



State Records Center and Archives
New Mexico Commission of Public Records

STRATEGIC PLAN FISCAL YEARS 2013-2018

Annual Performance Measures Fiscal Year 2013



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SRCA Services

The statutory mission of the Commission of Public Records is to employ a State Records Administrator to assist with the administration of the Public Records Act [Section 14-3-1 NMSA 1978 et seq.]. The State Records Administrator is the official custodian and trustee for the state of all public records and archives of whatever kind that are transferred to the SRCA from any public office of the state or from any other source. To accomplish this, the Administrator is responsible for establishing 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 provides for the establishment of a records center in Santa Fe, which 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, and in this strategic plan the SRCA will be used, except when referring to the governing body.

In addition to records management and preservation, the State Records Administrator is statutorily required to administer the State Rules Act [Section 14-4-1 NMSA 1978 et seq.]. This Act governs the official filing and publication of rules developed by executive agencies of New Mexico State government. For rules to be valid, they must first be filed with the SRCA and published in the *New Mexico Register*. Other regulatory instruments - interstate compacts and county subdivision regulations - must also be filed with the SRCA.

For purposes of the Accountability in Government Act [Section 6-3A-1 NMSA 1978 et seq.], the SRCA identified a single program - *records, information and archival management* - and four activities (or sub-programs). These activities are *administration, public records management, administrative law* and *New Mexico history* and are administered through the following organizational units:

- Office of the State Records Administrator
- Administrative Services Division
- Administrative Law Division
- Archives and Historical Services Division
- Information Technology Management Division
- Records Management Division
- Office of the State Historian



Rainbow cactus flower, no date
Image No. 64141
New Mexico Department of Tourism Photograph
Collection
Courtesy of the New Mexico State Records Center
and Archives



State Records Center and Archives

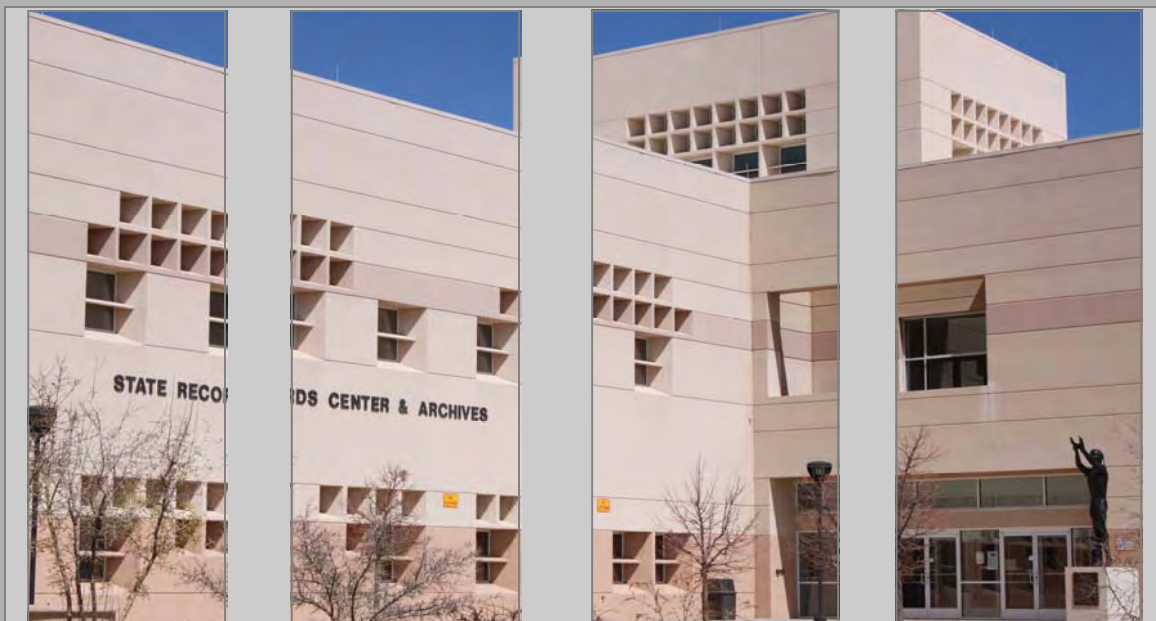
New Mexico Commission of Public Records

The **VISION** of the Commission of Public Records—State Records Center and Archives is to be the state's leading resource providing access to, preservation of and interpretation of historical and current records.



The **MISSION** of the Commission of Public Records—State Records Center and Archives 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 filed and published as prescribed in law and are accessible;
- ✿ Advocate an understanding and appreciation of New Mexico history; and
- ✿ Develop records and information management programs for State agencies.



MESSAGE FROM STATE RECORDS ADMINISTRATOR JOHN HYRUM MARTINEZ



The State Records Center and Archives serves the State of New Mexico by ensuring the proper management and protection of public records. This mandate includes making the records accessible to the public for legal and historical purposes. This is a significant responsibility because our democracy relies on these important documents and the rights of people are defended by them.

SRCA provides the following key services to the public through administration of the Public Records Act and the State Rules Act: filing rules and other legal instruments, publication and accessibility of agency rules, managing and preserving rules; developing effective records management systems and assisting with the proper disposition of records; collecting, preserving and making available to the public and all branches of government, permanent public records, historical manuscripts, photographs and other materials that contribute to the understanding of New Mexico history; and advancing an understanding and appreciation of New Mexico's history and culture through interpretive research, outreach, educational programming, presentation and publication.

In fulfilling our statutory purpose it is my goal to ensure that SRCA provides quality customer service in a timely and professional manner. To accomplish this task the Commission of Public Records and the SRCA staff worked collaboratively to develop the following five-year strategic plan for fiscal years 2013-2018 and annual performance measures for fiscal year 2013. The plan was developed using the SRCA Management Model on the following page and the importance of each goal, objective and performance measure was analyzed using the task quadrant from Steven Covey's book "7 Habits of Highly Effective People."

