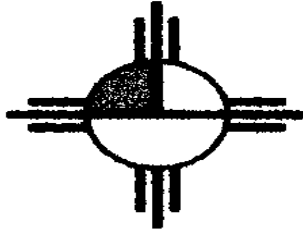# Commission of Public Records
New Mexico State Records Center and Archives

Access to and preservation of New Mexico's public records

Preserving The Past For The Future

STRATEGIC PLAN
Fiscal Years 2005 – 2009

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Commission of Public Records

Strategic Plan Table of Contents

EXECUTIVE SUMMARY

In 1996 the Commission of Public Records developed and implemented its first five-year (1996 - 2000) strategic plan. The plan served as a map to guide the agency as it worked towards achieving its mission as stated in the plan - *to protect, preserve, provide access and promote the use of the public records that document the rights and history of the people of New Mexico*. That original plan defined a number of "programs," including: preservation of public records, documenting government, access to public records, New Mexico history and administration. It also established specific goals, action steps and responsibilities for each. In Fiscal Year 1999, the agency's management team began the strategic planning process for the next five years with an assessment of the internal and external environments. In 2000, a new five-year plan was adopted. *Understanding New Mexico through Its Public Record, a Strategic Plan for Fiscal Years 2001 - 2005* drew on the experience gained under the previous plan. The language and format were revised somewhat to conform to more current strategic planning models. Six major strategic initiatives were identified: to increase knowledge of records, information and archival management (RIAM) practices; to have public records managed properly, in accordance with RIAM principles, throughout their life cycle; to have a comprehensive, authoritative locator service for all public records; to improve efficiency and accountability in State government through RIAM; to ensure that adequate resources were available to meet statutory obligations; and to advocate understanding and appreciation of New Mexico history.

The 2001 - 2005 plan was updated each year to reflect the experience of the prior year and to make adjustments driven by resource availability (or lack thereof). Early in the five-year cycle the original six strategic initiatives were reshaped and reduced to five. These were to: increase the knowledge of records, information and archival management (RIAM) practices; have public records managed properly, in accordance with RIAM principles, throughout their life cycle; promote open access to public records; ensure that adequate resources are available to meet statutory obligations; and cultivate recognition of the importance of New Mexico's historical records and appreciation for New Mexico history.

Strategic planning has provided, and continues to provide, the agency with the direction required to fulfill the Commission of Public Records' statutory responsibilities and business objectives and to address the internal needs of the State Records Center and Archives. The strategic initiatives, strategies, action steps and related performance measures and targets, in a very real sense, guide both daily operations and longer-term activities and projects. They are even incorporated in Employee Development and Appraisal plans and individual employee training plans.

One of the frustrations, however, in applying strategic planning to the real world is the inability to achieve stated goals because of insufficient resources; plans are developed based on hoped-for resource levels and when those resources do not materialize, targets are not met and some action steps and performance measures are abandoned altogether. Some of this is inevitable; new positions are frequently not authorized on the first try, and appropriation requests are rarely if ever fully funded - and adjustments in the strategic plan follow. However, in 2004, the

Commission of Public Records, while receiving authorization for 2.2 much-needed additional, full-time equivalent positions in the 2004 General Appropriations Act, also suffered a severe reduction in its operating fund appropriation in the "Other" budget category, which comprises the majority of non-personnel, operating expense items.

This, along with the desire of the new State Records Administrator to shift emphasis in some areas, led to a decision to conclude the 2001 - 2005 plan a year early and initiate a new planning cycle. The aim was to produce a pared-back, more tightly constructed plan that would still move the agency forward but would be more realistically aligned with the limited resources available. This plan is that product and represents a new five-year cycle.

The attempt in this plan, as in the previous ones, is to identify and direct efforts toward key issues in the records, information and archival management arena that are having, or will have, significant impact on New Mexico State, local and tribal governments as well as the agency's other constituencies. As we move forward into the twenty-first century, more public records are being created electronically. Over the next five years the agency expects an exponential growth statewide in the number of electronic records that need to be captured and preserved. This strategic plan, following on the 2001 - 2005 plan, continues an emphasis on the significance of electronic records and the role the State Records Center and Archives will play in their preservation. This plan also identifies what the agency must do to meet the growing demand for provision of its services over the Internet, as well as actions the agency intends in building its New Mexico history activity and increasing appreciation for the state's rich history.

VISION STATEMENT
The **vision** of the Commission of Public Records is to be the state's leading resource on matters pertaining to the preservation of historical documents, records, information and archival management issues, administrative law and New Mexico public history programs.

MISSION STATEMENT
The mission of the Commission of Public Records is to:
- preserve, protect and facilitate access to public records that are held in trust for the people of New Mexico;
- ensure rules promulgated by State agencies are published as prescribed in law and are accessible;
- advocate an understanding and appreciation of New Mexico history; and
- develop records management programs for State agencies.

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
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 recently enacted Public Records Act provided that the Commission of Public Records appoint a State Records Administrator; it further stipulated that the State Records Administrator establish a records management program *for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records*. The Act also provided for the establishment of a records center in Santa Fe. The facility created to fulfill that statutory responsibility is commonly known as the State Records Center and Archives (SRCA). While its official name is the Commission of Public Records, the agency is perhaps more frequently referred to by the name of the facility, the SRCA. **Throughout this plan, the terms Commission of Public Records and State Records Center and Archives are used interchangeably in referring to the agency.**

The Commission of Public Records is responsible for the administration of the Public Records Act [Chapter 14, Article 3, NMSA 1978] and the State Rules Act [Chapter 14, Article 4, NMSA 1978], as well as portions of other statutes. In both Acts, the Commission and the State Records Administrator are charged with specific duties and responsibilities [please see *Functional Assessment*, below]. In order to carry out these statutory responsibilities, the SRCA is organized into four divisions, the Office of the State Historian and the Office of the State Records Administrator. The divisions are Administrative Law, Administrative Services, Archives and Historical Services and Records Management. The directors of these divisions and the State Historian, along with the Administrator and Deputy 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.

OFFICE OF THE STATE RECORDS ADMINISTRATOR
The State Records Administrator is the head of the agency and provides overall direction for and management of the agency. The Deputy State Records Administrator also serves as Director of the Administrative Services Division (please see below).

ADMINISTRATIVE LAW DIVISION (ALD)
The Administrative Law Division administers the State Rules Act that governs the official filing and publication of rules developed by executive agencies of New Mexico State government, as

well as some judicial agencies that voluntarily file with the agency. Rules promulgated by State agencies are intended to support and implement the laws of New Mexico. For those rules to be valid, they must first be filed with the SRCA and published in the *New Mexico Register*. The Administrative Law Division publishes both the rules filed with it as well as notices of intended rule making in the *New Mexico Register*, which is available both free on-line and by paid hard-copy subscription. The Division also publishes the *New Mexico Administrative Code*, a free, searchable, on-line compilation of those rules. Other regulatory instruments - interstate compacts and county sub-division regulations - must also be filed with the SRCA.

ADMINISTRATIVE SERVICES DIVISION (ASD)

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. The Deputy State Records Administrator, as noted above, is also the ASD Director as well as the agency's Chief Financial Officer and Chief Information Officer.

