AGENCY OVERVIEW

The Fiscal Year 2000 members of the **COMMISSION OF PUBLIC RECORDS and their designees** were:

Tom Livesay, Chair	**Director, Museum of New Mexico**
The Honorable Patricia Madrid represented by Al Lama, Civil Division Director	**Attorney General**
The Honorable Domingo Martinez	**State Auditor**
The Honorable Rebecca Vigil-Giron	**Secretary of State**
Steven R. Beffort represented by Ted Guambaña, Administrative Services Division Director	**Secretary, General Services Department**
Thaddeus P. Bejnar, Secretary and designee Kevin Lancaster, Assistant Law Librarian	**State Law Librarian**
Dr. Stan Hordes, Vice-Chair	**Historian of New Mexico**

In 1959 the Commission was charged with establishing a Records Center in Santa Fe and appointing the State Records Administrator to manage the facility. The facility is commonly known as the State Records Center and Archives (SRCA). L. Elaine Olah serves as the Commission appointed State Records Administrator directing the SRCA staff comprised of 33.5 Full-time Equivalent (FTE) positions and a 0.5 federally funded position. The State Records Center and Archives protects and preserves New Mexico's public records - records that, in turn, preserve and protect the rights of its citizens. It also provides records management for the state's public records, oversees the filing and publishing of the State's regulations, and advocates access to these public records.

Mission

The Commission of Public Records recognizes that a democracy requires a fully documented and accessible public record. In its commitment to preserve the records that document the rights and history of the people of New Mexico, it *manages the life cycle of public records by establishing standards that preserve, protect, provide access to, and facilitate the use of those records*.

To accomplish this mission, the State Records Center and Archives (SRCA) is organized along functional lines. The four divisions of the SRCA are Administrative Services, Archives and Historical Services, Records Management, and State Rules. The directors of these divisions, along with the Administrator, serve on the management team of the agency. In addition to these divisions, the New Mexico Historical Records Advisory Board operates as an adjunct organization to the Commission.

ADMINISTRATIVE SERVICES DIVISION

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

ARCHIVES AND HISTORICAL SERVICES DIVISION

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

RECORDS MANAGEMENT DIVISION

Government offices maintain vast numbers of records and must be able to locate information quickly. To continue to preserve and provide public access, a systematic records management program has been developed by this division. Records Management deals with the management and control of state agency records' use, storage, and transfer from their creation to their destruction. Efficient and economical management involves the description of records systems in use by state agencies. Record retention and disposition schedules are developed and become the basic tool of the agency's program. Warehouse management of inactive records, record disposition, and record management consultation is also offered by this division.

STATE RULES DIVISION

The State Rules Division administers the State Rules Act and the provisions of the Public Records Act that govern the official filing of rules and publications developed by State agencies. Rules promulgated by State agencies support and clarify the laws of New Mexico. Agencies that issue rules and publications must file copies with the State Records Center and Archives.

NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

The New Mexico Historical Records Advisory Board was established to serve as the local advisory body for all New Mexico records preservation and access or documentary edition grant proposals submitted to the National Historical Publications and Records Commission. The Board consists of nine members appointed by the Governor, including the State Records Administrator who serves as the Chair of the Board.

THE MANAGEMENT TEAM

A team comprised of the director, the director's administrative assistant, and division directors manages the agency. During FY 2000, the team included:

L. Elaine Olah, **State Records Administrator**

Paula Flores, **Administrative Assistant**

Judi Hazlett, **Deputy State Records Administrator and Administrative Services Division Director**

Sandra Jaramillo, **Archives and Historical Services Division Director**

Al Regensberg, **State Rules Division Director**

Don Padilla, **Records Management Division Director**

EXECUTIVE SUMMARY

Fiscal Year 2000 has been a very productive year in many ways. The Commission completed work under its first five-year strategic plan and adopted its next five-year plan. This summary will highlight some of the work that the agency has completed during 2000 and plans to complete in 2001 and 2002.