SRCA GOALS

- Manage, Preserve and Provide Access to Records and Information
- Enhance Effectiveness of the Agency
- Build Positive Awareness of Agency Resources and Services



SRCA MANAGEMENT MODEL



TASK QUADRANT		
	Urgent	Not Urgent
Important	1	2
Not Important	3	4

STRATEGIC PLANNING PROCESS

The Commission of Public Records - State Records Center and Archives (SRCA) has been using a detailed strategic plan to guide its operations since the mid-1990s. In 1996, the SRCA developed and implemented its first five-year (1996 - 2000) strategic plan. The plan served as a map to guide the agency as it worked toward achieving its mission - *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 and action steps and responsibilities for each.

In Fiscal Year (FY) 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: (1) to increase knowledge of records, information and archival management (RIAM) practices; (2) to have public records managed properly, in accordance with RIAM principles, throughout their life cycle; (3) to have a comprehensive, authoritative locator service for all public records; (4) to improve efficiency and accountability in State government through RIAM; (5) to ensure that adequate resources were available to meet statutory obligations; and (6) 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. Early in the five-year cycle the original six strategic initiatives were reshaped and reduced to five. These were: (1) increase the knowledge of records, information and archival management (RIAM) practices; (2) have public records managed properly, in accordance with RIAM principles, throughout their life cycle; (3) promote open access to public records; (4) ensure that adequate resources are available to meet statutory obligations; and (5) cultivate recognition of the importance of New Mexico's historical records and appreciation for New Mexico history.

In 2004, various factors led to a decision to move to a new five-year plan a year earlier than anticipated, and the result was a strategic plan for FYs 2004 - 2009. In late April, 2008, the agency's management team along with managers of the New Mexico Historical Records Advisory Board grant and scholarship program, the agency's for-fee training program and three members of the Commission met in Taos to review the existing plan and begin construction of a new five-year plan for FYs 2010 through 2014. The new action plan for FYs 2010 and 2011 that emerged from that meeting was submitted as a draft with the agency's FY 2009 update and then honed during FY 2009. It was that action plan that was incorporated in the agency's FY 2010



update. That action plan was updated for FYs 2011 and 2012. During these fiscal years, some of the measures and targets were adjusted in recognition of the agency's severe limitation on operational funds and its continued high vacancy rate.

In the fall of FY 2012, the State Records Administrator, Sandra Jaramillo, retired and the Commission of Public Records appointed John Hyrum Martinez to assume the position of State Records Administrator. Following his appointment, Mr. Martinez initiated the process of creating the following Strategic Plan. It is important to note that during FY 2012, the New Mexico economy, as well as the national economy, began to improve. Consequently, the NM Legislature passed and Governor Martinez signed a budget for FY 2013 that increased the SRCA's operational funds by five percent. The SRCA was also granted \$450k for further implementation of the Central Electronic Records Repository (CERR) project.

Over the last sixteen years 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 goals, objectives and related performance measures, in a very real sense, guide both daily operations and longer-term activities and projects. They are even incorporated in employee evaluation plans.

The strategic plan for FY 2013 through FY 2018 contained in this document defines where the agency hopes to go and what it hopes to achieve. As the year progresses the agency will monitor its progress and review the performance measures and targets set in the plan.





MONITORING PLAN

Monitoring progress in meeting the strategic goals and specific annual action steps has always been a part of the agency's strategic planning process. Division directors and others responsible for designated performance measures are charged with developing internal tracking methods and for maintaining the requisite statistics to measure progress. They are required to report the statistical data and provide a narrative explanation on a quarterly basis.

The agency for the past number of years has been using an Access database similar in design to the DFA performance reporting application. Division directors and others responsible for measures must report progress by the 20th day of the month following the end of a quarter. Reporting may require a numeric entry in a format responsive to the target (dates, percentages, etc.) and/or a narrative explanation. Measures are considered to be on schedule during the year if they have been completed in conformance with the target or if sufficient progress has been made or sufficient time is remaining to assume that the target can reasonably be expected to be achieved.

The agency has also entered the required monitoring information in the Department of Finance and Administration performance monitoring database.

Fiscal Year 2013 Legislative Performance Measures:

Outcome: Percentage of requests for access to public records in its custody that the agency is able to satisfy. Target: 98%

Outcome: Percentage of total record items scheduled, reviewed, amended or replaced within a five-year period. Target: 40%

Additional performance measures to be reported for FY 2013:

Outcome: Maximum number of days between rule effective date and on-line availability.
Target: 32

Outcome: Percentage of all projects funded through the New Mexico historical records grant program that are achieving stated objectives.
Target: 100%

Outcome: Percentage of annual strategic action plan achieved or on schedule.
Target: 75%

Output: Number of research reports and educational activities provided by the State Historian.
Target: 12

Output: Number of times during a fiscal year that visitors (unique visitors) access information on the NM history web site.
Target: 150,000



State Records Center and Archives

New Mexico Commission of Public Records

PROGRAM SUPPORT

MISSION

Program Support is comprised of the Commission of Public Records, Office of the State Records Administrator, the Administrative Services Division and the Chief Financial Officer.

The Commission of Public Records appoints the State Records Administrator, promulgates retention schedules, accepts donations and provides guidance to the agency.

The Office of the State Records Administrator provides leadership, promulgates agency rules, adopts department policies and manages agency performance.

The Administrative Services Division (ASD) provides financial and human resource services.

CUSTOMERS

Program Support customers include the SRCA's six divisions and those they serve, other state agencies, the Governor and Legislature, the Citizen's of New Mexico, local and tribal governments and historical record repositories.