ARCHIVES AND HISTORICAL SERVICES DIVISION (AHSD)

The Archives and Historical Services Division maintains, preserves and makes available to the public the permanent and historical 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 governmental 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 (RMD)

The Records Management Division is responsible for providing guidance and assistance to state and local government agencies for the establishment and continued maintenance of successful records and information management programs. Records management deals with the management and control of records from their creation to their final disposition. Efficient and economical management involves the description of records in use by State agencies. Records retention and disposition schedules provide this description and become the basic tool of an agency's records and information management program. The Division is also responsible for developing standards for the management of electronic records and microphotography systems, including imaging applications (State statute defines microphotography to include electronic imaging and places the responsibility for approval of imaging plans with the State Records Administrator). This Division also offers warehouse management of inactive records as well as records disposition services and records management consultation.

OFFICE OF THE STATE HISTORIAN (OSH)

The State Historian sits as the statutory member of the Cultural Properties Review Committee, the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. He also assists the State Historic Preservation Office by providing historical consultation on culturally significant sites and structures. One of his principal functions is to promote throughout the state a greater awareness of, and appreciation for New Mexico history.

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NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD (NMHRAB)

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. Seven of the eight 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.

PERFORMANCE-BASED BUDGETING

For the purposes of performance-based budgeting, the Commission of Public Records – State Records Center and Archives – has identified one program, **"records, information and archival management,"** and four associated sub-programs or activities - **administrative law**, **administration**, **public records management** and **New Mexico history**. It reports to the State Budget Division on six key performance measures that encompass all agency functions, although the number included in the General Appropriation Act has varied from all six to the present three. For FY06, the agency is proposing to substitute a new - and in the agency's opinion, more pertinent - output measure. The previous output measure - *number of rules and notices of rule making filed with the Commission and published in the New Mexico Register in compliance with the State Rules Act* - measured the rule-related activity of other agencies and was not a measure the State Records Center and Archives could affect, other than through its own rule making. The new output measure proposed is *number of consultations, research reports and educational activities provided by the State Historian*, which the agency believes is a more pertinent measure and gives added recognition to its New Mexico history activity. The agency, however, tracks performance on many other measures, as reflected in the last section of this plan.

The purpose of the records, information and archival management program is to develop, implement, and provide tools, methodologies and services for the benefit of government agencies, historical records repositories and the public; effectively create, preserve, protect and properly dispose of records; facilitate the use and understanding of those records; and protect the interests of the citizens of New Mexico.

KEY PERFORMANCE MEASURES (All measure outcomes except the last, which is an output measure.)

- Maximum number of days of lag time between rule effective date and on-line availability.
- Percentage of State agencies with current records retention and disposition schedules.
- Percentage of requests for access to public records in its custody that the agency is able to satisfy.
- Percentage of all projects funded through the New Mexico historical records grant program that are achieving stated objectives.
- Percentage of annual strategic action plan achieved or on schedule.
- Number of consultations, research reports and educational activities provided by the State Historian.

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
1.13.1	General Provisions
1.13.2	Fees
1.13.5	New Mexico Historical Records Grant Program Guidelines
1.13.6	New Mexico Historical Records Grant Scholarship 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

Activity	Tasks
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
	o Annual Action Plan
	o Performance Measures
Adopt and enforce rules	❑ 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

Activity	**Tasks**
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

ARCHIVES

Statutes: Archives

NMSA 1978	**Provisions**
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 and similar instruments.

Federal Law: National Archives and Records Administration, Affiliated Archives

Law	**Provisions**
36CFR1253	Place Federal archival material in repositories outside the Federal government through a formal program of affiliated archives.

Regulations: Archives

NMAC No.	**Name**
1.13.2	Fees
1.13.3	Management of Electronic Records
1.13.5	New Mexico Historical Records Grant Program Guidelines
1.13.6	New Mexico Historical Records Grant Scholarship Program Guidelines
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

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- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ Historical record repositories
- ❖ Historians and others interested in history

Activities and Tasks: Archives

Activity	Tasks
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 on-line 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 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

<u>NMAC No.</u>	<u>Name</u>
1.13.2	Fees
1.13.3	Management of Electronic Records
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

NMAC No. **Name**

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

NMAC No.	Name
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
Establish and enforce standards	❑ 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 rule-making 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
	❑ 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	New Mexico Historical Records Grant Program Guidelines
1.13.6	New Mexico Historical Records Scholarship 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 five-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 and Scholarship programs
	❑ 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

ACHIEVEMENTS

As stated previously, the SRCA has operated under a strategic plan since 1996. This summary will highlight some of the major accomplishments the agency has realized in the period 1996 through 2004.

Acquire a new facility

The acquisition of a new facility to house the agency was the culmination of research, planning, collaborations and support of staff, patrons, the Commission, three governors and ten legislative sessions. Construction of the new facility was completed by November 1997. Through a contract with Corrections Industries, 35,000 cubic feet of public records and 135,000 rolls of microfilm as well as office furniture were relocated in January 1998 to the newly renovated records center attached to the new facility. National Library Relocations, Inc., a national firm specializing in moving libraries and archives, successfully moved 20,000 linear feet of archival collections in April 1998. The move was completed ahead of schedule with no loss of records or injury to staff. Operations resumed May 18, 1998. Opening ceremonies were held in October 1998.

Improve access to public records

Several initiatives were undertaken by the agency that improved access to public records. In 1997, the SRCA, through collaborations with the State Library, successfully completed a National Endowment for the Humanities (NEH) grant project in which 706 archival collections were cataloged utilizing machine-readable cataloging (MARC) format and placed on-line through the State Library's website. *Salsa*, the State Library's on-line database, provides bibliographic information on SRCA archival collections. In 1998, the SRCA entered into second NEH collaborative grant project, the *Online Archives of New Mexico*, in partnership with the University of New Mexico, the Fray Angelico Chavez Library and New Mexico State University. Finding aids for archival collections in all four institutions were encoded in standard generalized mark-up language (SGML), a language that allowed for easy Internet display. The three-year project was completed in 2001; encoded finding aids were placed on-line through the *Online Archives of New Mexico* website hosted by the University of New Mexico, http://elibrary.unm.edu/oanm/.

In 2000, the agency acquired and installed software to automate and consolidate several archival processes, including those that supported the *Online Archives*. The software, WinGenCat, allowed the agency to provide access to finding aids directly through the agency's website. Also available through the SRCA website are more than 3,400 digital images - photographs from the Department of Tourism. The digital images are the product of the archival imaging project implemented in FY 2001 with funds appropriated in the General Appropriation Act of 2000 to underwrite the imaging project. The Archives and Historical Services Division is currently scanning photographs from the Department of Education photograph collection.