Improved Access to State Records. Several initiatives undertaken by the agency have improved access to the State's archival collections and the State Rules Collections. Under a National Endowment for the Humanities grant, 63 finding aids to archival collections were encoded and marked up in SGML, a language that allows for easy Internet display. The finding aids are currently online and available through the University of New Mexico's web site located at http://elibrary.unm.edu/oanm. The encoding grant created a process that will be sustained after completion of the grant in November of 2000. Acquisition and installation of archival management software will support the process initiated under the grant program. In addition, the photo-imaging database created in 1999 was refined to allow for easy input and retrieval of imaged documents. Forty images were scanned and linked to the photo-imaging database according to archival specifications. A total of 1,849 images were prepped for scanning in 2001. A Request for Purchase of archival management software was developed in the later part of FY 2000 and awarded in June and installation was scheduled in July through August 2000. The software will bring together several databases (including the photo-imaging database) maintained by the Archives and Historical Services Division into a single one that is more efficient to operate and access. This software, combined with the encoding process, will allow the agency to take archival collection information onto the Internet by January or February 2001.

New finding aids were created for several important collections. The Supreme Court Law Library Collection's finding aid describes 85 linear feet of rules, publications, and State agency manuals filed with the Supreme Court Library in compliance with the State Rules Act. The finding aid to Governor Bruce King's papers from his second term (1979-1982) describes 190 linear feet of records transferred to the State Archives. A finding aid was created to describe 1,668 linear feet of District Court records from Dona Ana and Guadalupe counties covering the period of approximately 1900-1940. A total of 89 linear feet of Santa Fe County deed records were also described in a new finding aid created in FY 2000. The new finding aids provide tools for researchers to identify more easily the material that they seek and in that way contribute to the preservation of archival material.

The effort to compile the New Mexico Administrative Code (NMAC) entered its sixth year in FY 2000. Although progress has been made, limited resources and, especially, dependence on voluntary agency compliance by issuing agencies with requirements to repromulgate their regulations made the process very slow. Issues with the publisher and users about the compilation of the Code (done at no cost to the agency) prompted the agency to revisit the structure of the Code and to issue regulations that standardize the rule formatting and filing process. However, at mid-FY 2000, rule-issuing agencies still had not reformatted more than 700 rules, effectively preventing the completion of NMAC. In order to move the processes forward, the Commission of Public Records assumed the responsibility of converting those rules to NMAC style and format and was able to hire several temporary employees to begin that process. The agency also increased its NMAC training from quarterly to monthly classes to ensure that State agencies have adequate opportunity to send employees involved in the rule-promulgation process to this essential training.

Preservation of Important State Records. At the invitation of State Land Commissioner, Ray Powell, and Deputy Land Commissioner Dennis Hazlett, two divisions of the Commission of Public Records jointly conducted a field survey of the records in the State Land Office (SLO). The Directors of the Archives and Historical Services and Records Management Divisions reviewed the records, storage, and environmental conditions at the SLO and offered written recommendations for improvement. As a direct result of these recommendations, State Land Commissioner Powell transferred tract books identified as

"at risk" during the December survey to the State Archives in March of 2000. Other recommendations for on-site mitigation of environmental or storage conditions were also adopted. These actions represented a major step toward the preservation of critical and, in many cases fragile, records documenting significant aspects of the State's history and, hopefully will set a precedent for improvements in the treatment of permanent records held on site in other State agencies.

Managing the State's Records. Work toward updating outdated Record Retention and Disposition Schedules (RRDS) was a priority in FY2000. Thirty-two agencies were identified as having RRDS that were ten years or older. Fifteen of those agencies' RRDS were reviewed, culminating in new RRDS or modifications being filed.

A rule on the management of electronic records was drafted in FY 2000 and will be issued for public comment in FY 2001 through a task force to be appointed by the Commission of Public Records. The objective of the rule is to ensure proper Records and Information Management practices are implemented and adhered to by State governmental entities.

Saving New Mexico's Historical Record. The Archival and Records Management Training Program, started by a grant from the National Historical Publications and Records Commission, was very effective in FY 2000. Six training sessions held in different venues around the state were delivered to 250 participants.   The program will continue under a fee-generating program in 2001 and beyond. Registration fees between $25 and $50 will be charged for workshops on various topics that will be designed to develop records and archival management skills in repositories throughout the state. These repositories include other State agencies, local governments, historical societies, and educational institutions.