SERVICES

- Administration of agency;
- Manage and coordinate security and building services;
- Strategic Planning;
- Reporting;
- Adopt and enforce rules;
- Approve donations and loans;
- Outreach; and

GOALS AND OBJECTIVES

Goal #1: MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Administer the State Rules Act
- Oversee administrative support of New Mexico Historical Records Advisory Board (NMHRAB)
- Oversee management of NMHRAB SNAP Grants
- Provide administrative support for implementation of the Central Electronic Records Repository (CERR)
- Provide administrative support to improve environmental conditions of Albuquerque Records Center

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Ensure employees are familiar with the Strategic Plan and participate in its implementation
- Effectively use resources of Commission and NMHRAB members
- Make safety a top value
- Recruit and support a highly trained, motivated and effective workforce
- Provide financial oversight for transparency and accountability
- Ensure agency rules are complete and current

Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- SRA and Commission jointly administer the State Records Act
- Develop and implement an annual legislative strategy
- Develop and implement an agency marketing plan

PROGRAM SUPPORT

FISCAL YEAR 2013

PERFORMANCE MEASURES

- Review State Rules Act and propose amendments to Legislature by October 31, 2013
- Arrange and conduct necessary meetings and meet all contractual SNAP Grant requirements by June 20, 2013
- Manage agency in accordance with the strategic plan
- Hold quarterly staff meetings to review strategic plan progress and barriers
- Coordinate annual review for updating strategic plan performance measures
- Provide orientation for new Commission and Board members
- Develop and provide operational manual for members by September 1, 2012
- Encourage involvement and support of Commission and NMHRAB members in legislative activities, key issues and projects affecting the agency
- Advocate for funding to address the staffing and operational challenges of managing electronic records
- Advocate for funding to address the space, shelving and operational needs of the agency
- Present planning phase to the DoIT Project Certification Committee by September 1, 2012
- Execute CERR Planning Phase by November 2, 2012
- Improve communication between the agency, commission, legislature and other policy makers
- Review the State Rules Act and recommend amendments to the Commission by June 30, 2013
- Analyze conflicts between the Inspection of Public Records Act and the State Rules Act and work with the Attorney General to harmonize SRCA internal processes
- Assist divisions with development of projections for staffing and operational funding to be included in the FY14 appropriation request
- Review lease agreement for Albuquerque Records Center with GSD and explore using state resources
- Develop and implement 2 department-wide safety initiatives
- Conduct a quarterly inventory to ensure appropriate safety equipment is purchased and available
- Provide 4 agency wide professional staff development opportunities
- Revise agency human resource policies by July 1, 2012
- Develop human resource procedures handbook by June 30, 2013
- Conduct 2 financial and HR quality of service surveys by June 30, 2013
- Develop and implement a policy to recognize employees for anniversary and excellent work by October 1, 2012
- Develop uniform HR forms by June 30, 2013
- Satisfy all budgetary and financial control and reporting requirements
- Establish consistency in financial forms and professional service contracts
- Review relevant agency rules by June 30, 2013 and provide recommendations to the State Records Administrator for taking appropriate rulemaking action





State Records Center and Archives

New Mexico Commission of Public Records

ARCHIVES AND HISTORICAL SERVICES DIVISION

MISSION

The Archives and Historical Services Division is the central archives of New Mexico State Government. The agency is mandated by law to collect, preserve and make available to the public and all branches of government, permanent public records, historical manuscripts, photographs and other materials that contribute to the understanding of New Mexico history.

On-line finding aids which describe collections and some digital images are available via HERITAGE, the on-line catalog for the State Records Center and Archives at:

www.nmcpr.state.nm.us/archives/gencat_cover.htm.

Records at the State Archives are available to the public in accordance with state law. The Division offers reference assistance on-site, by telephone, mail or e-mail.

Collections maintained include:

- Government records, 1621- present
- County records, 1850-1912, some statehood
- Non-governmental manuscripts
- Land Records
- Film & video collections
- Genealogy materials (Catholic church records; census; published family histories).
- Private papers: letters, diaries, wills, maps, and photographs pertaining to New Mexico or the Southwest
- Photograph Collections
- Map Collections
- Audio Material

CUSTOMERS

Archives and Historical Services Division customers include other state agencies, the Governor and Legislature, NM Courts, the Citizens of New Mexico, local and tribal governments, historical record repositories, historians and others interested in history.

SERVICES

- Identify archival records;
- Identify permanent records of State government;
- Accept donations of personal papers collections that fit within the Commission's collection policy;
- Preserve permanent records transferred or donated to the Commission;
- Provide access to collections;
- Effectively manage the State's permanent public records;
- Provide advice to local governments and non-profit historical record repositories;
- Provide training in archival management methods and techniques;
- Serve as an affiliated archive for Federal records; and
- Sell archival supplies, reproductions, and compilations.



Photo compliments of the Santa Fe New Mexican

ARCHIVES AND HISTORICAL SERVICES DIVISION

GOALS AND OBJECTIVES

Goal #1: MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Advance preservation and security of records
- Increase access, on-line and on-site, to records and information that are held in trust for the people of New Mexico
- Address challenges of managing electronic records

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Improve internal performance and service delivery to customers
- Ensure division rules are complete and current
- Identify and seek funding to support records, information and archival management (RIAM) training for local and tribal governments

Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- Provide public programming

FISCAL YEAR 2013 PERFORMANCE MEASURES

- Address preservation of the following archival materials in SRCA possession that are at-risk: Re-house ¼ of entire Photo collection
- Complete an annual inventory of archival holdings by June 30, 2013
- Complete an environmental quality report of archival holdings by June 30, 2013
- Transfer 480 boxes of permanent records from records center to archives
- Increase reference room hours from 10:00 am to 4:30 pm, Monday - Friday effective September 1, 2012
- Arrange, describe and publish 5 collections in agency custody