Provide access to State rules

The SRCA is the filing point for rules promulgated by executive-branch agencies, for interstate compacts and for county subdivision regulations. The *New Mexico Administrative Code* (*NMAC*) is the compilation of current, active rules promulgated by State agencies. The agency also publishes the *New Mexico Register*, a semi-monthly publication where notices of intended rule making, newly promulgated rules and amendments to and repeals of existing rules are officially published. State rules and their compilation into the *Code* were of significant concern to the agency. The structure and format for the *NMAC* are prescribed by the SRCA for rules filed under the State Rules Act. The original *NMAC* standards adopted in 1995 were found to be overly complex. Accordingly, the SRCA undertook a restructuring of the *NMAC*, which, with the promulgation of five new rules on rule making, went into effect in February of 2000. The restructuring assured consistency in the anatomy of regulations filed under the State Rules Act. The new format also simplified the management and retrieval of, and access to the rules.

Until August 2001, the *New Mexico Register* and the *NMAC* were published through a contract with another agency, which then contracted with an external publisher. It became apparent early in FY 2001 that the outside publisher was not going to complete the conversion of the compiled rules by the deadline. It also became increasingly obvious that the quarterly, at best, publication schedule, which worked satisfactorily for publication of the statutes, simply did not work for the *NMAC*. New rules and changes to existing rules occur twice monthly with the publication of the *New Mexico Register*, and a more frequent updating of the *NMAC* was needed, if it was to provide the public access desired. Additionally, the agency had long wanted to offer a free version of the *New Mexico Register* but was prohibited by the terms of the contract. As a result, the contract for external publication was terminated, and the agency assumed the responsibility for publication in-house of both the *New Mexico Register* and the *NMAC*. In its effort to complete the *Code*, the agency enlisted the services of contractors, temporary employees, interns, volunteers and agency staff to reformat both rules in the original *NMAC* format as well those that had never been converted even to that format (many agencies did not do the original reformatting as required, and the *NMAC* had never been completed) to the new format adopted in 2000. The project was personally directed by the then-State Records Administrator and later the Deputy Administrator and facilitated by the hiring of a new ALD Director with needed information technology skills. The agency published its first on-line and free edition of the *New Mexico Register* on August 15, 2001 and a completed *NMAC* became available on-line in January 2002. The Division website also provides information on rule histories, interstate compacts and subdivision regulations.

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Increase knowledge of records, information and archival management and New Mexico history

The agency instituted free training programs for State employees in rule style and formatting requirements, imaging plan requirements and records liaison responsibilities. It also offered a survey course in New Mexico history, which has now been replaced with history forums. In FY 2000 for-fee workshops were also developed in records, information and archival management theory and practice to provide small libraries, museums, historical societies and local governments as well as State agencies and other interested parties with the tools necessary to manage their records properly and preserve the historical documents in their custody. The program started in November 2000 and in its first year drew 192 participants. In 2004 the number of participants had grown to 245. All available training sessions are posted on the agency's web page, and interested applicants may register on-line.

Manage public records in accordance with records, information and archival management principles throughout their life cycle.

Updating outdated Records Retention and Disposition Schedules (RRDS) has been and continues to be a priority for the agency. The percentage of State agencies with current RRDS rose from 42 percent in FY 2001 to 52 percent in FY 2004. The SRCA also adopted a rule on the management of electronic records in 2003. The objective of the rule is to ensure proper records and information management practices for electronic records are implemented and adhered to by State governmental entities. The components of the rule include: electronic information systems (retention and disposition); hard-drive record keeping; network drives; storage of records on electronic media; and electronic mail (e-mail).

The agency has also taken action to assess the management of electronic records in State government. The SRCA is collaborating with the Taxation and Revenue and Human Services Departments in an Electronic Document Management System (EDMS) project. The EDMS, C-3 project was funded in 2004 through House Bill 2; $2,000,000 was allocated to the project, which included $180,000 for the SRCA to conduct an electronic records management needs assessment. Areas to be addressed include storage formats and standards and the records management life cycle. The assessment will be conducted in FY 2005.

Appropriately classify and pay staff by 2004

The HR 2001 project provided the agency the opportunity to evaluate positions and salaries; however, the lack of information with respect to titles, job descriptions and pay ranges available at the time when initial decisions had to be made resulted in a number of inappropriate classifications and equity problems. The agency submitted "corrections" to State Personnel in an effort to remedy these problems, and several were eventually approved. However, inappropriate classifications in the management category have yet to be corrected because State Personnel has frozen reclassifications until a study is completed. Depending on the outcome of the State Personnel study, the agency will determine what further actions are appropriate. However, in its efforts to resolve inequities in pay, the agency has provided 10 percent in-pay band adjustments for the Administrative Law Division Director, the Archives Bureau Chief, and the Records Center Bureau Chief and has submitted the requisite paperwork for an increase for the Archives and Historical Services Division Director.

Advocate understanding and appreciation of New Mexico history.
In its efforts to expand the New Mexico history activity, the Commission received funding in 2004 for a position to assist the State Historian in implementing plans to promote an understanding and appreciation of New Mexico history. Four major areas of concentration have been identified: research and interpretation; education and outreach; informational services; and heritage preservation. The agency was also successful in obtaining funding, to be administered by the Property Control Division, to renovate an unused space in the facility into office space for the State Historian, his assistant and the Grants Administrator. The appropriation the agency received in 2004 included additional money to expand the New Mexico history website. The website, funded initially through a $15,000 special appropriation, is to be unveiled by September 2004. The Education Department, pursuant to a memorial passed by the 2003 Legislature, established a task force to assess the social studies curriculum and standards for the teaching of New Mexico history. The State Historian serves as chairman of the task force, which is to issue a final report of its findings to the legislature by the fall of 2004.

Identify additional funding sources.
In its efforts to secure additional funding to support its work, the agency has been involved in or secured the grants described below.
- 1997 - 1998, National Endowment for the Humanities (NEH) Grant. The NEH awarded $130,000 to the State Library to fund a collaborative project that included the SRCA. The project created an on-line catalog of archival collections by utilizing MARC (machine readable cataloging) format. A total of 706 SRCA finding aids were cataloged.
- 1996 - 1998, National Historical Publications and Records Commission (NHPRC) Grant. The grant provided $39,000 to the Commission of Public Records to prepare a statewide strategic plan for the New Mexico Historical Records Advisory Board (NMHRAB).
- 1998 - 2000, NHPRC Grant. The grant provided $156,499 to implement the first phase of the NMHRAB's strategic plan and to establish a re-grant program.
- 1999 - 2000. NEH Grant. The NEH awarded $308,930 to the University of New Mexico to fund a collaborative effort to produce the *Online Archives of New Mexico*. The SRCA, along with three other repositories, participated in this project. The agency encoded 246 finding aids that are included as part of the *Online Archives of New Mexico*.
- 2001 - 2002, NHPRC Grant. The NHPRC awarded $14,800 to the Commission of Public Records to provide administrative support to the NMHRAB.
- 2002, NMHRAB Grant. The NMHRAB awarded $4,000 to the SRCA to purchase archival supplies to re-house the Historical Film Collection.
- 2002 - 2003, National Film Preservation Foundation (NFPF). The NFPF awarded $4,225 to the agency to restore two films from the Historical Film Collection, Los *Alamos Ranch School and Summer Camp* (1929-1930) and *San Ildefonso Buffalo and Cloud Dances* (1929) filmed by Virginia Adams.
- 2002 - 2003, Office of Cultural Affairs, State Historic Preservation Division Grant. The Historic Preservation Division awarded $1,302 to the agency to restore a film from the Historical Film Collection, *Indian Portraits-CCC* (1939).
- 2002 - 2003, NHPRC Grant. The NHPRC awarded $58,079 to the Commission of Public Records to implement Phase II of the NMHRAB's strategic plan. Phase II of the strategic

plan provided for the assessment of local and tribal government records. A total of 51 government entities were surveyed.

