interested in records and archival management practices but are generally reluctant to open their organizational records to the public and, so, little progress has been made in implementing RIAM practices. Not-for–profit organizations are primarily staffed by

volunteers – where turnover is significant and commitment is unpredictable. Training is a critical need of these repositories.

Root Cause: Trained professionals: Although a training program has been implemented by the SRCA, attendance by State employees is lower than would be indicated by the number of individuals assigned records or archival management tasks. Professional-level training is expensive. Advanced training is usually offered by national organizations that provide training in various venues around the country. Registration fees range from $250 to $675, and additional costs for out-of-state travel must be incurred in order to attend.

Time: The SRCA staff - particularly management team members – have borne the brunt of the training responsibility for their staff and for developing professionals throughout New Mexico. Emphasis on training means that time is taken from other activities.

Technology: Commission staff lack knowledge with respect to leading-edge technology and its application for training. Technology makes distance learning possible – but expensive. Alternative delivery systems could maximize the use of resources with on-line training that incorporates programmed learning techniques. These techniques include, for example, on-line presentation followed by questions that test comprehension, with wrong response follow-up information. In addition, the agency could consider developing training packages to be placed on-line; however, this requires an investment of time, money (software, development, implementation, and maintenance), and people trained in on-line education, as well as in using the technological tools.

Desired Result: *Sufficient resources to address RIAM issues, including an adequate number of trained professionals to fill RIAM needs, and the funds to obtain and produce needed training.*

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Critical Issue: ***Unsafe environment for employees and for records.***   Unresolved building problems create an unsafe work environment. Some examples include: potential flooding, faulty sprinklers and inadequate fire protection, and incomplete and inadequate security systems. The concerns of the Commission, stemming from the building site itself and previous flooding, with respect to mitigation of the flood potential have not been satisfied. The Property Control Division has repeatedly assured the Commission that all is well; however, there continues to be doubts as to the agency's ability to address its disaster preparedness. Sprinklers throughout the building have been recalled, yet the General Services Department is only now (FY04) beginning to replace them. Fire sirens and lights cannot be heard or seen in a number of areas. An inspection by the State Fire Marshal's office in the fall of 2002 documented numerous Fire Code violations. The scissor jack in use in the Records Warehouse (in lieu of an elevated dock) was termed unsafe in early1999 by the Risk Management representative sent to inspect it. Only in July of 2001, more than two years later, was work to replace it begun.   The ceiling paint in the Archives Vault is chipping. The contractors did not properly prepare the ceiling prior to painting. Repair entails removal of the old paint and sanding the ceiling, a process that poses a hazard to archival material. In spite of the concerns of the SRCA, a mechanical room was built over the specially designed micrographics facility.   On at least five occasions, the ceiling above a filming room in the micrographics area has leaked due to flooding of the mechanical room above. In one of those incidents, the damage extended into the hallway and an adjacent office; in the most recent incident in early 2003, the damage extended well into another adjacent office and required the replacement of carpet as well as ceiling tiles. Fans also had to be utilized to help prevent the development of molds. In an incident in May of 2001, a new and expensive scanner used in filming archival

documents was soaked. Questions have arisen about the efficacy of the carbon filtration system used in the archives vault. Finally, the building has no security during working hours, yet the agency now occupies a building with a more open environment. The new skateboard park that opened in the neighboring park has resulted in increased incidents of vandalism and use of facilities for its restrooms, telephones, and vending machines. Vandalism, to the building and to employee property has occurred, and aggrieved employees all support the need for daytime security. The Property Control Division (PCD) has designated secure areas of the building part of the communication's hub for the West Capital complex. As a result, unauthorized (within the Commission or the Library) personnel are often in secure areas of the facility. Personnel are not known, and security is, therefore, compromised.

Root Cause:

Property Control Division: The agency was unable to resolve building issues with the Property Control Division (PCD) because communication with PCD, under the previous administration, was difficult. Responses were curt and rarely addressed concerns. For example, a request for a long-term drainage study was sidestepped by presumably incorporating it into planning for new building planned for the site; issues with unknown staff in secure areas – telecommunications closets - were met with an admonition that the building belongs to the PCD, and it decides who should have access, etc. Communication with the General Services Department and its PCD have improved substantially under the new administration, and although, at this writing, remedial work has not begun, the agency has received assurances that the problems will be addressed.

Design and Construction. A number of major concerns, such as the location of the mechanical room, expressed by the SRCA were ignored in the design and construction of the facility. Whether because oversight failure by the PCD or insufficient funding or other factors, Fire Code requirements were not met. Many defects noted before and during the warranty "walk-through" have yet to be corrected.

Security: There are no security guards on the premises during working hours and an insufficient number of security cameras (monitored area signs). Dial-out alarms do not exist for some critical systems. If an alarm is triggered, security procedures are slow and unsuitable for emergency response. Areas designed to be staff-only are accessible to other individuals through both the specific intention of the Property Control Division (in setting the communication hub for the building in a secure area), and unintentionally because of locks that are not appropriately set.

Disaster Preparedness: While the agency has an updated disaster plan, there is no adequate, overall disaster preparedness plan for the facility or site or complex. A plan is necessary so that staff and emergency response organizations can quickly address any catastrophic incident. The agency has its plan but it is agency specific and does not cover the entire facility.

Desired Result:

A safe physical environment for employees, stored records and records collections, and irreplaceable archival documents.

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Critical Issue

Insufficient, active Commission support of agency goals. Members, with one exception, serve ex-offico and have other priorities and little time to devote to the agency's goals aside from general oversight. Members are welcomed by the Administrator and oriented to the operation of the Commission; however, this process does not result in the desired investment by Commission members that might occur through a formal commissioning of members. Although members have seen and approved the agency strategic plan, not all members participated in its development and so do not have ownership. Support must extend beyond

Commission meetings.

Root Cause: <u>Orientation:</u> Roles of individual members are not well defined and understood. There is no formal procedure for orienting new members or delegates to their roles on the Commission.

<u>Busy members:</u> Members are busy and have different or conflicting priorities. Since all members have primary positions with extensive demands, it is difficult to incorporate attention to the demands of another agency.

<u>Delegates:</u> An individual appointed to act on behalf of the statutorily named Commission member may not always be the appropriate representative of that member (although the single official designee at this time in FY04 - Al Lama for the Attorney General - has proven a dedicated and effective member). A variation of this issue is that different individuals may represent the statutory member; inconsistency diminishes the delegates' ability to fully participate as members.

<u>Knowledge of issues:</u> Members are not trained in RIAM. While such training is not generally expected, members or their designees should bring the perspective of the office they represent to bear on issues placed before the Commission. Designees should be knowledgeable in the statutory members' area of expertise and should be able to apply that knowledge to RIAM issues.