- Publish Governor Richardson's executive orders, speeches, photos and press releases
- Digitize, add scope and content for 10 motion picture films
- Digitize 1,500 glass plate negatives
- Digitize 60 magnetic media tapes
- Assist with the implementation of phases II and III of the CERR
- Assist with assessing CERR end-user training needs
- Assist with the development and update of standards to support CERR
- Review NMHRAB grant application process by July 31, 2012 and provide recommendations to NMHRAB at September 2012 meeting
- Provide effective technical assistance to each applicant and grantee and support for and oversight of grant projects through preparation and review of interim reports by January 31, 2013
- Foster a sustainable internship and volunteer program
- Review relevant agency rules by June 30, 2013 and provide recommendation to State Records Administrator for taking appropriate rulemaking action
- Hold a minimum of 1 Historical Records Advisory Board workshop for local and tribal governments by June 30, 2013
- Provide opportunity for staff to attend trainings to remain current with RIAM standards at least 2 times a year
- Promote Archives Month in October 2012: Tours, lectures, posters, screening
- Participate in 4 conferences by June 30, 2013
- Participate in NM History Day: Tours and research



State Records Center and Archives

New Mexico Commission of Public Records

RECORDS MANAGEMENT DIVISION

MISSION

The mission of the Records Management Division is to assist government agencies with the development of efficient and effective records management programs. This is achieved by:

- establishing rules that provide agencies with records management guidance;
- identifying who is responsible and accountable for managing records;
- providing quality training on basic and intermediate records management topics;
- handling the transfer and storage of records at two Records Center facilities;
- reviewing microphotography plans to ensure microphotography systems produce legible images;
- inspecting microfilm for government entities;
- creating rules that provide guidance on the management of electronic records;
- assisting agencies with the proper disposition of records; and
- serving as a resource on records management issues.



CUSTOMERS

Records Management Division customers include other state agencies, the Governor and Legislature, the Citizen's of New Mexico, local governments and historical records repositories.

SERVICES

- Establish standards for efficient management of state agency records;
- Properly dispose of public records and non-records;
- Advise local governments and historical record repositories;
- Store records into warehouse;
- Provide access to stored records;
- Provide safe and secure storage for inactive records;
- Sell storage supplies;
- Establish minimum standards for microphotography systems; and
- Provide records and information management training.



Prickly pear cactus blossom, no date
Image No. 64142
New Mexico Department of Tourism Photograph Collection

RECORDS MANAGEMENT DIVISION

GOALS AND OBJECTIVES

Goal #1: MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Improve operational procedures
- Improve the environmental conditions of the Albuquerque Records Center
- Address challenges of managing electronic records
- Establish and update RRDS

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Evaluate quality of customer service.
- Increase records management competence
- Develop progression plan for continuation of operations
- Promote team building within the Division
- Ensure division rules are complete and current

Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- Improve information for walk-in customers at both records centers
- Improve agency website
- Offer effective records management training

- Develop and update standards to support CERR
- Begin acceptance and management of short-term electronic records
- Provide customer service surveys on website by March 31, 2013
- Assess survey responses, determine areas of improvement, implement improvements by June 30, 2013
- Develop on-line training by June 30, 2013
- Promote on-line training by June 30, 2013
- Provide opportunity for staff to attend trainings at least 1 time each quarter to remain current with RIM standards
- Assess adequacy of cross-training for operational coverage and internal promotion by June 30, 2013
- Schedule quarterly Division meetings to promote employee interaction and awareness
- Improve first impression of customer areas by January 1, 2013
- Promote a "menu" of resources and services with posters and brochures by January 1, 2013
- Ensure bulletin board postings are current and include agency information (e.g., historical, archival, artwork, etc.) by January 1, 2013
- Post copy of forms and other reference materials on bulletin board, provide website links by January 1, 2013
- Provide 4 RIM trainings by June 30, 2013

FISCAL YEAR 2013 PERFORMANCE MEASURES

- Update operational procedures by October 1, 2012
- Develop agency policy for management of agency records by June 30, 2013
- Assist with the implementation of phases II and III of the CERR
- Assist with the assessment and implementation of CERR end-user training needs



State Records Center and Archives

New Mexico Commission of Public Records

ADMINISTRATIVE LAW DIVISION

MISSION

The mission of the Administrative Law Division (ALD) is to file, effectively and efficiently, the rules and other instruments received; to manage and preserve those rules and instruments; and to make the rules, notices, and other instruments filed with the ALD accessible to the public and other users. To fulfill this mission, ALD monitors compliance with statutes and rules affecting the rule-filing and publishing processes.

To guide state agencies, ALD provides training and consultation with respect to the requirements for filing and publishing and answers questions from individuals and groups interested in regulatory material filed.

Division staff maintain and preserve all regulatory material filed until the material is repealed or otherwise determined no longer valid (at which time it is transferred to the State Archives) and assure open and public access to the material is provided

CUSTOMERS

Administrative Law Division customers include the SRCA's five divisions and those they serve, other state agencies, the Governor and Legislature, the Citizen's of New Mexico, local and tribal governments and historical record repositories.

SERVICES

- File rules
- Establish and enforce rule standards
- Provide rule style and format training
- Produce the New Mexico Register and the New Mexico Administrative Code
- Maintain active rules collection
- Maintain interstate compacts and county subdivision regulations

GOALS AND OBJECTIVES

Goal #1: MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Assist State Records Administrator with administration of the State Rules Act
- Increase access to records and information

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Improve rule filing process
- Ensure division rules are complete and current
- Place historical rules on website