The New Mexico Historical Records Grant Program was successful in distributing funds to needy repositories in 1999 and 2000. Funds awarded to 16 recipients in the first grant cycle were in process and scheduled for completion in FY 2000. Projects proceeded as scheduled for fourteen of sixteen (or 87.5 percent) of the grantees. Eleven additional projects were funded in March 2000, in the second cycle of the grant program, and another five grant proposals were funded in May. **In two years sixty grant proposals were submitted and thirty-two funded.**   Funding for this program has come from both State and federal funds and requires contribution of at least 25 percent from the applicant. Contingencies set for the award of part of the federal funds for this program were satisfied with legislation passed in FY 2000. As a result, $50,000 will be available for award in FY 2001 - $25,000 in federal funds and $25,000 in State funds. However, 2001 is the last year of federal support for this effort. Beginning in 2002 the program will be entirely State-supported.

Supplementing Our Resources. The Archives and Historical Services Division moved into its fifth year of utilizing volunteers to assist staff with collection maintenance, arrangement and description, and conservation. Five volunteers have unfailingly donated their services since 1995. Volunteers have re-housed 6,150 folders and 527 cubic feet of records, fabricated over 600 clamshell boxes, and described ten linear feet of muster rolls in the Adjutant General Collection.

Serving the Public's Demand for Records. Staff, along with volunteers, developed and presented a genealogy workshop on March 11, 2000. The workshop was developed for State of New Mexico employees interested in doing family history research. Over 70 State employees attended the workshop. Volunteers assisted staff with orientation activities. The agency is open on the second Saturday of each month to allow genealogists to conduct research.

Plans For 2001. In FY 2001 the agency will begin working on its new five-year strategic plan (2001 – 2005). This plan is intended to improve archival and records management practices and skills as well as enhance access to information by all State agencies and the public. Work will begin in the following areas.
- Initiating work in creating a records, information, and archival management manual.
- Identifying archival and records management topics to be outlined in brochures.

- Delivering archival and records management training to State agencies and other historical record repositories.
- Development of the rule on management of electronic records.
- Developing a preservation survey that will identify the State agencies holding permanent records on site.
- Completing the Online Archives of New Mexico project.
- Completing the New Mexico Administrative Code.
- Expanding the New Mexico History Class (this effort may be impeded by the retirement of State Historian, Robert Torrez) and starting a New Mexico history lecture series.
- Developing a curriculum for classes in the history, structure, and function of New Mexico State government.

Plans For 2002. The Commission's FY 2002 appropriation request was crafted to allow the agency to continue its progress toward achieving the goals that were established in the Commission's 2001-2005 strategic plan.

Implementing a strategic plan, especially one that carries significant expectations, can create a stressful environment. Only with an adequately compensated and stable staff can such a plan be implemented successfully. It is the agency goal in 2002 to reduce turnover through the proper classification and compensation of staff, in addition to adding other resources that will enable the agency to carry out its mission.

As previously mentioned, some efforts will continue to focus on **managing electronic records**. While Commission staff can address standards in a regulation, it will take additional in-house expertise in information systems and records management to address future issues of preservation and access to the State's records when they are maintained solely in electronic form – the intent of the "paperless office." The FY 2002 appropriation request includes an expansion request for an electronic records administrator and related expenses. Additional efforts to develop standards and methods for archiving long-term and permanent electronic records through collaboration with the Chief Information Officer and interested State agencies will be priorities for the agency in FY 2002.

A **Public Records Locator Service (PRLS)** hopefully can be realized through collaboration with the State Library Division of the Office of Cultural Affairs. Federal grants and State appropriations have been requested to enhance the New Mexico State Library's government information locator service (GILS), *Find it New Mexico*, to accommodate searches for specific public records. The system would then allow the public to determine the custodian of a desired record and how to contact that **person**.

Commission staff will lay the groundwork for creating an **affiliated archive program**. Several State agencies retain permanent records on-site because of on-going need for access. It is important that these records be protected under the oversight of the Archives and Historical Services Division so that their long-term preservation can be ensured.