Desired Result *An actively supportive commission.*

Critical Issue: When this strategic plan was adopted in 2000, another critical issue - **no recognized, authoritative and timely source for the State's administrative law** – was identified. At that time there was no single, accurate, timely and easily accessible source where all current, State government-issued regulations could be found. The outside publisher then employed to produce both the New Mexico Register and the New Mexico Administrative Code (NMAC) has not completed the Code, even after six years.

In August of 2001, the agreement between the SRCA and the New Mexico Compilation Commission (that in turn contracted with the publisher) was terminated and the SRCA assumed responsibility for publication of both the New Mexico Register and the NMAC.

The New Mexico Register is the single, official source for the publication of all notices of intended rulemaking by executive-branch agencies and, by law, must be published semi-monthly. Previously it was available only by paid subscription. While paper copies are still available through paid subscription, it is now available free on-line through the agency's web site.

The NMAC is the only official compilation of current rules issued by executive-branch agencies (and some judicial agencies). It is now complete, with all rules converted to the new, simpler format adopted in 2000. It is available only in a searchable, electronic format. It too is free and can also be accessed through the agency's web site.

Desired Result: The desired result identified in 2000 - *an authoritative, easily accessible, electronic source for all regulatory material* – has been achieved.

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IV. STRENGTHS AND WEAKNESSES

The strengths and weaknesses of an agency must also be considered and factored into the strategic plan if that plan is to lend itself to successful implementation. Without a clear understanding of those pluses and minuses, the strategies and the action items defined may have little chance of effectuation. Further, identified deficiencies themselves may well dictate specific responses within the plan.

Strengths	Weaknesses
Staff	
❖ Professional staff ❖ Technical skill ❖ Expertise ❖ Prevalent positive attitude	❖ Inadequate number of employees or salary levels ❖ Insufficient computer literacy ❖ Inexperience ❖ Lack of adequate training in certain areas ❖ High turnover
Organization	
❖ Use of a strategic plan ❖ Use of performance measures as controls ❖ Use of advisory committees ❖ Competent management ❖ Well-documented policies and procedures ❖ Current regulations ❖ Staff/management communication	❖ No dedicated staff-development position ❖ No public information officer ❖ Lack of sufficient support staff and adequate funding in the information technology area ❖ Difficulty encountered by management in promoting the agency
Technology	
❖ Recognition of the importance of technology's role in the agency ❖ Availability of computer workstations for each employee ❖ Implementation of a multi-tasking environment ❖ Agency web page	❖ Full electronic security measures still being implemented ❖ Standards for preserving electronic records just adopted and not yet implemented in most agencies ❖ Training in information technology still needed ❖ Inadequate IT staff support
Finances	
❖ Authority to accept gifts and donations ❖ Revenue-generating capability and non-reverting internal service fund	❖ Heavy reliance on general fund appropriations ❖ Inadequate staff to support financial operations ❖ No foundation and a weak "friends" group ❖ No bonding authority
Partnerships	
❖ Relationships afforded through Commission membership ❖ Good working relationships with universities ❖ Support offered through the National Archives and Records Administration ❖ Shared facility with the State Library	❖ Lack of working relationships or with various State agencies (GSD, CIO, etc.) ❖ No formal advocacy groups ❖ No corporate partners ❖ Competing interests

V. THE IDEAL COMMISSION OF PUBLIC RECORDS WORLD

Through the strategic planning assessment process, the agency can develop a better understanding of where it is now and what it still must do. A next step is to contemplate where the agency wishes to be at the end of the strategic planning period – what would then be the ideal world.

At the end of it five-year strategic plan, the Commission of Public Records would like to:

♦ have clear statutory authority for functions not presently covered;

♦ have entered into joint powers agreements or memoranda of understanding, or otherwise developed cooperative relationships with the CIO and other agencies where responsibilities may overlap or be complementary;

♦ have formulated a better approach to the life-cycle management of electronic records;

♦ have established control, including enforcement authority, over inactive records not presently in the custody of the SRCA;

♦ have mandatory RIAM training for State records "keepers" implemented;

♦ have transferred all permanent records to Archives;

♦ have implemented a complete and consistent records indexing system, available on the Internet, of all records in the custody of the SRCA;

♦ have enabled agencies to enter record information to the automated record warehouse system to the folder level;

♦ have a comprehensive locator service for all public records – a "one-stop shop" for anyone seeking to locate a record;

♦ have developed web page standards for State agencies to include a controlled vocabulary in the meta-tag field;

♦ have implemented an electronic rule-filing environment, including instantaneous filing, publication, compilation, distribution, security, and preservation; and

♦ have adequate, and adequately compensated, professional program and support staff.

VI. STRATEGIC INITIATIVES AND PRIORITIZED STRATEGIES

Six general strategic initiatives that formed the core of the Commission's strategic plan were identified in the initial planning process. After revisions in 2002 and 2003, five strategic initiatives remain. These initiatives address the critical issues identified and take into consideration the strengths and weakness of the agency. The initiatives are listed in order of priority. Under each, specific implementation strategies are delineated, also in order of priority. In Section VII, more detailed action steps for each strategy are set forth.

Strategic Initiative #1:   Increase Knowledge of records, information, and archival management (RIAM) practices.
      Strategy 1.1:   Develop and publish RIAM materials.
      Strategy 1.2:   Provide RIAM training and consultation.
      Strategy 1.3:   Develop or fund outreach programs.

Strategic Initiative #2:   Have public records managed properly, in accordance with RIAM principles, throughout their life cycle.
      Strategy 2.1:   Establish RIAM standards, procedures, and techniques.
      Strategy 2.2:   Inspect and survey records programs and report compliance with Commission of Public Records standards.
      Strategy 2.3:   Provide facilities and selected resources to facilitate State agency compliance with Commission of Public Records standards.
      Strategy 2.4:   Pursue enforcement of the Public Records and State Rules Acts.

Strategic Initiative #3:   Promote open access to public records.
      Strategy 3.1:   Develop and implement the Public Records Locator Service (PRLS), including the Historical Information Network Tracking System (HINTS).
      Strategy 3.2:   Provide access to SRCA holdings.
      Strategy 3.3:   Develop and provide access tools for permanent records to be reviewed by the AHSD for use by State agencies.
      Strategy 3.4:   Identify and remove unnecessary impediments to open access.

Strategic Initiative #4:   Ensure that adequate resources are available to meet statutory obligations.
      Strategy 4.1:   Provide support services as needed to meet operational and legal requirements.
      Strategy 4.2:   Develop request for funding consistent with planned levels of service.
      Strategy 4.3:   Identify and develop additional resources.

Strategic Initiative #5:   Cultivate recognition of the importance of New Mexico's historical records and appreciation for New Mexico history.
      Strategy 5.1:   Identify primary sources from throughout the state.
      Strategy 5.2:   Demonstrate the value of historical records.
      Strategy 5.3:   Promote the preservation of historical records and resources.
      Strategy 5.4:   Develop partnerships.
      Strategy 5.5:   Develop and promote activities that support an understanding and appreciation of New Mexico history.