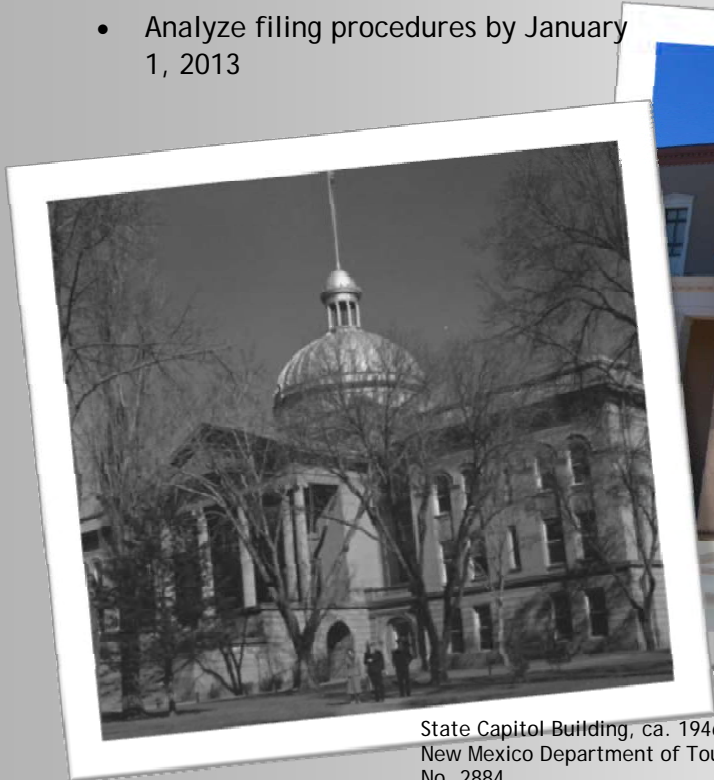
Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- Assist state agencies with converting pre-NMAC and NMAC1 rules to current NMAC style and format
- Increase knowledge of NMAC

ADMINISTRATIVE LAW DIVISION

FISCAL YEAR 2013 PERFORMANCE MEASURES

- File 90% of the rules adopted by state agencies by the next deadline
- File interstate compacts within 2 days of receipt
- File subdivision regulations within 2 days of receipt
- Prepare and proof annual index by the 3rd issue of the NM Register Volume XXIV
- Publish the NM Register by the established deadline
- Update NM Administrative Code within 32 days of effective date
- Analyze filing procedures by January 1, 2013
- Update filing procedures by June 30, 2013
- Review relevant agency rules and provide recommendations to the State Records Administrator for taking appropriate rulemaking action by June 30, 2013.
- *Amend SRC Rules:* 1.24.1 NMAC, 1.24.10 NMAC, 1.24.15 NMAC, 1.24.20 NMAC by October 1, 2012
- Notify 25% of agencies that need to update rules format by June 30, 2013
- Provide necessary documents to agencies requesting assistance to update rules within 30 days of request
- Provide on-line NMAC training



State Capitol Building, ca. 1946
New Mexico Department of Tourism Photograph Collection, Image
No. 2884
Courtesy of the New Mexico State Records Center and Archives



State Records Center and Archives

New Mexico Commission of Public Records

OFFICE OF THE STATE HISTORIAN

MISSION

The mission of the Office of the State Historian is to lead in advancing an understanding and appreciation of New Mexico's history and culture through interpretive research, outreach, educational programming, presentation and publication.

CUSTOMERS

The Office of the State Historian customers include other state agencies, the Governor and Legislature, the Citizen's of New Mexico, historians and others interested in history.

SERVICES

- Serve as the authority on New Mexico history
- Serve on Cultural Properties Review Committee
- Conduct outreach
- Contribute to the public's understanding of New Mexico history

GOALS AND OBJECTIVES

Goal #1:MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Support and encourage research and interpretation
- Provide professional consultation, research reports and educational activities
- Increase access and visibility of agency historical website

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Encourage collaboration with historical societies and associations
- Ensure division rules are complete and current

Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- Increase knowledge of agency resources
- Offer impactful public programming



Photo compliments of the Santa Fe New Mexican

OFFICE OF THE STATE HISTORIAN

FISCAL YEAR 2013 PERFORMANCE MEASURES

- Administer the scholar's program
- Increase the web content in the following subject areas:
 - Agricultural;
 - Women;
 - Mining;
 - Technology;
 - Southern New Mexico; and
 - Governor biographies
- Respond to 90% of research inquiries within 2 business days
- Provide support to CPRC in accordance with statutory responsibilities
- Provide at least 4 lectures/presentations
- Promote access to historical records by developing a stable website
- Continue development of NewMexicoHistory.org
- Promote access to historical records by developing a stable website
- Attend Historical Society of NM; NRGNHA; Center for Big Bend Studies at least 75% of board meetings
- Review relevant division rules by June 30, 2013 and provide recommendation to the State Records Administrator for taking appropriate rulemaking action
- Collaborate with presentation of at least 1 off-site exhibit by June 30, 2013
- Participate in the City of Santa Fe 400th Anniversary Legacy Project (ECHO)
- Participate in the 100th Anniversary of Statehood
- Promote the NM Digital History Project as a research resource
- Continue, and expand outside of Santa Fe/ABQ area, scholars speaker series
- Provide other outreach activities based on New Mexico history and culture
- Participate in History Day activities
- Promote NewMexicoHistory.org as an educational resource



State Records Center and Archives

New Mexico Commission of Public Records

INFORMATION TECHNOLOGY MANAGEMENT DIVISION

MISSION

The mission of the SRCA IT Division is to provide a stable, innovative and cost effective information technology environment that is customer focused and user friendly.

CUSTOMERS

Program Support customers include the SRCA's five divisions and those they serve, other state agencies, the Governor and Legislature, the Citizen's of New Mexico, local and tribal governments and historical record repositories.

SERVICES

The Information Technology Management Division manages the IT operations for the State Records Center and Archives.