Fiscal Year 2002 will also see continued work in:
- improving records, information, and archival management skills;
- improving access to State records;
- promoting New Mexico history through its records; and
- guaranteeing the integrity of the New Mexico Administrative Code.

FY 2000 STRATEGIC PLAN PROGRESS REPORT

The **Commission of Public Records** is responsible for the life cycle of past, current, and future public records of the State of New Mexico. The full life cycle of public records includes creation, maintenance, retention, disposition, and conservation regardless of physical form or technology. The Commission expressed its mission statement as, "*The Commission of Public Records recognizes that a democracy requires a fully documented and accessible public record. In its commitment to preserve the records that document the rights and history of the people of New Mexico, it manages the life cycle of public records by establishing standards that preserve, protect, provide access to, and facilitate the use of those records.*"

The Commission of Public Records appoints the State Records Administrator who directs the State Records Center and Archives staff of 33.5 FTEs. The State Records Center and Archives protects and preserves New Mexico's public records. Many of these records document the rights of its citizens and the actions of its government. To assist State agencies in ensuring that government maintains records essential for such documentation, a records management program has been designed, implemented, and is maintained. Additionally, a repository for maintaining the permanent records of the State exists to provide continuity in the recording of government. State regulations filed with the State Records Center and Archives are specific public records, permanently preserved, that document government processes.

This section of the annual report describes the progress of programs as they have been defined for the Commission's five-year strategic plan. The report contains a description of each program, its statutory authorization, that program's FY 2000 *Action Plan* and selected program measures. These programs include: Administration, Archival Management, New Mexico History, Records and Information Management, and Rules Management.

ADMINISTRATION

Program Description: The Commission of Public Records is the governing body of the agency and is comprised of elected and appointed officials who serve by statute. The members of the Commission are the Attorney General, State Auditor, Secretary of State, State Law Librarian, the Director of the Museum of New Mexico, the Secretary of the General Services Department and a recognized historian specializing in New Mexico history and appointed by the Governor. The Commission meets at least four times during the year to adopt regulations necessary to carry out the Public Records Act and the State Rules Act and to oversee the management of the agency. The Commission of Public Records appoints the State Records Administrator, who has the authority to administer and coordinate all programs defined in the Public Records Act.

This program provides administrative services within the agency, including general management, fiscal and personnel management, building services coordination, information systems, and public relations. The emphasis of this program is to implement the agency's strategic plan first adopted in 1995 and in effect through fiscal year 2000, as well as in the future, the new FY 2001-2005 Strategic plan, adopted in FY 2000.

To implement the strategic plan, priorities and performance measures and standards are established annually and tracked quarterly. An annual report is published that discusses our progress in meeting the strategic plan's goals and objectives. Throughout the year the Commission is apprised of the agency's progress and periodic reports are issued that assess various program areas.

Management evaluates program measures and establishes policies and procedures that govern the operation of the agency. Program measures are established at the division level to provide information that allows management to determine the effectiveness of its programs. Likewise, policies and

procedures are initiated at the division level and adopted by the management team. The agency policy and procedures manual is maintained and available to staff on the agency network.

The Administrative Services Division provides centralized administrative support to the other program areas of the agency. Budget preparation and monitoring, procurement, bill paying, grant fiscal reporting, and accounting are the fiscal services provided by the Fiscal Officer. The Personnel Officer processes payroll, personnel actions, performance appraisals, and advises staff and management on personnel issues and practices. Information Systems maintains the agency local-area network which will expand to a small wide-area network, maintains the agency web page, assists programs in automating their functions or improving access to existing programs and installs and maintains the agency's information technology equipment. Public relations activities include the publication of the *Quipu*, the agencies quarterly newsletter, issuance of press releases to highlight important events sponsored by the Commission or the New Mexico Historical Records Advisory Board, and promotion of services of the agency to other State agencies, the legislature, historical record repositories and the public.

Statutory Authority/Program Authorization: Chapter 14, Article 3, NMSA 1978, Public Records Act; Chapter 14, Article 3, NMSA 1978, State Rules Act, Chapter 14, Article 2, Inspection of Public Records Act.