FY04 ACTION PLAN

Activity/Sub-program

ADM   Administration
AL   Administrative Law
NMH   New Mexico History
PRM   Public Records Management

Division/Other Organization Unit

AHSD   Archives and Historical Services Division
NMHRAB   New Mexico Historical Records Advisory Board
RMD   Records Management Division
0SH   Office of State Historian

STRATEGIC INITIATIVE #1   INCREASE KNOWLEDGE OF RECORDS, INFORMATION, AND ARCHIVAL MANAGEMENT (RIAM) PRACTICES.

STRATEGY   1.1   DEVELOP AND PUBLISH RIAM MATERIALS.

ACTION STEP 1.1.1   PRODUCE RECORDS AND INFORMATION MANAGEMENT MANUAL.

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   Target
Manual published.   6/30/04

ACTION STEP 1.1.2   PRODUCE INFORMATIONAL MATERIALS.

FY 04   PERFORMANCE MEASURE   Activity: ADM   Target
Issues printed within twelve working days of the end of the quarter.   100%

FY 04   PERFORMANCE MEASURE   Activity: ADM   Target
Electronic issues of agency newsletter published within ten working days of   100%
the end of the quarter.

FY 04   PERFORMANCE MEASURE   Activity: AL   Target
On-line brochure on *Anatomy of a Rule* published.   12/31/03

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target
At least one archival brochure published.   6/30/04

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target
At least one article on archival practice submitted to professional journals
for publication.   6/30/04

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   Target
At least one RIM brochure published.   6/30/04

Baseline Report

FY	Baseline Description	Data
01	Percentage of issues of the agency newsletter published by deadline.	100%
02	Percentage of issues of the agency newsletter published by deadline.	0%
03	Percentage of paper issues of the agency newsletter published by deadline.	0%
03	Percentage of electronic issues of the agency newsletter published by deadline.	25%
03	Administrative law brochures published.	0
03	Archival brochures published.	1
03	RIM brochures published.	1
03	Archival practice articles published.	1

STRATEGY 1.2 PROVIDE RIAM TRAINING AND CONSULTATION.

ACTION STEP 1.2.1 CONDUCT "FOR FEE" ARCHIVES AND RECORDS MANAGEMENT TRAINING.

FY 04 **PERFORMANCE MEASURE** **Activity: ADM-TRAINING** **Target**
Percentage of participants rating training satisfactory or better (for-fee training). 99%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM-TRAINING** **Target**
Percentage increase in ratio of State employees to total participants. 5%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM-TRAINING** **Target**
Percentage of costs recouped. 100%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM-TRAINING** **Target**
Dollars spent on continuing education for trainers. $240/trainer

Baseline Report

FY	Baseline Description	Data
01	Percentage of participants rating training satisfactory or better.	90%
02	Percentage of participants rating training satisfactory or better.	98%
03	Percentage of participants rating training satisfactory or better.	98%
01	Ratio of State employees to total participants.	1-8
02	Ratio of State employees to total participants.	1-10
03	Ratio of State employees to total participants.	1-3
01	Total cost of training program.	$7,824
01	Total revenue collected/earned.	$47,336
01	Percentage of 2001 training costs recouped.	93%
02	Total cost of training program.	$8,501
02	Total revenue collected/earned.	$7,019
02	Percentage of 2002 training costs recouped.	82%
03	Total cost of training program.	$4,757
03	Total revenue collected/earned.	$7,155
03	Percentage of 2003 training costs recouped.	100%
01	Staff cost per session.	$732.11
02	Staff cost per session.	$459
01	Dollars spent on continuing education for trainers.	$5,064
02	Dollars spent on continuing education for trainers.	$2,211
03	Dollars spent on continuing education for trainers - total.	$1,540
03	Dollars spent on continuing education for trainers - average per trainer.	$171

ACTION STEP 1.2.2 CONDUCT RULE-RELATED TRAINING.

FY 04 **PERFORMANCE MEASURE** **Activity: AL** **Target**
Percentage of participants rating training satisfactory or better. 99%

Baseline Report

FY	Baseline Description	Data
01	Percentage of participants rating training satisfactory or better.	83%
02	Percentage of participants rating training satisfactory or better.	98%
03	Percentage of participants rating training satisfactory or better.	100%

ACTION STEP 1.2.3 CONDUCT RECORD LIAISON OFFICER TRAINING.

FY 04 **PERFORMANCE MEASURE** **PRM-RMD** **Target**
Percentage of participants rating training satisfactory or better. 99%

FY	Baseline Description	Data
01	Percentage of participants rating training satisfactory or better.	Not collected
02	Percentage of participants rating training satisfactory or better.	99.75%
03	Percentage of participants rating training satisfactory or better.	96%

STRATEGY 1.3 DEVELOP OR FUND OUTREACH PROGRAMS.

ACTION STEP1.3.1 PROVIDE FINANCIAL ASSISTANCE TO REPOSITORY STAFF, STATEWIDE, TO ATTEND RIAM TRAINING.

FY 04	**PERFORMANCE MEASURE**	**Activity: NMH-NMHRAB**	**Target**
	Number of scholarships awarded.		12

Baseline Report

FY	Baseline Description	Data
01	Number of scholarships awarded.	7
01	Dollars awarded.	$2,199
02	Number of scholarships awarded.	8
02	Dollars awarded.	$1,500
03	Number of scholarships awarded.	41
03	Dollars awarded.	$7,583

ACTION STEP 1.3.2 DELIVER RIAM PRESENTATIONS, DEMONSTRATIONS, AND EXHIBITS TO INTERESTED PARTIES.

FY 04	**PERFORMANCE MEASURE**	**Activity: ADM**	**Target**
	Number of presentations and demonstrations.		6

FY 04	**PERFORMANCE MEASURE**	**Activity: ADM**	**Target**
	Number of people reached.		130

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Number of presentations and demonstrations.		6

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Number of people reached.		130

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Number of presentations and demonstrations.		5

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Number of people reached.		130

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Number of exhibits.		4

Baseline Report

FY	Baseline Description	Data
01	Number of presentations and demonstrations - Mgmt./Adm.	3
01	Number of presentations and demonstrations - NMHRAB.	5
02	Number of presentations and demonstrations - Mgmt./Adm.	11
02	Number of presentations and demonstrations - NMHRAB.	2
03	Number of presentations and demonstrations - Adm.	5
	Number of people reached.	128
03	Number of presentations and demonstrations- PRM-AHSD.	21
	Number of people reached.	387
03	Number of presentations and demonstrations - PRM-RMD.	5
	Number of people reached.	246

01	Number of exhibits - AHSD.	8
01	Number of exhibits – NMHRAB.	4
02	Number of exhibits - AHSD.	7
02	Number of exhibits - NMHRAB.	3
03	Number of exhibits - PRM-AHSD.	4
03	Number of exhibits – NMHRAB (see Strategic Initiative #5)	1

ACTION STEP 1.3.3   DEVELOP AND PROMOTE ACTIVITIES THAT SUPPORT ARCHIVES IN NEW MEXICO.