- 2003, NFPF Grant. The NFPF awarded $11,800 to the agency to restore the *Amelia White Home Movies* that are part of the Historical Film Collection.
- 2003 - 2004, NHPRC Grant. The NHPRC awarded $19,473 to the Commission of Public Records to provide administrative support to the NMHRAB.
- 2003, NMHRAB Grant. The NMHRAB awarded $2,000 to the Archives and Historical Services Division to purchase film cans for the Historical Film Collection. A total of 1,445 reels of film were re-housed in archival containers.
- 2004, NEH Grant. The NEH awarded $4,670 to the agency to support training for two archivists - a two-week film preservation workshop and a one-week photograph preservation workshop.
- 2004 - 2005, NHPRC Grant. The grant provided $71,164 to support the NMHRAB's re-grant and scholarship program.

THE STRATEGIC PLANNING PROCESS

In the spring of 2004, the Chair of the Commission of Public Records and the management team of the State Records Center and Archives (SRCA) met to begin the planning process for the 2005 - 2009 Strategic Plan. As discussed in the Executive Summary, above, a decision was made to undertake a new five-year planning cycle a year early. The plan presents a long-range, practical vision for the agency; identifies obstacles to effective operations; and establishes strategic initiatives, strategies and action steps. In addition, it provides a two-year action plan that specifies performance measures and targets for the action steps and assigns responsibilities by activity and organizational unit.

The new strategic plan developed by the management team has the three major components noted below.

1. Management and preservation of public records.
2. Program development and access to public records.
3. Supportive governmental environment.

The strategic initiatives and related strategies, which are designed to implement the practical vision and move the agency toward a more complete realization of its mission, are defined below.

1. To enhance the effectiveness of the agency by:
   - managing public records efficiently and effectively in accordance with statutory requirements;
   - increasing knowledge of records, information and archival management (RIAM) practices, rulemaking requirements and New Mexico history;
   - creating and fostering supportive relationships;
   - making more effective use of the Commission itself;
   - developing an effective legislative program; and

- developing additional sources of support.

2. To build awareness of agency resources and services by:
   - improving on-line access to agency resources and services;
   - promoting increased open access to public records;
   - supporting the preservation of historical resources and historical records; and
   - increasing use of agency resources and services.

3. To improve internal performance by:
   - improving the delivery of services and goods;
   - balancing priorities at the program and activity levels;
   - creating and implementing a strategy for staff retention;
   - preserving all records in an appropriate environment;
   - creating and fostering a unified agency vision; and
   - performing administrative functions in a manner that is both responsive to agency operational needs and in compliance with all applicable laws, rules, policies and procedures.

INTERVIEWS

Before the strategic planning sessions, a facilitator hired by the agency interviewed the State Records Administrator, Deputy Administrator, division directors and two members of the Commission of Public Records. The interviews focused on the strengths and weaknesses of the agency, trends affecting services and driving forces for change in New Mexico. In addition, the interviews gave the participants an opportunity to reflect on what they would like to see result from strategic planning.

In summary, the interviews showed that the real strength of the State Records Center and Archives is its highly professional staff. Staff members are not only passionate about what they do, but they also have the skill, knowledge and ability to innovate. They view the archives and historic records as the "treasures" or "jewels" of the state. Other strengths include the independent Commission structure, good governmental relationships and supportive management.

Several weaknesses that limit the effectiveness of the SRCA include the absence of statutory authority to accomplish the agency's mission and the need to educate personnel in other State agencies about the significance of standards and rules. In addition, significant staff turnover (due to the low pay schedule) and a pattern of flat budget appropriations have had negative impacts on the agency.

Several key trends are creating new opportunities and challenges for the SRCA. Most significantly, State agencies are producing many electronic records. Further, with access to records available through the Internet, demand for services is growing. Additional trends include making interpretive work about history more accessible and working toward standardization in the way State agencies write rules.

Themes from the interviews sparked the discussion in the opening session of the planning process and provided the context for development of the strategic plan.

<u>**PRACTICAL VISION**</u>
The practical vision identifies elements of the long-range plan that the agency would like to realize in the next three to five years. This pro-active statement describes the desired future. To develop the practical vision, the participants in the strategic planning process answered the question, "In five years, what would we like to see in place in the State Records Center and Archives?"

One component of the practical vision focuses on **management and preservation of public records**, which comprises two elements.

- **Refined rules and internal policies**
  In the envisioned future, the SRCA will have refined its rules in several areas. For example, it will have a rule in place requiring media migration for long-range records. Further, the agency will have excellent quality control over records storage and a systematic process for archival transfer.

  Electronic records
- In five years, the agency will have capacity for the storage of inactive and permanent electronic records and a definitive plan for management and preservation of these records. Additionally, electronic rules filing will be a well-established, agency service enhancement.

Three areas of the practical vision relate to **activity development and access.**

- **Expanded New Mexico history activity**
  Also in the envisioned future, the agency's New Mexico history activity will be expanded and grow in recognition with an appropriately staffed and funded Office of the State Historian (OSH). The OSH will deliver a public history program that will include exhibits, oral histories, speakers and outreach in the four major areas of concentration mentioned earlier: research and interpretation; education and outreach; informational services; and heritage preservation.

- **Enhanced access**
  One of the ways the SRCA will enhance access to records will be through the Internet. The SRCA will extend opportunities for educational use of documentary material by making available digital copies of high-interest documents. The SRCA will expand the NM history website, which will provide information that educates the public about events, places and people that have shaped the historical and cultural fabric of New Mexico.

- **Expanded outreach**
  The SRCA has been in existence more than forty years providing management of and access to public records, yet many New Mexicans do not know that the SRCA exists or

that it holds government records for their use. Further, although the SRCA is a central-services agency within the context of New Mexico State government, providing services to virtually all State agencies, many of those agencies know little about either the SRCA or their records management responsibilities. As part of its outreach, the SRCA will have a strong educational program structured around a curriculum focusing on the key components of the agency's mission. Within five years, the SRCA's constituents will have a greater awareness of rules, records management and the use of historical records.

Finally, four additional aspects of the vision relate to a **supportive governmental environment**.

- **Strengthened statutory authority**
  In an ideal future, the SRCA will have strong statutory authority. Not only will the Public Records Act be amended to allow for enforcement authority, but also tangential functions not now explicitly covered under statute will be written into law and backed with appropriate enforcement mechanisms. As a result, State agencies will readily comply with both the Public Records Act and the State Rules Act.