Goals
❖ Promote the mission and protect the interests of the agency through effective management of the agency infrastructure.
❖ Facilitate and support programs in reaching their goals and objectives.

Objectives
❑ Retrieve public records in the physical or legal custody of the State Records Administrator efficiently.
❑ Manage the agency according to a strategic plan.
❑ Ensure that financial resources are available when needed.
❑ Ensure that human resources are available to meet agency goals and objectives.
❑ Ensure that information technology is available when needed to meet agency goals and objectives and an effective computer and communication infrastructure is provided.
❑ Ensure building safety and security for public, staff, and collections.
❑ Promote the services and programs of the agency.

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FY 2000 ADMINISTRATION ACTION PLAN

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❑ **Develop a foundation for a public records locator service.**

Creation of a comprehensive Public Records Locator Service (PRLS) was recognized as a specific strategic initiative in the agency's FY 2001 - 2005 Strategic Plan, with the initial action step calling for developing design specifications and obtaining funding in the fiscal years 2001 and 2002. In conformance with this, a request for $15.0 for a consultant to develop initial specifications for PRLS was included as a program change in the agency's FY 2001 appropriation request. The PRLS was also addressed in the agency's FY 2001 Information Technology Plan. Although requested in the request for funding in FY 2000, it was not included in any version of the General Appropriation Act of 2000.

The second action step stipulated an analysis of the State Library's Government Information Locator Service (GILS) to determine its suitability to host or link to the PRLS and directed the development of partnerships with the Library, the New Mexico Information Technology Management Office (CIO's Office), and other interested parties. In pursuit of this objective, the SRCA is serving as an alpha site for testing of GILS, which should provide a good perspective from which to analyze the usability of GILS as a host of or link to the proposed PRLS (although, as set forth in the agency FY 2002 appropriation request, consultation services will be necessary to define such specifications outlining precisely how the bridge between the two systems can be constructed). Federal funding (along with State support in 2002) was sought to analyze GILS and develop an RFP for the PRLS system.

❑ **Develop the strategic plan for 2001 through 2005.**

The FY 2001 – 2005 Strategic Plan, following a detailed analysis and development process, was submitted for SRCA staff comment in the latter part of June 1999 and then offered for public comment. After revisions resulting from those comments, the Plan was adopted by the Commission of Public Records at its August 1999 meeting. During the final quarter of FY 2000, the implementation strategies and action steps delineated in the Plan were reviewed to determine whether they were still valid and possible. As a result of the review, some revisions to the action steps were made.

❑ **Develop and communicate annual priorities for the agency.**

The FY 2000 priorities are set forth in the FY 1996 - 2000 Strategic Plan, as updated. FY 2001 –FY 2005 priorities are set forth in Understanding New Mexico Through Its Public Records, A Strategic Plan.

In the second quarter, the State Records Administrator, the Deputy Administrator, and the Systems Analyst met with staff at the New Mexico Information Technology Management Office to review the agency's FY 2001 Information Technology (IT) Plan, which sets forth the SRCA's annual IT priorities. The Plan received high ratings from both IT analysts and was approved. In October, the Administrator, the Deputy Administrator, and the Fiscal Officer attended the agency's budget hearing before the Legislative Finance Committee. The Administrator gave a brief presentation and responded to questions.

During the 2000 regular legislative session, management team members attended the House appropriation subcommittee hearing to address the agency's FY01 appropriation request. The Director and the Deputy Director monitored the appropriation process and discussed agency priorities with the directors of the State Budget Division and the Legislative Finance Committee as well as the agency's analysts.

❑ **Monitor progress towards achieving annual priorities and evaluate effectiveness of programs.**

Progress toward meeting priorities is described in divisional quarterly reports (on program priorities and performance accountability measures). These reports are then compiled at the agency level. The Administrator and the Deputy Administrator review the reports. The compiled reports are provided Commission members in their quarterly meeting packets and will also be available to the SRCA staff on the agency's LAN.

❑ **Assure that financial resources are available when needed.**

Please see Program Measures (PAM) report for specific measures relating to this item.