FY 04   PERFORMANCE MEASURE   Activity: NMH-NMHRAB   Target
Percentage increase in the number of historical records repositories
participating in Archives Week activities.   5%

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target
Percentage increase in attendance at Archives Week activities.   5%

Baseline Report

FY	Baseline Description	Data
01	Number of people attending Archives Week activities.	150
02	Number of people attending Archives Week activities.	250
03	Number of people attending Archives Week activities.	290
01	Number of historical record repositories participating in Archives Week	0
02	Number of historical record repositories participating in Archives Week	10
03	Number of historical record repositories participating in Archives Week	42
02	Percentage increase in attendance at Archives Week activities.	60%
03	Percentage increase in attendance at Archives Week activities.	16%

ACTION STEP 1.3.4   CREATE RIAM ADVOCATES IN STATE AGENCIES.

FY 04   PERFORMANCE MEASURE   Activity: ADM   Target
Plan to identify possible advocates developed.   12/31/03

Percentage of plan implemented by 06/30/04   10%

ACTION STEP1.3.5   BRIEF INCOMING GOVERNMENT AND CABINET ON RIAM.

FY 04   PERFORMANCE MEASURE   Activity: ADM   Target
Briefing delivered.   09/30/03

STRATEGIC INITIATIVE #2   HAVE PUBLIC RECORDS MANAGED PROPERLY, IN ACCORDANCE WITH RIAM PRINCIPLES, THROUGHOUT THEIR LIFE CYCLE

STRATEGY 2.1   ESTABLISH RIAM STANDARDS, PROCEDURES, AND TECHNIQUES.

ACTION STEP 2.1.1   DEVELOP, ISSUE, AND PROMOTE IMPLEMENTATION OF ELECTRONIC RECORDS STANDARDS.

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   Target
Standards adopted.   12/31/03

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD
Plan to promote implementation developed.   6/30/04

ACTION STEP 2.1.2   REVIEW AND REVISE AS NECESSARY RRDS.

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   **Target**
         Percentage of State agencies with current records retention and disposition   66%
         schedules (items are not older than five years or have been reviewed within
         the previous five years).

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   **Target**
         Procedures for reviewing RRDS items that are older than five years issued.   12/31/03

Baseline Report

FY	Baseline Description	Data
01	Number of State agencies requiring RRDS.	94
01	Number of agencies with current RRDS.	42
01	Percentage of agencies with current RRDS.	44.7%
02	Number of State agencies requiring RRDS.	96
02	Number of agencies with current RRDS.	47
02	Percentage of agencies with current RRDS.	49%
03	Number of State agencies requiring RRDS.	96
03	Number of agencies with current RRDS.	40
03	Percentage of agencies with current RRDS.	42%

**ACTION STEP 2.1.3   INSTITUTE ARCHIVAL PROCEDURES (INTERNAL) FOR RECORD
            MIGRATION.**

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   **Target**
         Procedures for video, film and oversized books implemented.   6/30/04

**ACTION STEP 2.1.4   REVIEW AND, AS NEEDED, DRAFT NEW, AND REPEAL DATED
            RULES (EXCLUDING RRDS).**

FY 04   PERFORMANCE MEASURE   Activity: ADM   **Target**
         Existing rules reviewed and, if necessary, modified or repealed, and any
         required new rules issued by fiscal year-end.   100%

FY 04   PERFORMANCE MEASURE   Activity: AL   **Target**
         Existing rules reviewed and, if necessary, modified or repealed, and any
         required new rules issued by fiscal year-end.   100%

FY 04   PERFORMANCE MEASURE   Activity: NMH-NMHRAB   **Target**
         Existing rules reviewed and, if necessary, modified or repealed, and any
         required new rules issued by fiscal year-end.   **100%**

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   **Target**
         Existing rules reviewed and, if necessary, modified or repealed, and any
         required new rules issued by fiscal year-end.   100%

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   **Target**
         Existing rules reviewed and, if necessary, modified or repealed, and any
         required new rules issued by fiscal year-end.   100%

Baseline Report

FY	Baseline Description	Data
03	Number of rules - Adm.- Agency-wide total	16
	Number reviewed and, if necessary, modified or repealed.	7
	Percentage reviewed and, if necessary, modified or repealed.	43.8%
03	Number of rules - AL.	5
	Number reviewed and, if necessary, modified or repealed.	2
	Percentage reviewed and, if necessary, modified or repealed.	60%
03	Number of rules - NMH-NMHRAB.	1
	Number reviewed and, if necessary, modified or repealed.	1

	Percentage reviewed and, if necessary, modified or repealed.	100%
03	Number of rules - PRM-AHSD.	2
	Number reviewed and, if necessary, modified or repealed.	1
	Percentage reviewed and, if necessary, modified or repealed.	50%
03	Number of rules - PRM-RMD.	6
	Number reviewed and, if necessary, modified or repealed.	5
	Percentage reviewed and, if necessary, modified or repealed.	83%

STRATEGY 2.2   INSPECT AND SURVEY RECORDS PROGRAMS AND REPORT COMPLIANCE WITH COMMISSION OF PUBLIC RECORDS STANDARDS.

ACTION STEP 2.2.1   ASSESS COUNTY AND TRIBAL RECORDS PROGRAMS.

FY 04   PERFORMANCE MEASURE   Activity: NMH-NMHRAB   Target
Number of county office and tribal assessment action plans delivered
by 12/31/03.   51

FY 04   PERFORMANCE MEASURE   Activity: NMH-NMHRAB   Target
Assessment report completed and presented to the NMHRAB.   03/31/04

Baseline Report

FY	Baseline Description	Data
03	Number of assessments completed.	0

ACTION STEP 2.2.2   TRANSFER ELIGIBLE INACTIVE RECORDS IN RECORDS MANAGEMENT TO ARCHIVES.

FY 04   PERFORMANCE MEASURE   Activity: PRM-RMD   Target
Percentage of 6/30/03 inventory transferred.   10%

Baseline Report

FY	Baseline Description	Data
01	Amount of permanent records (cubic feet) as of 6/30/00.	4,411
01	Amount of permanent records (cubic feet.) transferred to Archives by 6/30/01.	80
01	Percentage transferred.	.02%
02	Amount of permanent records (cubic feet) as of 6/30/01.	9,631
02	Amount of permanent records (cubic feet) transferred to Archives by 6/30/02.	52
02	Percentage transferred.	.005%
03	Amount of permanent records (cubic feet) as of 6/30/02.	15,184
03	Amount of permanent records (cubic feet) transferred to Archives by 6/30/02.	1,829
03	Percentage transferred.	12%

ACTION STEP 2.2.3   REVIEW AND APPRAISE PERMANENT RECORDS TRANSFERRED TO ARCHIVES.