- **Enhanced resources**
  With the addition of a staff attorney, the agency will clarify state institutional mechanisms for enforcing its mandate and will thus be able to fulfill its statutory obligations completely. Government and private funding initiatives will provide the resources to enhance and supplement programs, making it possible to extend service hours. These resources will also support an adequate number of trained staff, as well as an internship program for college and university students and an executive/senior support program that will draw on the services of retired professionals.

- **Strengthened political support**
  Through strong commitment and involvement of the Commissioners in legislative affairs, the agency will cultivate its legislative relationships. Over time, strong advocacy by the Commission will result in greater visibility within State government, and effort by the staff will result in closer links to State agencies that have overlapping, complementary functions.

- **Resolved building issues**
  Public access to records for as long as needed cannot be provided unless those records can be preserved. To preserve records appropriately they need to be stored in a space that will protect them from destructive fluctuations in temperature and humidity, as well as from fire, flood and theft. Through cooperation with the Property Control and Building Services Divisions of the General Services Department, all building issues that threaten the preservation of New Mexico's historical patrimony will be resolved.

Root Causes

Root causes are barriers that are likely to make it difficult or even impossible for the team to realize its practical vision. These blocks or contradictions are systems, policies, procedures or practices that, if unaddressed, could prevent implementation of the vision. To identify these powerful forces, the analysis focused on the question, "What is blocking the agency from

achieving the practical vision?" Four core issues were identified that must be addressed for the SRCA to move forward in an effective way.

- **Resources**
  Flat budget directives have limited travel and training, making it difficult to enhance staff capabilities in rapidly changing technology or other service areas. They have resulted in serious constraints on funding for on-going operational expenses, including moneys to continue replacement or upgrading of computer equipment and software. Moreover, low compensation levels make it difficult to hire and retain skilled personnel, who can be better compensated in the private sector or elsewhere in government.

- **Statutory authority**
  State statutes delegate significant responsibilities to the agency, but existing laws do not provide enforcement powers. For example, the SRCA has no authority to ensure that State agencies fulfill their responsibility to comply with records retention and disposition schedules.

- **Commission/governing body**
  Commissioners are understandably distracted by competing priorities and responsibilities. The uneven involvement of Commission members limits the effectiveness of the Commission as an advocate for agency priorities.

- **Identity and name**
  There is widespread confusion over the agency's name, and many people don't know what the organization does. State statutes refer to the "Commission of Public Records," yet other documents refer to the "State Records Center and Archives." Moreover, many decision makers have limited understanding of how the SRCA serves the interests of their constituents. Consequently, the agency sometimes finds itself left out of important decisions. Because the SRCA serves multiple audiences and lacks professional marketing capabilities, it is difficult to improve its name recognition and impart an understanding of its services.

STRATEGIC INITIATIVES AND STRATEGIES

With development of the practical vision and an understanding of the root causes likely to inhibit its implementation, the strategic component of this plan could be defined. The management team discussed the question, "What practical, innovative actions can be taken in the next two to three years to address the root causes and move toward the defined vision?"

The resulting strategic initiatives and related implementation strategies are intended as the major foci for agency efforts over the next five years and will shape collective action across the SRCA's activities and organizational units.

INITIATIVE #1: TO ENHANCE THE EFFECTIVENESS OF THE AGENCY

The aim here is to enhance the effectiveness of the agency by providing the services, information and facilities necessary to promote and support the State's records management programs; ensuring compliance with the Public Records Act and the State Rules Act; preserving New Mexico's documentary heritage; and advocating for a greater appreciation of New Mexico's historical and cultural resources.

- **Strategy 1.1. Manage public records efficiently and effectively in accordance with statutory requirements.** Compliance with records retention and disposition schedules improves public access to government information, provides for government accountability and fosters cost-effective government recordkeeping practices. Along with implementation of effective records management programs throughout State government, the agency must adequately address the storage, preservation and access issues surrounding the State's electronic records with long-term or archival value.

- **Strategy 1.2. Increase knowledge of records, information and archival management (RIAM) practices, rule-making requirements and New Mexico history.** It is essential that the agency provide educational materials and programs designed to improve the knowledge of RIAM practices, rule-making requirements and New Mexico history to a variety of audiences. Efforts here will include the provision of technical or specialized training for professionals and laypersons in order to improve rule filings, the management of public records, the preservation of historical documents and the teaching and interpretation of New Mexico history. Local governments and historical organizations play key roles in preserving and promoting New Mexico's heritage, and the SRCA will support these organizations and programs by providing training and financial assistance through the NMHRAB's re-grant and scholarship efforts and by sharing information with, and encouraging communication among them.

- **Strategy 1.3: Create and foster supportive relationships.** Key action steps for carrying out this strategy include establishing a formal records management contact at the management level in every State agency and in the Governor's Office. The State Records Administrator will work with the Chair of the Commission of Public Records to secure the active participation of the Commission in carrying out this strategy. The SRCA will continue to exercise leadership in historical records matters through the NMHRAB by continuing to support the Board in the implementation of its strategic plan. The agency will also continue to exercise leadership in issues pertaining to the teaching of New Mexico history through the New Mexico History Resource Taskforce and the Office of the State Historian.

- **Strategy 1.4: Develop an effective legislative program.** The State Records Administrator and the Deputy Administrator will work in concert with the Commission to develop a legislative agenda that addresses the agency's fiscal and program needs. The agenda will provide the basis for developing a legislative strategy that will address planning, outreach and legislative relationships and that will include involvement of Commission members. In addition the SRCA will continue to develop adequate and defensible annual appropriation requests that reflect the agency's strategic priorities.

- **Strategy 1.5: Develop additional sources of support.** The agency needs to ensure that it makes the best use of its existing resources. At the same time it needs to identify additional sources of support that will enable it to meet its statutory obligations more effectively and realize more completely its mission and strategic initiatives. Marketing strategies will be developed to guide the agency in the initial planning and development of new products, such as digital archival collections, for re-sale. The agency will also attempt to ensure that it reaches more potential customers for both new and existing products and services. These efforts will hopefully help to increase revolving fund revenues, some sources of which have been adversely affected by provision of on-line services. To address the agency's financial constraints, staff of the SRCA will continue to seek federal and other grants and will request special State appropriations, when needed, to support projects. Staff will also work to establish support for its activities through the private sector.

INITIATIVE #2: TO BUILD AWARENESS OF AGENCY RESOURCES AND SERVICES
The SRCA aims to build public awareness of the agency's resources and services by providing on-line access to State rules, public records, archival collections and information about New Mexico history. A history website, new in FY2005, will offer an effective presentation of various aspects of New Mexico history that hopefully will enhance understanding and appreciation of the state's rich history and culture. The agency also intends to continue and intensify its efforts to promote the use of the resources and services it offers.

- **Strategy 2.1: Improve on-line access to agency resources and services.** Customers and citizens can value and support a program when they understand how it touches them and improves the quality of their lives. Through its website, the agency is able to provide information about archival collections and public records. It is also able to provide access to selected records themselves (archival imaging) as well as to State-agency rules - such as building codes, air quality standards and public health regulations, among others - that affect the daily lives of New Mexicans. As the agency responsible for preserving the documentary heritage of the state, it is important that the SRCA promote the value of history. Through the development of the New Mexico history website, the SRCA will be able to provide the public with historical facts on the people, places and events that have shaped New Mexico.