This includes:

- IT Plan Preparation
- IT Budget Preparation and oversight
- IT Purchasing/Procurement
- IT Inventory control
- Website management
- LAN/WAN management
- Application management
- Database development and management
- IT Support/Maintenance which includes
- Hardware/Software installation
- Helpdesk support
- User Training

GOALS AND OBJECTIVES

Goal #1: MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

- Address challenges of managing electronic records
- Increase access and visibility of agency websites
- Increase access to digitized records

Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Provide a stable, up-to-date information technology environment, supportive of the agency's strategic and business needs
- Provide staff with relevant and effective training opportunities
- Measure and improve internal performance

Goal #3: BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

- Increase knowledge of agency resources
- Offer effective training

FISCAL YEAR 2013 PERFORMANCE MEASURES

- Implement phases II and III of the CERR
- Assess and provide CERR end-user training needs
- Assist with the development and update of standards to support CERR
- Assist with the implementation and management of short-term and long-term electronic records
- Develop new website and have available to the public by October 1, 2012
- Monitor Google analytics to increase public viewing and use
- Provide on-going support for NewMexicoHistory.org
- Provide support for HERITAGE
- Provide hardware and software necessary for HERITAGE
- Provide support for TRIM
- Provide hardware and software necessary for TRIM
- Implement replacement schedule for hardware and software
- Update IT plan by September 30, 2012
- Staff will attend minimum of 2 trainings by June 30, 2013
- Review help desk requests hourly and respond by email, assign request to staff within 2 hours of request and review requests quarterly to identify systemic areas of improvement
- Provide one-on-one training within 2 days of staff request
- Review and update agency website as requested by division directors and approved by State Records Administrator



This section outlines, by function, the statutory authority and rules that support the activities of the agency, its Commission and the NM Historical Records Advisory Board.

I. STATE RECORDS ADMINISTRATOR

A. STATUTES: *Commission of Public Records*

<u>NMSA 1978</u>	<u>Provisions</u>
14-3-4 NMSA	Hire the Administrator; approve the budget.
14-3-4 NMSA	Adopt rules necessary to carry out the Public Records Act - e.g., record retention and disposition schedules (RRDS) and destruction of public records.
14-3-4 NMSA	Resolve disputes over the disposition of public records.
14-3-4 NMSA	Request agency appointments of Records Liaisons.
14-3-4 NMSA	Report to the Governor on operations, costs and effected savings.
14-3-5 NMSA	Approve loan or donation of material to the State Archives.
14-3-10 NMSA	Resolve disagreements about the value of records between State agencies and the Administrator.
14-3-14 NMSA	Appoint advisory committees to study public records issues.
14-3-15 NMSA	Adopt minimum standards for microphotography systems.
14-3-15.1 NMSA	Adopt procedures, schedules and technical standards for the retention of computer databases and rules governing the access to database information.
14-3-15.2 NMSA	Adopt standards for electronic signatures.
14-3-21 NMSA	Adopt uniform standards for manuals of procedure, State agency rules (except session laws), and official reports (except budget).
14-3-22 NMSA	Adopt rules setting uniform standards for State agency publications to minimize expenses; supervise such publications; report persistent violations to the Secretary of General Services.
14-9A-5 NMSA	Adopt standards to implement the Uniform Real Property Electronic Recording Act.

B. STATUTES: *State Records Administrator*

<u>NMSA 1978</u>	<u>Provisions</u>
12-1-2 NMSA	Serve on the NM Compilation Commission as one of the Commission's seven members.
14-1-7 NMSA	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 NMSA	Carry out the Public Records Act.
14-4 NMSA	Carry out the State Rules Act.
14-3-6 NMSA	Adopt and publish rules to carry out the purposes of the Public Records Act.
14-3-6 NMSA	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.

C. RULES: *Commission and Administrator*

<u>NMAC No.</u>	<u>Name</u>
1.11.2 NMAC	Real Property Electronic Recording
1.12.7 NMAC	Electronic Authentication
1.13.1 NMAC	General Provisions
1.13.2 NMAC	Fees
1.13.5 NMAC	New Mexico Historical Records Grant Program Guidelines
1.13.6 NMAC	New Mexico Historical Records Scholarship Program Guidelines
1.13.70 NMAC	Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems

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

Activities and Tasks: Commission and Administrator

<u>Activity</u>	<u>Tasks</u>
<i>Administration of agency</i>	<ul style="list-style-type: none">• Manage finances• Manage human resources• Provide information systems support• Provide centralized mail services• Provide centralized receiving• Manage grant funds
<i>Manage and coordinate security and building services</i>	<ul style="list-style-type: none">• Control access to facility• Coordinate janitorial services• Coordinate meeting room use
<i>Strategic Planning</i>	<ul style="list-style-type: none">• Develop a five-year plan and use it to manage the agency• Review and update plan annually• Monitor plan
<i>Reporting</i>	<ul style="list-style-type: none">• Report to the Governor• Report to the Commission• Report to the DFA and the LFC<ul style="list-style-type: none">o Annual Action Plano Performance Measures
<i>Adopt and enforce rules</i>	<ul style="list-style-type: none">• Carry out the Public Records Act• Carry out the State Rules Act• Support the activities of the NMHRAB
<i>Approve donations and loans</i>	<ul style="list-style-type: none">• Accept private collections• Approve loans of archival materials to other repositories
<i>Outreach</i>	<ul style="list-style-type: none">• Provide records and archival management training• Promote the agency and its programs
<i>Appoint and serve on advisory boards</i>	<ul style="list-style-type: none">• Chair (Administrator) the New Mexico Historical Records Advisory Board• Form special needs advisory boards or committee• Serve on other committees and task forces relevant to agency operations when appointed

II. ARCHIVES AND HISTORICAL SERVICES DIVISION

A. STATUTES: *Archives*

<u>NMSA 1978</u>	<u>Provisions</u>
1-22-17 NMSA	Maintain and preserve results of canvass of elections defined as permanent records and filed with the records center.
14-3-6 NMSA	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 NMSA	Inspect and survey public records of State agencies.
14-3-8 NMSA	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 NMSA	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 NMSA	Protect public records by prescribing paper, ink, and other materials to be used for permanent records to ensure durability.
14-4-4 NMSA	File copies of State agency publications, pamphlets, reports, notices, proclamations and similar instruments.

B. FEDERAL REGULATIONS: *National Archives and Records Administration, Affiliated Archives*

<u>Law</u>	<u>Provisions</u>
36 CFR 1253	Place Federal archival material in repositories outside the Federal government through a formal program of affiliated archives.