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target
Percentage reviewed and appraised within 90 days of receipt.   100%

Baseline Report

FY	Baseline Description	Data
03	Number of linear feet of records reviewed transferred from the Records Center.	2,057
03	Number of linear feet of records transferred to the Archives directly by State agencies.	301.25
03	Total linear feet of public records accessioned.	2,486.25
03	Percentage of permanent records transferred to Archives reviewed and appraised within 90 days of receipt	100%

STRATEGY 2.3 PROVIDE FACILITIES AND SELECTED RESOURCES TO FACILITATE STATE AGENCY COMPLIANCE WITH COMMISSION OF PUBLIC RECORDS STANDARDS.

ACTION STEP 2.3.1   IMPLEMENT A NEW AUTOMATED RECORDS INVENTORY SYSTEM.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	System 100 percent functional (testing completed, system accepted, training provided), including Internet capabilities.		3/31/04

ACTION STEP 2.3.2   PROCESS AGENCY RECORDS FOR STORAGE AND DISPOSITION.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Percentage of records fully processed within five days.		100%

Baseline Report

FY	**Baseline Description**	**Data**
01	Number of requests for storage or disposition received.	12,301
01	Number of requests processed within five days (disposition not tracked).	11,686
01	Percentage of requests processed within five days.	95%
02	Number of requests for storage or disposition received.	10,722
02	Number of requests processed within five days (disposition not tracked).	10,722
02	Percentage of requests processed within five days.	100%
03	Number of requests for storage or disposition received.	20,954
03	Number of requests processed within five days.	20,954
03	Percentage of requests processed within five days.	100%

ACTION STEP 2.3.3   ACQUIRE A NEW RECORDS FACILITY IN ALBUQUERQUE.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Needs assessment completed.		03/31/04

ACTION STEP 2.3.4   DEVELOP CAPABILITY FOR ELECTRONIC TRANSFER OF RECORDS.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Needs assessment completed.		03/31/04

ACTION STEP 2.3.5   LOCATE ADDITIONAL FACILITY OFFICE SPACE FOR USE BY STATE HISTORIAN.

FY 04	**PERFORMANCE MEASURE**	**Activity: ADM**	**Target**
	Complete investigation for additional office space.		9/30/03

STRATEGY 2.4 PURSUE ENFORCEMENT OF THE PUBLIC RECORDS AND STATE RULES ACTS.

ACTION 2.4.1 ENSURE COMPLIANCE WITH THE STATE RULES ACT AND RELATED RULES.

FY 04	**PERFORMANCE MEASURE**	**Activity: AL**	**Target**
	Percentage of rules submitted for filing accepted on initial filing.		92%

Baseline Report

FY	**Baseline Description**	**Data**
01	Number of rule submissions.	1,195
01	Number of rules accepted on initial filing.	1,049
01	Percentage of rules submitted for filing accepted on initial filing.	86%

02	Number of rule submissions.	873
02	Number of rules accepted on initial filing.	795
02	Percentage of rules submitted for filing accepted on initial filing.	90%
03	Number of rule submissions.	571
03	Number of rules accepted on initial filing.	545
03	Percentage of rules submitted for filing accepted on initial filing.	95%

| **FY 04** | **PERFORMANCE MEASURE** | **Activity: AL** | **Target** |
| | Survey issuing agencies about desirability of electronic records filing. | | 12/31/03 |

ACTION STEP 2.4.2 EVALUATE THE ADEQUACY OF ENFORCEMENT AUTHORITY IN BOTH THE PUBLIC RECORDS AND STATE RULES ACTS AND RECOMMEND NECESSARY CHANGES.

| **FY 04** | **PERFORMANCE MEASURE** | **Activity: ADM** | **Target** |
| | Complete evaluation, make recommendations, and draft legislation as needed. | | 6/30/04 |

STRATEGIC INITIATIVE # 3   PROMOTE OPEN ACCESS TO PUBLIC RECORDS.

STRATEGY   3.1   DEVELOP AND IMPLEMENT THE PRLS (INCLUDING THE HINTS).

ACTION STEP 3.1.1   COMPLETE THE PRLS AND THE HINTS.

| **FY 04** | **PERFORMANCE MEASURE** | **Activity: ADM** | **Target** |
| | Assess effectiveness and utility of applications and recommend any changes. | | 3/31/04 |

Baseline Report

FY	*Baseline Description*	*Data*
02	Partial funding received.	$15.0 State + $12.0 fed
03	Core project status.	Partial implementation

STRATEGY 3.2   PROVIDE ACCESS TO SRCA HOLDINGS.

ACTION STEP 3.2.1   ENSURE AVAILABILITY OF STATE AGENCY-ISSUED RULES ON-LINE.

| **FY 04** | **PERFORMANCE MEASURE** | **Activity: AL** | **Target** |
| | Maximum number of days (yearly average) from effective date of rule to on-line availability in the NMAC. | | 45 |

| **FY 04** | **PERFORMANCE MEASURE** | **Activity: AL** | **Target** |
| | Number of rules and notices of rulemaking filed with the CPR and published in the New Mexico Register in compliance with the State Rules Act. | | 1,300 |

Baseline Report

FY	*Baseline Description*	*Data*
01	Average maximum days between filing and on-line availability. (FY01 data tracked from filing date rather than effective date)	110 days
02	Average maximum days between effective date and on-line availability.	60 days
03	Average maximum days between effective date and on-line availability.	34.5
00	Number of rules and notices published.	1,104
01	Number of rules and notices published.	1,239
02	Number of rules and notices published.	1,269
03	Number of rules and notices published.	704

ACTION STEP 3.2.2   ARRANGE AND DESCRIBE STATE AGENCY RECORDS HELD IN THE STATE ARCHIVES.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Percentage of records processed.		70%

FY 04	**PERFORMANCE MEASURE-**	**Activity: PRM-AHSD**	**Target**
	Percentage of records processed to the sub-series level identified in finding aids.		70%