- **Strategy 2.2. Promote increased open access to public records.** Public records in the custody of the SRCA are available for inspection during regular business hours. The public has the right to inspect and examine public records, unless they are exempt under the Inspection of Public Records Act or deemed confidential under other provisions of law. Faced with the dilemma of expending resources on the storage and maintenance of permanent, confidential records that are exempt, most in perpetuity, from public disclosure, the agency is seeking a solution to this problem. Legislation to amend the Public Records Act to set limits on the length of time for which permanent confidential records may be restricted was developed in 2003 by a multi-agency task force established pursuant to a legislative memorial. That legislation was introduced in the

2004 session and passed the House but failed to secure final passage in the Senate. The SRCA will continue to pursue legislation that would open the majority of confidential records to public access after the need for the original confidentiality restriction has expired.

- **Strategy 2.3. Support the preservation of historical resources and historical records.** The agency will continue to support the NMHRAB's efforts to preserve historical records by providing financial assistance to local and tribal governments and private, non-profit historical records repositories through the NMHRAB re-grant and scholarship programs. As a statutory member of the Cultural Properties Review Committee, the State Historian will continue to provide support to the Committee in the review of nominations of historic structures and significant sites to the New Mexico and Federal historical registers.

- **Strategy 2.4: Increase use of agency resources and services**. In order to serve the citizens of New Mexico, the SRCA must communicate the benefits of its programs and services not only to current customers, but also to prospective customers. The agency must ensure that its informational efforts reach a wider audience and must make it easier for its varied constituencies to learn more about the agency and to participate in its programs and services. The SRCA will commit available resources to publish the agency newsletter, develop promotional materials such as brochures and exhibits, and present quality programs, drawing on the expertise of its staff, as well as looking beyond its doors for providers of appropriate services.

INITIATIVE #3: IMPROVE INTERNAL PERFORMANCE
The objective here is to improve internal performance by providing the agency with the leadership and management necessary to meet its statutory responsibilities as defined in the Public Records Act and the State Rules Act, as well as to perform its administrative support functions in response to agency operational needs and in compliance with all applicable laws, rules, policies and procedures.

- **Strategy 3.1: Improve the delivery of services and goods.** The SRCA is concerned with continually improving its services and goods. It proposes to conduct surveys to assess the delivery of services to customers, including other governmental entities. The agency will seek to provide training to its employees, so that they will have the requisite knowledge and skills to perform their jobs at optimum levels and will be sensitive to customer-service issues. It will continue to use the tools necessary to determine the needs, expectations and priorities of its customers and improve its processes to meet those needs.

- **Strategy 3.2: Balance priorities at the activity and program levels.** The SRCA will continue to develop priorities based on statutory responsibilities and customer needs and attempt to assure an appropriate balancing of priorities and assignment of resources among its activities.

- **Strategy 3.3: Create and implement a strategy for staff retention.** Staff retention has long been a challenge. Many positions are classified at pay ranges that make attractive compensation difficult, and resources have been limited for pay increases and adjustments for many years. The SRCA proposes to contract with an outside human resource consultant to evaluate current classifications and identify criteria to assess pay (such as credentials and talent). One of the most critical processes to the agency is recruiting and hiring the most qualified applicants, and it is imperative that the human resource consultant work closely with agency to evaluate and identify the needs for all positions.

- **Strategy 3.4: Preserve all records in appropriate environments.** The SRCA cannot provide public access to records for as long as needed unless it can preserve them. The agency will work to resolve outstanding building issues that threaten the security and preservation of public records maintained by the SRCA. Certain archival collections are also at risk due to the inherent physical properties of the records themselves. The SRCA will develop preservation plans for addressing the needs of collections at risk. It will also look for a doable and effective solution to the archiving of permanent electronic records.

- **Strategy 3.5. Create and foster a unified agency vision.** Implementation of this strategy will necessitate strengthening activities within the context of the agency's vision. By creating opportunities for collaborations among activities and organizational units, the SRCA will build teamwork.

- **Strategy 3.6. Perform administrative functions in a manner that is both responsive to agency operational needs and in compliance with all applicable laws, rules, policies and procedures.** The ability to provide efficient administrative services that both support the agency's program needs and meet all requirements of law is critical to the overall success of the agency. If budgets are not prepared as required, if financial transactions are not performed in accordance with law, if human resource requirements are not met and if effective information technology services are not provided, the agency will not have the resources that underlie all program functions.

THE ACTION PLAN:
ACTION STEPS, PERFORMANCE MEASURES AND TARGETS

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
ALD	Administrative Law Division
ASD	Administrative Services Division
NMHRAB	New Mexico Historical Records Advisory Board
RMD	Records Management Division
OSH	Office of the State Historian

INITIATIVE #1: ENHANCE THE EFFECTIVENESS OF THE AGENCY

Strategy 1.1: Manage public records efficiently and effectively in accordance with statutory requirements.

- Action Step 1.1.1. Establish and update records management programs and records retention and disposition schedules for State agencies.
- Action Step 1.1.2. Develop and implement a plan to help State agencies manage, store, preserve and access electronic records that must be maintained for longer than ten years.
- Action Step 1.1.3. Process agency requests for records storage and disposition.
- Action Step 1.1.4. Transfer eligible, inactive records in the Records Center to the Archives.
- Action Step 1.1.5. Arrange, describe and preserve permanent public records in the custody of the SRCA.
- Action Step 1.1.6. Review and revise the existing SRCA rule on the storage of public records.
- Action Step 1.1.7. Inventory records stored in the Records Centers and microfilm and archival vaults to improve efficiency in managing and securing the records.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.1.1	PRM - RMD	Percentage of State agencies with current records retention and disposition schedules (with "current" meaning reviewed and amended or repealed and replaced within five year period).	42%	52%	66%	66%
1.1.2	PRM - RMD	Pilot project for transferring electronic records to the SRCA developed and implemented by the target date.	n/a	n/a	6/30/05	n/a
1.1.2	PRM - RMD & AHSD	Percentage of permanent electronic records transferred to the SRCA.	n/a	n/a	.01%	.02%
1.1.3	PRM - RMD	Percentage of records fully processed within five days of request.	100%	100%	100%	100%
1.1.3	PRM - RMD	Volume (in cubic feet) of records reviewed and processed for storage.	10,722	12,732	12,500	12,000
1.1.3	PRM - RMD	Volume (in cubic feet) of records reviewed and processed for destruction.	20,954	25,740	25,800	25,800
1.1.4	PRM - RMD	Percentage of permanent records stored at June 30, 2004 in the Records Centers transferred to Archives by June 30, 2005.	.05%	.03%	10%	10%
1.1.5	PRM - AHSD	Percentage of public records in the custody of the SRCA arranged, described and available for public use.	68%	65%	70%	70%
1.1.6	PRM - RMD	1.13.10 NMAC reviewed and revised and revisions adopted by target date.	n/a	n/a	6/30/05	n/a

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.1.7	PRM - RMD & AHSD	Inventory of records in the archives and microfilm vaults and Records Centers completed and reports issued by target date.	6/30/03	6/30/04	6/30/05	6/30/06