C. RULES: *Archives*

<u>NMAC No.</u>	<u>Name</u>
1.13.2 NMAC	Fees
1.13.3 NMAC	Management of Electronic Records
1.13.5 NMAC	New Mexico Historical Records Grant Program Guidelines
1.13.6 NMAC	New Mexico Historical Records Scholarship Program Guidelines
1.13.11 NMAC	Access to Public Records, Research in the New Mexico Archives
1.13.40 NMAC	Private Collection Development Policy

Activities and Tasks: Archives

<u>Activity</u>	<u>Tasks</u>
<i>Identify archival records</i>	<ul style="list-style-type: none"> • Review RRDS • Appraise records for possible accession • Process accessioned records • Accrete agency publications and brochures into agency collections
<i>Recover permanent records of State government</i>	<ul style="list-style-type: none"> • Identify State records held by organizations outside State government and request replevin of the records by the Attorney General
<i>Accept donations of collections that fit within the Commission's collection policy</i>	<ul style="list-style-type: none"> • Appraise proposed donations for fit • Recommend approval or disapproval by the Commission • Accession donated material
<i>Preserve permanent records transferred or donated to the Commission</i>	<ul style="list-style-type: none"> • Assure appropriate environmental storage conditions • Secure collections • Maintain collections • Inventory archival collections annually
<i>Provide access to collections</i>	<ul style="list-style-type: none"> • Organize collections • Create finding aids to collections • Provide on-line access to collections • Provide research room and reference assistance
<i>Effectively manage the State's permanent public records</i>	<ul style="list-style-type: none"> • Develop appropriate policies and procedures • Oversee archival operations in State agencies
<i>Provide advice to local governments and non-profit historical record repositories</i>	<ul style="list-style-type: none"> • 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
<i>Provide training in archival management methods and techniques</i>	<ul style="list-style-type: none"> • Train staff of archival repositories in State agencies • Train local government employees • Train staff of historical record repositories
<i>Serve as an affiliated archive for Federal records</i>	<ul style="list-style-type: none"> • 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
<i>Sell archival supplies, reproductions, and compilations</i>	<ul style="list-style-type: none"> • Sell containers • Sell calendars and publications • Sell duplicate photographs, maps and documents • Sell microfilm copies of collections

III. RECORDS MANAGEMENT DIVISION

A. STATUTES: *Records Management*

NMSA 1978

Provisions

14-3-6 NMSA	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 NMSA	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 NMSA	Inspect and survey public records of State agencies.
14-3-8 NMSA	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 NMSA	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 on-site or in private facility, transfer to the records center (and for permanent records from there to the Archives), or destruction.
14-3-11 NMSA	Properly destroy public records.
14-3-15.1 NMSA	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 NMSA	Recommend standards for electronic signatures on public records for adoption by the Commission.
14-3-15.B NMSA	Review and approve purchases of new microphotography systems purchased by State agencies.
14-3-15.C NMSA	Recommend minimum standards for microfilming public records for adoption by the Commission.
14-3-15.D NMSA	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 NMSA	Review and approve existing microphotography systems used by State agencies.
14-3-19 NMSA	Establish a revolving fund for the sale of microfilm supplies necessary for providing microfilm services.

B. RULES: Records Management

<u>NMAC No.</u>	<u>Name</u>
1.13.2 NMAC	Fees
1.13.3 NMAC	Management of Electronic Records
1.13.4 NMAC	Records Management Requirements for Electronic Messaging
1.13.10 NMAC	Records Custody, Access, Storage and Disposition
1.13.20 NMAC	Storage of Disaster Recovery Backup Files at the State Commission of Public Records—State Records Center and Archives
1.13.30 NMAC	Destruction of Public Records and Non-records
1.14.2 NMAC	Microphotography Systems, Microphotography Standards
1.14.3 NMAC	Microphotography Equipment: Inventory and Transfer
1.15.2-9 NMAC	General Records Retention and Disposition Schedules
1.16.111 NMAC	Legislative Record Retention and Disposition Schedules, Legislative Council Service
1.16.112 NMAC	Legislative Record Retention and Disposition Schedules, Legislative Finance Committee
1.16.117 NMAC	Legislative Record Retention and Disposition Schedules, Legislative School Study Committee
1.16.119 NMAC	Legislative Record Retention and Disposition Schedules, Legislative Maintenance
1.17.1-205-264 NMAC	Judicial Records Retention and Disposition Schedules
1.18.1-305-980 NMAC	Executive Records Retention and Disposition Schedules
1.19.2-11 NMAC	Local Government Records Retention and Disposition Schedules
1.20.2-3 NMAC	Education Records Retention and Disposition Schedules

Activities and Tasks: Records Management

<u>Activity</u>	<u>Tasks</u>
<i>Establish standards for efficient management of State agency records</i>	<ul style="list-style-type: none"> • Develop rules for implementing a records management program for State government. • Develop Records Retention and Disposition Schedules (RRDS) • Review agency compliance with rules • Develop rules for implementing a records management program for State government. • Develop Records Retention and Disposition Schedules (RRDS) • Review agency compliance with rules
<i>Dispose of public records and non-records</i>	<ul style="list-style-type: none"> • Review destruction notices and recommend action • Transfer records to archives for permanent preservation • Destroy records according to approved methods
<i>Advise local governments and historical record repositories</i>	<ul style="list-style-type: none"> • Advise entities of proper records management methods and techniques • Consult with entity staff to solve records management problems
<i>Accept records into warehouse</i>	<ul style="list-style-type: none"> • Accept records for storage at State agency's request • Inventory stored records
<i>Provide access to stored records</i>	<ul style="list-style-type: none"> • Control access to records • Retrieve stored records • Maintain chain of custody for records accessed while in storage
<i>Provide safe and secure storage for inactive records</i>	<ul style="list-style-type: none"> • Restrict handling • Provide physical security for records (systems and procedures) • Monitor temperature and humidity
<i>Sell storage supplies</i>	<ul style="list-style-type: none"> • Sell cubic foot, plan, and microfilm boxes
<i>Establish minimum standards for microfilming (film and image) public records</i>	<ul style="list-style-type: none"> • Issue microphotography standards • Inspect film for compliance with standards • Re-inspect film for degradation
<i>Review and recommend approval of microphotography systems</i>	<ul style="list-style-type: none"> • Review and recommend approval of microform systems • Review and recommend approval of imaging systems
<i>Provide records and information management training</i>	<ul style="list-style-type: none"> • 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

IV. NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

A. FEDERAL LAW: *New Mexico Historical Records Advisory Board*

<u>Law</u>	<u>Provisions</u>
36 CFR 1206.38	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.