Baseline Report

FY	Baseline Description	Data
01	Volume of motion picture film collection (reels).	4,646
01	Number of audiotapes.	600
01	Number of reference books.	2,000
01	Volume of photographic collection (number of photographs/negatives).	90,000
01	Volume of microfilm collection (number of rolls).	2,564
01	Volume of archival textual collections (linear feet).	17,245.50
01	Volume of maps and blueprints (number of items).	5,000
01	Percentage of records processed.	84%
02	Volume of motion picture film collection (reels).	4,654
02	Number of audiotapes.	600
02	Number of reference books.	2,325
02	Volume of photographic collection (number of photographs/negatives).	90,207
02	Volume of microfilm collection (number of rolls).	2,630
02	Volume of archival textual collections (linear feet).	17,436
02	Volume of maps and blueprints (number of items).	5,000
02	Percentage of records processed.	78%
03	Volume of motion picture film collection (reels).	4,654
03	Number of audiotapes.	600
03	Number of reference books.	2,056
03	Volume of photographic collection (number of photographs/negatives).	90,207
03	Volume of microfilm collection (number of rolls).	2771
03	Volume of archival textual collections (linear feet).	19,882.25
03	Volume of maps and blueprints (number of items).	5000
03	Percentage of records processed.	68%
01	Number of collections.	708
01	Number of finding aids for collections (processed to sub-series level).	397
01	Percentage of records processed to the sub-series level identified in finding	56.1%
02	Number of collections.	710
02	Number of finding aids.	415
02	Percentage of records processed to the sub-series level identified in finding	58.5%
03	Number of collections.	722
03	Number of finding aids.	417
03	Percentage of records processed to the sub-series level identified in finding	56.6%

ACTION STEP 3.2.3   COMPLETE THE ARCHIVES IMAGING PROJECT AND RELATED DATABASES.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Imaging of Department of Development and Department of Education photographs completed.		12/31/03

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-AHSD**	**Target**
	Imaging of 25 percent of Department of Corrections photographs completed.		06/30/04

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Percentage of SANM I microfilm converted to digital images (including quality control) by 06/30/04.		100%

Baseline Report

FY	Baseline Description	Data
03	Number of Department of Development and Department of Education photographs digitized.	2,879
03	Number of Department of Correction photographs digitized.	0
01	Rolls of microfilm to be converted to digital images at 6/30/00.	332
01	Rolls of microfilm converted to digital images at 6/30/01.	10
01	Percentage of microfilm converted at 6/30/01.	3%
02	Rolls of microfilm to be converted to digital images at 6/30/01.	322
02	Rolls of microfilm (6/30/01 number) converted to digital images at 6/30/02.	36
02	Percentage of microfilm (6/30/01 number) converted at 6/30/02.	11%
03	Rolls of microfilm to be converted to digital images at 6/30/02.	268
03	Rolls of microfilm (6/30/02 number) converted to digital images at 6/30/03.	56
03	Percentage of microfilm converted at 6/30/03.	21%
	(Note: 56 of 65 rolls of SANM I - or 86% - converted at 6/30/03)	

ACTION STEP 3.2.4   PROVIDE REFERENCE ASSISTANCE IN ACCESSING RECORDS HELD BY THE COMMISSION.

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target

Percentage of requests for access to public records in its custody that the
Commission is able to satisfy.   98%

Baseline Report

FY	Baseline Description	Data
01	Number of requests for access to records in CPR custody - PRM-AHSD.	13,194
01	Number of those requests satisfied.	12,534
01	Percentage of requests satisfied.	95%
02	Projected number of requests for access to records in CPR custody - PRM-AHSD.	13,854
02	Projected number of those requests satisfied.	13,000
02	Projected percentage of requests satisfied.	96%
03	Number of requests for access to records in CPR custody - PRM-AHSD.	6,537
03	Number of those requests satisfied.	99.9%
03	Projected percentage of requests satisfied.	98%

ACTION STEP 3.2.5   PROVIDE ON-LINE ACCESS TO SRCA HOLDINGS.

FY 04   PERFORMANCE MEASURE   Activity: AL   Target

Percentage of NM Register available on-line by scheduled publication date.   100%

FY 04   PERFORMANCE MEASURE   Activity: PRM-AHSD   Target

Percentage of finding aids on-line.   70%

Baseline Report

FY	Baseline Description	Data
02	Percentage of NM Register available on-line by scheduled publication date (note: FY02 reporting covers August 15, 2001 through June 30, 2002).	100%
03	Percentage of NM Register available on-line by scheduled publication date.	100%
01	Number of finding aids.	397
01	Number of finding aids on-line.	231
01	Percentage of finding aids on-line.	58.2%
02	Number of finding aids.	415
02	Number of finding aids on-line.	235
02	Percentage of finding aids on-line.	56.6%
03	Number of finding aids.	417
03	Number of finding aids on-line.	235
03	Percentage of finding aids on-line.	56.6%

ACTION STEP 3.2.6   PROVIDE ACCESS TO AGENCY-STORED RECORDS.

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Percentage of records requests satisfied within 24 clock hours of request.		100%

FY 04	**PERFORMANCE MEASURE**	**Activity: PRM-RMD**	**Target**
	Percentage of emergency requests for records satisfied within one hour.		100%

Baseline Report

FY	*Baseline Description*	*Data*
01	Number of requests received.	7,625
01	Number of requests satisfied within 24 clock hours of request.	7,243
01	Percentage of requests satisfied within 24 clock hours.	95%
02	Number of requests for records received.	4,930
02	Number of requests satisfied within 24 clock hours of request.	4,930
02	Percentage of requests satisfied within 24 clock hours.	100%
03	Number of requests for records received.	7,280
03	Number of requests satisfied within 24 clock hours of request.	7,280
03	Percentage of requests satisfied within 24 clock hours.	100%
01	Number of emergency requests for records received.	8
01	Number of emergency requests satisfied within one hour of request.	8
01	Percentage of emergency requests satisfied within one hour.	100%
02	Number of emergency requests for records received.	10
02	Number of requests satisfied within one hour of request.	10
02	Percentage of emergency requests satisfied within one hour.	100%
03	Number of emergency requests for records received.	12
03	Number of requests satisfied within one hour of request.	12
03	Percentage of emergency requests satisfied within one hour.	100%

STRATEGY 3.3   DEVELOP AND PROVIDE ACCESS TOOLS FOR PERMANENT RECORDS TO BE REVIEWED BY AHSD FOR USE BY STATE AGENCIES.

ACTION STEP 3.3   NONE ESTABLISHED AT THIS TIME.

STRATEGY 3.4   IDENTIFY AND REMOVE UNNECESSARY IMPEDIMENTS TO OPEN ACCESS.

ACTION STEP 3.4.1 ANALYZE LAWS RESTRICTING ACCESS TO PUBLIC RECORDS AND THE EFFECT OF UNLIMITED RESTRICTED ACCESS TO GOVERNMENT RECORDS.

FY 04	**PERFORMANCE MEASURE**	**Activity: ADM**	**Target**
	Prepare and submit the multi-agency task force recommendations to the legislature pursuant to memorial.		10/30/03

FY 04 or 05	**PERFORMANCE MEASURE**	**Activity: ADM**	**Target**
	Identify legislative sponsor for any proposed legislation and support passage of legislation.		1/15/04

STRATEGIC INITIATIVE #4   ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

STRATEGY 4.1   MANAGE CURRENT RESOURCES EFFECTIVELY.

ACTION STEP 4.1.1   MANAGE THE AGENCY ACCORDING TO AN ADOPTED STRATEGIC PLAN.