☞ Denotes key budget performance measure

Strategy 1.2: Increase knowledge of records, information and archival management (RIAM) practices, rule-making requirements and New Mexico history.
- Action Step 1.2.1. Develop and provide educational programs and training for different audiences.
- Action Step 1.2.2. Develop and publish RIAM materials.
- Action Step 1.2.3. Survey issuing agencies on desirability of electronic records filing and compile and evaluate results.
- Action Step 1.2.4. Develop plan, if recommended, to allow for electronic rule filings.
- Action Step 1.2.5. Provide financial assistance to archival repositories statewide to improve preservation of historical records and to attend RIAM training.
- Action Step 1.2.6. Maintain the Historical Information Network Tracking System (HINTS) by updating information annually.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.2.1	PRM - RMD	Number of educational presentations made (does not include "for-fee" training).	5	13	15	15
1.2.1	PRM - AHSD	Number of educational presentations made (does not include "for-fee" training).	14	17	15	15
1.2.1	AL - ALD	Percentage of rules submitted for filing accepted on initial filing (as a measure of the effectiveness of NMAC training).	95%	97%	97%	98%
1.2.1	NMH - OSH	Number of history forums held.	2	0	2	2
1.2.1	ADM - TRAINING	Number of people trained in "for fee" workshops.	235	244	250	260
1.2.2	PRM - RMD	Records and information management manual published by target date.	n/a	n/a	6/30/05	n/a
1.2.3	AL - ALD	Report on electronic rule-filing survey results issued by target date.	n/a	n/a	12/31/04	n/a
1.2.4	AL - ALD	Electronic rule-filing implementation plan developed by target date.	n/a	n/a	6/30/05	n/a
1.2.5	NMH - NMHRAB	Number of NMHRAB scholarships awarded.		10	15	15
1.2.6	NMH - NMHRAB	The HINTS updated by target date.	3/31/03	3/31/04	3/31/05	3/31/06

Strategy 1.3: Create and foster supportive relationships.

- Action Step 1.3.1. Identify agency management-level contacts and develop supportive relationships.
- Action Step 1.3.2. Work with members of the Commission of Public Records to develop supportive relationships with other State agencies to promote compliance with record-keeping and rule-making requirements.
- Action Step 1.3.3. Continue collaboration with the Taxation and Revenue and Human Services Departments to develop an electronic document-management system.
- Action Step 1.3.4. Implement the NMHRAB strategic plan.
- Action Step 1.3.5. Submit NM History Task Force report to the legislature.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.3.1	ADM - OSRA	Management level contact for each agency established by target date.	n/a	n/a	3/31/05	n/a
1.3.2	PRM - RMD & AL - ALD	Evaluation process to determine State agency compliance with record-management and rule-making requirements developed by target date.	n/a	n/a	3/31/05	n/a
1.3.3	PRM - RMD	Report with recommendations on electronic records environment completed by target date.	n/a	n/a	1/31/05	n/a
1.3.4	NMH - NMHRAB	Percentage of 2005 NMHRAB annual action plan (work plan) completed or on schedule.	75%	92%	90%	90%
1.3.5	NMH - OSH	The NM History Task Force report submitted to the legislature by the target date.	n/a	n/a	10/1/04	n/a

Strategy 1.4: Develop an effective legislative program.
- Action Step 1.4.1. Determine legislative priorities for 2005 (including special and operating appropriations and substantive legislation).
- Action Step 1.4.2. Identify content of legislative information package.
- Action Step 1.4.3. Develop request for funding consistent with planned levels of service.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.4.1	ADM - OSRA	The agency's 2005 legislative priorities established by target date.	8/31/02	8/31/03	8/31/04	8/31/05
1.4.2	ADM - OSRA	Agency's legislative information package developed by target date.	n/a	n/a	12/31/04	12/31/05
1.4.3	ADM - OSRA & ASD	Percentage of annual action steps for which funding is included in annual appropriation request.	100%	100%	100%	100%

Strategy 1.5: Develop additional sources of support.
- Action Step 1.5.1. Identify additional funding sources.

- Action Step 1.5.2. Develop and put in place marketing plan for re-sale of digital archival collections.
- Action Step 1.5.3. Establish a "Friends of the Archives."

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
1.5.1.	NMH - NHRAB	Number of grant proposals submitted.	3	0	1	1
1.5.1	NMH - OSH	Number of grant proposals submitted.	3	1	1	1
1.5.1	PRM - AHSD	Number of grant proposals submitted.	4	1	1	1
1.5.2	PRM - RMD & AHSD	Marketing plan for re-sale of digitized archival collections implemented by target date.	n/a	n/a	1/1/05	n/a
1.5.3	PRM - AHSD	Friends of the Archives established by target date.	n/a	n/a	9/1/04	n/a

INITIATIVE #2: BUILD AWARENESS OF AGENCY RESOURCES AND SERVICES

Strategy 2.1: Improve on-line access to agency resources and services.
- Action Step 2.1.1. Ensure rules issued by State agencies are available on-line.
- Action Step 2.1.2. Publish *NM Register* on-line.
- Action Step 2.1.3. Describe SRCA holdings in on-line catalog.
- Action Step 2.1.4. Expand and enhance NM history website.
- Action Step 2.1.5. Provide State agencies with on-line access to information about records stored in both Santa Fe and Albuquerque Records Centers.
- Action Step 2.1.6. Replace GenCat, the existing archival management software, to ensure appropriate management of archival records and public access are continued and enhanced (replacement originally scheduled in FY05).

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
2.1.1	AL - ALD	Maximum number of days (yearly average) from effective date of a rule to on-line availability in the *New Mexico Administrative Code*.	34.5	32	36	36
2.1.2	AL - ALD	Percentage of *NM Register* issues available on-line by scheduled publication date.	100%	100%	100%	100%
2.1.3	PRM - AHSD	Percentage of finding aids available on-line.	56.6%	57%	70%	70%
2.1.4	NMH - OSH	Each phase of history website available on-line by target date.	n/a	n/a	9/01/04 (Phase 1) & 3/31/05 (Phase 2)	12/31/05 (Phase 3)
2.1.5	PRM - RMD	Records holdings available to storing agencies for on-line viewing by target date.	n/a	n/a	6/30/05	n/a

| 2.1.6 | PRM - AHSD | Funding for GenCat replacement included with agency's IT Plan and submitted as a special appropriation request. | n/a | n/a | 9/1/04 | n/a |
| 2.1.6 | PRM - AHSD | GenCat replacement application, if funded, acquired and installed. | n/a | n/a | n/a | 3/31/06 |

☞ Denotes key budget performance measure

Strategy 2.2: Promote increased, open access to public records.