B. RULES: *New Mexico Historical Records Advisory Board*

<u>NMAC No.</u>	<u>Name</u>
1.13.5 NMAC	New Mexico Historical Records Grant Program Guidelines
1.13.6 NMAC	New Mexico Historical Records Scholarship Program Guidelines

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

<u>Activity</u>	<u>Tasks</u>
<i>Strategic plan - improve the condition of historical records</i>	<ul style="list-style-type: none">• Develop and monitor implementation of a five-year plan• Update and review periodically
<i>Conduct public meetings of the Board</i>	<ul style="list-style-type: none">• Solicit public input for NMHRAB activities• Hold majority of meetings outside Santa Fe
<i>Reach out to historical record repositories</i>	<ul style="list-style-type: none">• Administer 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
<i>Promote history, archives and records management programs</i>	<ul style="list-style-type: none">• Fund training• Fund projects to save, promote, or use historical records• Fund projects that document history• Promote archives and records management practices

V. ADMINISTRATIVE LAW DIVISION

A. STATUTES: *Administrative Law*

<u>NMSA 1978</u>	<u>Provisions</u>
14-3-20 NMSA	File interstate compacts with the records center; maintain the filing with an index.
14-3-21 NMSA	Recommend uniform standards for: manuals of procedures, State agency rules (except session laws) and official reports (except budget) for adoption by the Commission.
14-3-23 NMSA	Review and order published manuals of policies and procedures; develop standards.
14-4-3 and 14-4-7.1 NMSA	Adopt rules prescribing style, format, and publication standards for rules promulgated by State agencies
14-4-5 NMSA	File rules adopted by State agencies.
14-4-7 NMSA	Prepare and publish a list and index of current rules.
14-4-7.1 NMSA	Publish a <i>New Mexico Register</i> 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 NMSA	Create and have published an administrative code.
14-4-10 NMSA	Prepare and publish list of publications for sale or issue by State agencies.
47-6-10.K-L NMSA	File county subdivision ordinance or their amendments with the records center.

B. RULES: *Administrative Law*

<u>NMAC No.</u>	<u>Name</u>
1.24.1 NMAC	General Provisions
1.24.10 NMAC	New Mexico Administrative Code (NMAC)
1.24.11 NMAC	New Mexico Administrative Code Revisions
1.24.15 NMAC	New Mexico Register
1.24.20 NMAC	Emergency Rules
1.25.10 NMAC	Publications: Filing, Distribution, Format and Style

Activities and Tasks: Administrative Law

<u>Activity</u>	<u>Tasks</u>
<i>File rules</i>	<ul style="list-style-type: none">• Review for style and format• Accept and file rules
<i>Establish and enforce standards</i>	<ul style="list-style-type: none">• Adopt rules governing style and format of rules• Adopt standard for manuals of procedures• Adopt standards for publications issued in paper
<i>Establish and enforce standards</i>	<ul style="list-style-type: none">• Adopt standards for web-based publications• Adopt rules governing publishing in the <i>New Mexico Register</i>• Adopt rules governing filing of emergency rules• Adopt rules governing compilation of agency rules
<i>Provide training</i>	<ul style="list-style-type: none">• Train rule filers in style and format requirements• Train State employees in the rule-making process
<i>Produce the New Mexico Register and the New Mexico Administrative Code</i>	<ul style="list-style-type: none">• Provide electronic and hard-copy access to notices of rule making and of adopted rules in the NM Register• Provide electronic access to current rules within a topical context• Publish an index of current rules
<i>Maintain Active Rules Collection</i>	<ul style="list-style-type: none">• Accept rule filings• Accession new rules or amendments• Remove repealed rules and transfer to archival collection• Provide access
<i>Maintain interstate compacts and county subdivision ordinance</i>	<ul style="list-style-type: none">• Accept new filings• Process into collection• Index• Provide access

VI. OFFICE OF THE STATE HISTORIAN

A. STATUTES: *State Historian*

<u>NMSA 1978</u>	<u>Provisions</u>
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.

B. RULES: *State Historian*

<u>NMAC No.</u>	<u>Name</u>
1.13.7 NMAC	New Mexico Office of the State Historian Scholars Program
1.13.8 NMAC	New Mexico Office of the State Historian Service Learning Student Internship Program

Activities and Tasks: State Historian

<u>Activity</u>	<u>Tasks</u>
<i>Serve as the authority on New Mexico history</i>	<ul style="list-style-type: none">• 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.
<i>Serve on Cultural Properties Review Committee</i>	<ul style="list-style-type: none">• Attend meetings of the Committee• Prepare text for historical markers• Review nominations to State and Federal Registers of historical sites
<i>Conduct outreach</i>	<ul style="list-style-type: none">• Conduct lectures• Conduct structured educational workshops• Participate in panel discussions• Make presentations• Participate in the NM Historical Society
<i>Contribute to the public's understanding of New Mexico history</i>	<ul style="list-style-type: none">• Conduct scholarly research• Participate in professional conferences• Administer the NM history scholars' program.• Administer the NM history internship program.