FY 04 **PERFORMANCE MEASURE** Activity: ADM Target
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM-TRAINING** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: AL** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: NMH-OSH** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: NMH-NMHRAB** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: PRM-AHSD** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY 04 **PERFORMANCE MEASURE** **Activity: PRM-RMD** **Target**
Percentage of annual strategic action plan achieved or on schedule. 75%

FY	*Baseline Description*	*Data*
01	Percentage of action plan achieved.	75%
02	Percentage of action plan achieved.	75%
03	Percentage of action plan achieved.	63%

ACTION STEP 4.1.2 PROVIDE APPROPRIATE TRAINING TO STAFF.

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of training scheduled to date completed. 80%

ACTION STEP 4.1.3 PROVIDE SUPPORT SERVICES AS NEEDED TO MEET OPERATIONAL AND LEGAL REQUIREMENTS.

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of time available per server. 98%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of PAD evaluations conducted on time. 96%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of budget expended - general fund. 98%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of budget expended - revolving fund. 97%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of purchase documents processed within three days of receipt of 92%
purchase request.

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of deposits made within 24 hours of receipt of revenue. 98%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of vouchers representing payment within 30 days. 98%

FY 04 **PERFORMANCE MEASURE** **Activity: ADM** **Target**
Percentage of PADs established on time. 96%

Baseline Report

FY	Baseline Description	Data
01	Percentage of vouchers representing payment within 30 days.	95%
02	Percentage of vouchers representing payment within 30 days.	100%
03	Percentage of vouchers representing payment within 30 days	99.9%
01	Percentage of deposits made within 24 hours of receipt of revenue.	99%
02	Percentage of deposits made within 24 hours of receipt of revenue.	100%
03	Percentage of deposits made within 24 hours of receipt of revenue.	100%
01	Number of purchase documents processed.	460
01	Number of purchase documents processed within seven days of receipt of	Not available
02	Number of purchase documents processed.	423
02	Number of purchase documents processed within seven days of receipt of	415
03	Number of purchase documents processed.	
03	Number of purchase documents processed within three days of receipt of	387
01	Number of FTE.	34
01	Number of PAD Established.	26
01	Number of PADs established on time.	8
02	Number of FTE.	35
02	Number of PADs established.	26
02	Number of PADs established on time.	9
03	Number of FTE.	35
03	Number of PADs established.	38
03	Number of PADs established on time.	37
01	Percentage of PAD annual evaluations conducted on time.	43.75%
01	Percentage of PAD interim reviews conducted on time.	18.75%
02	Percentage of PAD annual evaluations conducted on time.	26.9%
02	Percentage of PAD interim reviews conducted on time.	42.1%
03	Percentage of PAD annual evaluations conducted on time.	66.2%
03	Percentage of PAD interim reviews conducted on time.	81.8%
01	Percentage of time available per server.	97.5%
02	Percentage of time available per server.	99.5%
03	Percentage of time available per server.	99.9%
01	Percentage of budget expended - general fund.	98.7%
01	Percentage of budget expended - revolving fund.	86%
02	Percentage of budget expended - general fund.	99%
02	Percentage of budget expended - revolving fund.	97%
03	Percentage of budget expended - general fund.	98.5%
03	Percentage of budget expended - revolving fund.	72%

STRATEGY 4.2   DEVELOP REQUEST FOR FUNDING CONSISTENT WITH PLANNED LEVELS OF SERVICE.

ACTION STEP 4.2.1   IDENTIFY ALTERNATIVE FUNDING SOURCES.

FY 04	PERFORMANCE MEASURE	Activity: NMH-OSH	Target
	Number of grant proposals submitted.		2

FY 04	PERFORMANCE MEASURE	Activity: NMH-NMHRAB	Target
	Number of grant proposals submitted.		1

FY 04	PERFORMANCE MEASURE	Activity: PRM-AHSD	Target
	Number of grant proposals submitted.		1

Baseline Report

FY	Baseline Description	Data
03	Number of grant proposals submitted. OSH	3
01	Number of grant proposals submitted. NMHRAB	2
02	Number of grant proposals submitted. NMHRAB	2
03	Number of grant proposals submitted. NMHRAB	3
01	Number of grant proposals submitted. AHSD	3
02	Number of grant proposals submitted. AHSD	3
03	Number of grant proposals submitted. AHSD	4

ACTION STEP 4.2.2 PREPARE, SUBMIT, AND DEFEND APPROPRIATION REQUESTS.

FY 04	PERFORMANCE MEASURE	Activity: ADM	Target
	Percentage of annual action steps for which funding is included in request (FY 05 request).		100%

FY 04	PERFORMANCE MEASURE	Activity: ADM	Target
	Percentage of request appropriated.		100%

Baseline Report

FY	Baseline Description	Data
01	Amount of FY 01 Budget Request.	2,038,900
01	Amount of FY 01 Appropriation.	1,889,600
01	Percentage of request appropriated.	92.7%
02	Amount of FY 02 Budget Request.	2,149,200
02	Amount of FY 02 Appropriation.	2,003,300
02	Percentage of request appropriated.	93.2%
03	Amount of FY 03 Budget Request.	2,385.500
03	Amount of FY 03 Appropriation.	2,121,000
03	Percentage of request appropriated.	89%

STRATEGY 4.3 IDENTIFY AND DEVELOP ADDITIONAL RESOURCES.

ACTION STEP 4.3.2 GENERATE NEW MEXICO REGISTER REVENUE FROM NEW SOURCES.

FY 04	PERFORMANCE MEASURE	Activity: AL	Target
	Investigate feasibility of licensing agreements for commercial use of the NMAC and the NM Register.		12/31/03

FY 04	PERFORMANCE MEASURE	Activity: AL	Target
	Percentage of executive orders issued in FY03 published in the NM Register and generating revenue.		50%

Baseline Report

FY	Baseline Description	Data
01	Number of executive orders issued in FY 01.	Not available
01	Number of executive orders published in the NM Register.	0
02	Number of executive orders issued in FY 02.	Not available
02	Number of executive orders published in the NM Register.	0
03	Number of executive orders issued in FY03.	Not available
03	Number of executive orders issued in FY03.	0

STRATEGIC INITIATIVE #5 CULTIVATE RECOGNITION OF THE IMPORTANCE OF NEW MEXICO'S HISTORICAL RECORDS AND APPRECIATION OF NEW MEXICO HISTORY.

STRATEGY 5.1 IDENTIFY PRIMARY SOURCES THROUGHOUT THE STATE.

ACTION STEP 5.1.1 UPDATE THE NMHRAB REPOSITORY DIRECTORY.

FY 04	PERFORMANCE MEASURE	Activity: NMH-NMHRAB	Target
	Percentage of repositories in the NMHRAB directory for which primary sources are identified.		75%

Baseline Report

FY	Baseline Description	Data
03	Percentage of repositories for which primary sources are identified.	100%

STRATEGY 5.2   DEMONSTRATE THE VALUE OF HISTORICAL RECORDS.