- Action Step 2.2.1. Provide the public assistance in accessing records in the custody of the agency.
- Action Step 2.2.2. Prepare legislation setting limits on the length of time that access to permanent confidential records may be restricted.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
☞ 2.2.1	PRM - AHSD	Percentage of requests for access to public records in its custody that the agency is able to satisfy.	98%	99.9%	98%	98%
2.2.2	ADM - OSRA	Confidential records legislation finalized by target date.	n/a	n/a	11/30/04	n/a
2.2.2	ADM - OSRA	Sponsor for confidential records legislation identified by target date.	11/1/02	10/30/03	9/30/04	9/30/05

☞ Denotes key budget performance measure

Strategy 2.3: Support the preservation of historical resources and historical records.

- Action Step 2.3.1.   Provide financial assistance to archival repositories statewide to improve preservation of historical records.
- Action Step 2.3.2. Provide support to the Cultural Properties Review Committee (CPRC) in accordance with statutory requirements.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
☞ 2.3.1	NMH - NMHRAB	Percentage of projects funded though the New Mexico historical records grant program that are achieving stated objectives.	n/a	89%	92%	95%
2.3.2	NMH - OSH	Percentage of time spent by State Historian providing support to the CPRC.	25%	25%	15%	15%
2.3.2	NMH - OSH	Number of New Mexico Historical Register nominations reviewed by the State Historian.	41	34	20	20

☞ Denotes key budget performance measure

Strategy 2.4: Increase use of agency resources and services.

- Action Step 2.4.1. Provide consultations, presentations, lectures and exhibits.
- Action Step 2.4.2. Develop public relations materials.
- Action Step 2.4.3. Publish the agency newsletter.

- Action Step 2.4.4.   Identify strategies for promoting agency services and name recognition.
- Action Step 2.4.5. Develop and implement strategies for promoting agency services.
- Action Step 2.4.6. Develop and implement history lecture series.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
☛ 2.4.1	NMH - OSH	Number of consultations, research reports and educational activities provided by the State Historian.	94	not available	150	150
2.4.2	PRM - AHSD & RMD	Number of educational and informational brochures published.	2	1	2	1
2.4.3	ADM - ASD	Percentage of agency newsletters published within 12 working days of the end of the quarter.	0% on-line;0 % paper	100% on-line; 50% paper	100%	100%
2.4.4	ADM - OSRA	Strategies and activities for promoting agency services and increasing agency name recognition identified by target date.	n/a	n/a	6/30/05	n/a
2.4.5	ADM - OSRA	Strategies and activities implemented by target date.	n/a	n/a	n/a	12/31/05
2.4.6	NMH - OSH	Number of guest lectures presented.	n/a	n/a	3	3

☛ Denotes key budget performance measure

INITIATIVE #3: IMPROVE INTERNAL PERFORMANCE
Strategy 3.1: Improve the delivery of services and goods.
- Action Step 3.1.1. Develop and conduct customer survey on agency delivery of services.
- Action Step 3.1.2. Report on survey results.
- Action Step 3.1.3.   Incorporate strategic plan requirements in Employee Appraisal Development (EDA) plans.
- Action Step 3.1.4.   Identify, set priorities for and improve, without regard to organizational boundaries, the processes that affect customers.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
3.1.1.	AL - ALD, PRM - AHSD & RMD, NMH - OSH	Develop and conduct customer survey on delivery of services by target date.	n/a	n/a	3/31/05	3/31/06
3.1.2.	AL - ALD, PRM - AHSD & RMD, NMH - OSH	Compile and report on survey results by target date.	n/a	n/a	6/30/05	6/30/06
3.1.4.	ALL	Percentage increase in customer satisfaction.	n/a	n/a	n/a	5%

Strategy 3.2: Balance priorities at the program and activity levels.
- Action Step 3.2.1. Manage the agency according to the adopted strategic plan.
- Action Step 3.2.2. Identify and establish strategic priorities for FY 06.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
☞ 3.2.1	ALL	Percentage of annual strategic action plan achieved or on schedule.	63%	64%	75%	75%
3.2.2.	ALL	Fiscal Year 06 strategic priorities established by target date.	n/a	n/a	5/31/05	5/31/06

☞ Denotes key budget performance measure

Strategy 3.3: Create and implement a strategy for staff retention.
- Action Step 3.3.1. Incorporate funding for an HR consultant to evaluate SRCA position classifications into the FY 06 appropriation request.
- Action Step 3.3.2. Conduct evaluation and explore implementation strategies for recommendations.
- Action Step 3.3.3. Include moneys for implementing HR consultant recommendations in the FY 07 appropriation request.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
3.3.1.	ADM - ASD	Funding for HR consultant included in appropriation request.	n/a	n/a	9/01/04	n/a
3.3.2.	ADM - ASD	Classification evaluation, if funded, completed by target date.	n/a	n/a	n/a	12/31/05
3.3.3.	ADM - ASD	Funding for HR recommendations included in FY 08 budget.	n/a	n/a	n/a	9/01/06

Strategy 3.4: Preserve all records in an appropriate environment.
- Action Step 3.4.1. Resolve building issues.
- Action Step 3.4.2. Appropriately treat, or house in archival containers, magnetic tape collections.
- Action Step 3.4.3. Implement preservation plan for magnetic tape collections.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
3.4.1	ADM - OSRA & ASD	Percentage of building issues resolved.	0%	10%	50%	75%
3.4.2	PRM -AHSD	Plan for preserving magnetic tapes developed by target date.	n/a	n/a	6/30/05	n/a
3.4.3	PRM - AHSD	Plan for preserving magnetic tapes implemented by target date	n/a	n/a	n/a	6/30/06

Strategy3.5: Create and foster a unified agency vision

- Action Step 3.5.1. Develop strategies for team building.
- Action Step 3.5.2. Create opportunities for SRCA divisional collaborations.

PM#	Activity - Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
3.5.1	ADM - OSRA	Strategies for team building developed by target date.			3/31/05	3/31/06
3.5.2	ADM - OSRA	Number of opportunities for divisional collaborations created.			2	3

Strategy 3.6. Perform administrative functions in a manner that is both responsive to agency operational needs and in compliance with all applicable laws, rules, polices and procedures.

- Action Step 3.6.1.   Satisfy all budgetary and financial control and reporting requirements.
- Action Step 3.6.2. Provide a stable, up-to-date information technology environment, supportive of the agency's strategic and business needs.
- Action Step 3.6.3. Ensure employees have adequate direction to perform their jobs in compliance with their job descriptions and agency needs.

PM#	Activity -Org Unit	Performance Measure	FY 03	FY 04	FY 05 Target	FY 06 Target
3.6.1	ADM - ASD	Percentage of deposits made in compliance with the 24-hour rule.	100%	100%	99%	99%
3.6.1	ADM - ASD	Percentage of vouchers processed representing payment within 30 days.	99.9%	100%	98%	99%
3.6.2	ADM - ASD	Percentage of time primary servers are available.	99.9%	99.3%	95%	96%
3.6.2	ADM - ASD	Percentage of data back-ups (servers) completed as scheduled.	n/a	96.3%	95%	96%
3.6.3	ADM - ASD	Percentage of time primary applications are performing as designed.	n/a	n/a	90%	92%
3.6.3	ADM - ASD	Percentage of EDAs established within 45 days.	97%	100%	97%	98%
3.6.3	ADM - ASD	Percentage of EDA evaluations conducted on time.	66.2%	98%	95%	96%