ACTION STEP 5.2.1   DELIVER HISTORICAL RECORDS-BASED PRESENTATIONS (CLASSES, WORKSHOPS, LECTURES, ETC.).

FY 04	PERFORMANCE MEASURE	Activity: PRM-AHSD	Target
	Number of presentations delivered.		10

Baseline Report

FY	Baseline Description	Data
01	Number of presentations.	11
02	Number of presentations.	4
03	Number of presentations.	4

ACTION STEP 5.2.2   PUBLISH ARTICLES BASED ON OR ABOUT HISTORICAL RECORDS.

FY 04	PERFORMANCE MEASURE	Activity: PRM-AHSD	Target
	Number of articles published.		10

Baseline Report

FY	Baseline Description	Data
01	Number of articles published.	13
02	Number of articles published.	18
03	Number of articles published.	10

STRATEGY 5.3   PROMOTE THE PRESERVATION OF HISTORICAL RECORDS AND RESOURCES.

ACTION STEP 5.3.1   AWARD NEW MEXICO HISTORICAL RECORDS GRANTS TO ELIGIBLE APPLICANTS.

FY 04	PERFORMANCE MEASURE	Activity: NMH-NMHRAB	Target
	Number of grants awarded.		10

FY 04	PERFORMANCE MEASURE	Activity: NMH-NMHRAB	Target
	Average grant award (excluding scholarships)		$2,500

FY 04	PERFORMANCE MEASURE	NMH-NMHRAB	Target
	Percentage of all projects for the New Mexico Historical Records Grant Program projects achieving stated objectives.		92%

FY 04	PERFORMANCE MEASURE	Activity: NMH-NMHRAB	Target
	Percentage of all applications funded.		34%

Baseline Report

FY	Baseline Description	Data
01	Number of grants awarded.	13
01	Average grant award (excluding scholarships).	$3,692.27
02	Number of grants awarded.	11
02	Average grant award (excluding scholarships).	$2,590.91
03	Number of grants awarded.	6
03	Average grant award (excluding scholarships).	$4,167
01	Number of 2000 (work completed in 2001) projects.	16
01	Number of 2000 projects that achieved stated objectives.	16
02	Number of 2001 (work completed in 2002) projects.	11
02	Number of 2001 projects that achieved stated objectives.	10
03	Number of 2002 (work completed in 2003) projects.	11
03	Number of 2002 projects that achieved stated objectives.	11
01	Total applications received in 2001.	14
01	Number of 2001 applications funded.	11

01	Dollars requested.	$78,968
01	Dollars awarded.	$48,000
01	Percentage of applications funded ($).	59.5%
02	Total applications received in 2002.	17
02	Number of 2002 applications funded.	10
02	Dollars requested.	$76,054
02	Dollars awarded.	$28,500
03	Total applications received in 2003.	7
03	Number of 2003 applications funded.	6
03	Dollars requested.	$76,703
03	Dollars awarded.	$25,000
03	Total applications projected to be received in 2003.	20
03	Estimated number of 2003 applications to be funded.	12
03	Dollars requested.	$80,000
04	Projected dollars awarded.	$27,500
04	Total applications projected to be received in 2004.	25
04	Estimated number of 2004 applications to be funded.	14
04	Projected dollars requested.	$85,000
04	Projected dollars awarded.	$30,000

ACTION STEP 5.3.2   PARTICIPATE ON THE CULTURAL PROPERTIES REVIEW COMMITTEE.

FY 04   PERFORMANCE MEASURE   Activity: NMH-0SH   Target
Number of New Mexico Historical Register nominations reviewed.   20

FY 04   PERFORMANCE MEASURE   Activity: NMH-0SH   Target
Number of historical marker texts prepared.   15

Baseline Report
FY	Baseline Description	Data
01	Number of New Mexico Historical Register nominations reviewed.	17
02	Number of New Mexico Historical Register nominations reviewed.	53
03	Number of New Mexico Historical Register nominations reviewed.	41
01	Number of historical marker texts prepared.	2
02	Number of historical marker texts prepared.	167
03	Number of historical marker texts prepared.	16

ACTION STEP 5.3.3   IMPLEMENT THE NMHRAB STRATEGIC PLAN.

FY 04   PERFORMANCE MEASURE   NMH-NMHRAB   Target
Percentage of 2004 annual work plan completed.   75%

Baseline Report
FY	Baseline Description	Data
01	Percentage of 2001 annual work plan completed.	93%
02	Percentage of 2002 annual work plan completed.	80%
03	Percentage of 2003 annual work plan completed	75%

STRATEGY 5.4   DEVELOP PARTNERSHIPS.

ACTION STEP 5.4.1   IDENTIFY PARTNERS AND PROGRAMS.

FY 04   PERFORMANCE MEASURE   Activity: NMH-OSH   Target
Number of new programs and potential partners identified by 6/30/04.   2

FY 04   PERFORMANCE MEASURE   Activity: NMH-OSH   Target
Number of new partnerships negotiated by 6/30/04.   2

Baseline Report
FY	Baseline Description	Data
03	Number of programs and potential partners identified.	11

| 03 | Number of partnerships negotiated. | 6 |

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-NMHRAB** | **Target** |
| | Number of new programs and potential partners identified by 6/30/04. | | 1 |

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-NMHRAB** | **Target** |
| | Number of new partnerships negotiated by 6/30/04. | | 1 |

Baseline Report

FY	*Baseline Description*	*Data*
03	Number of programs and potential partners identified.	4
03	Number of partnerships negotiated.	3

STRATEGY 5.5   DEVELOP AND PROMOTE ACTIVITIES THAT SUPPORT AN

ACTION STEP 5.5.1   DELIVER HISTORICAL-BASED PRESENTATIONS (CLASSES, WORKSHOPS, LECTURES, ETC.).

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-OSH** | **Target** |
| | Number of presentations. | | 10 |

Baseline Report

FY	*Baseline Description*	*Data*
01	Number of presentations.	11
02	Number of presentations.	4
03	Number of presentations.	14

ACTION STEP 5.2.2   CREATE A HISTORICAL-BASED WEBSITE.

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-OSH** | **Target** |
| | Complete development and place on-line. | | 6/30/04 |

ACTION STEP 5.5 .3   PUBLISH ARTICLES ON NEW MEXICO HISTORY.

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-OSH** | **Target** |
| | Number of articles published. | | 5 |

Baseline Report

FY	*Baseline Description*	*Data*
02	Number of articles published.	2
03	Number of articles published.	2

ACTION STEP 5.5 .4   DEVELOP NEW MEXICO HISTORY EDUCATION CURRICULUM.

| FY 04 | **PERFORMANCE MEASURE** | **Activity: NMH-OSH** | **Target** |
| | Work with Department of Education to develop curriculum. | | 6/30/04 |