With the beginning of the fiscal year, the agency made the complete conversion to the new internal accounting system, AIMS. In addition to opening the fiscal year with a new accounting system, the Administrative Services Division also complied with a mid-July deadline for submitting the second phase of the FY 2000 operating budget.

The biggest challenge of the first quarter was, of course, the development and preparation of the agency's FY 2001 appropriation request. With a few exceptions, most line item requests were "zero-based" – developed from the ground up and fully justified, rather than simply adding a percentage to prior-year figures. The "zero-based" computations were rebuilt to tie to strategic plan measured progress and priorities. Although the agency request was not "performance based", this approach reflected many of the principles embedded in that concept. In addition to the regular appropriation request, the agency also submitted preliminary information for four FY 2001 capital outlay requests.

The agency had anticipated that its annual audit would be conducted soon after the first of September, as discussed with the contract auditor. However, the auditor did not begin his work until around the first of December. An exit conference was conducted on December 16, 1999. Although the audit resulted in an unqualified opinion, two findings were noted. The first dealt with the beginning balances brought forward for FY 1999, and the second with maintenance of the box

inventory in the records Warehouse. The agency responded to both. During early January, the auditor who conducted the FY99 agency audit notified the SRCA that a third finding relating to reversion was necessary. The agency had been attempting to make the requisite reversion but had been unable to arrive at the amount specified in prior year audits. The agency provided a response indicating its inability to reconcile with the audited reversion figures – either FY 1998 or 1999. The discrepancy lay in the inclusion by the auditor of federal funds, expenditures, and encumbrances in the reversion numbers. The agency submitted its numbers to the auditor, who now agreed with the agency calculations. Reversions were prepared during the third quarter.

Throughout the year, in addition to performing on-going accounting functions, the Fiscal Officer prepared budget projections for review by the management team. As anticipated and as has happened in past years, the supply category had insufficient funds to meet operating requirements. A Budget Adjustment Request was prepared to address that insufficiency as well as needs in other categories.

The Fiscal Officer took maternity leave in early February, and the agency hired Jim Butterbaugh, retired from the Department of Finance and Administration (DFA), in a temporary position to fill in as Fiscal Officer. Mr. Butterbaugh installed the long-awaited upgrade to AIMS, which enabled establishment of beginning balances – a process not heretofore initiated on the recommendation of the DFA due to "glitches" in the system. He also reviewed system transactions to identify any anomalies caused by system problems or transaction errors, and began work with the Fiscal Officer on her return to make any needed adjustments.

During the fourth quarter, the Fiscal Officer, in conjunction with Mr. Butterbaugh, corrected the problems identified by Mr. Butterbaugh. She also performed the functions and submitted the transactions necessary to meet the DFA year-end closing requirements and, with the assistance of the IT staff, conducted the year-end physical inventory.

❑ **Identify, track, and protect all assets.**

Fixed assets were tagged and listed as additions to the fixed assets schedule as received. New items were tagged and recorded as acquired during FY00, and a physical inventory of the agency's fixed assets was conducted at the end of June.

It should be noted that the General Services Department (GSD) had not transferred any of the new furnishings to the SRCA as of the end of FY 2000. When the goods were received, the SRCA indicated that it would accept the goods when the GSD provided a formal notice of transfer and a listing of all items in an auditable format.

❑ **Process and monitor human resource activities in accordance with law and SPO and SRCA policies and procedures and ensure human resources are available as needed.**

Please see PAM report for specific measures relating to this item.

The agency encountered continuing difficulties in filling positions in a timely manner. Of the three vacancies not filled on time during the first quarter, one involved a position re-classification, a time-consuming and often convoluted undertaking. A second was actually a new position authorized by the 1999 legislature. In order to hire into such a position, an agency must develop the required job descriptions and complete other procedures necessary to "create" the position at the State Personnel Office (SPO) and secure DFA approval. Although those steps certainly added time to the process, the real difficulty came in attempting to hire. After advertising the job, receiving the list from the SPO, and conducting initial interviews as well as second interviews with finalists, the agency found itself unable to hire. Of the three finalists (from a total of six initial interviews), one took another job and withdrew her name from consideration. The leading candidate turned down the offer on the basis of inadequate compensation, as did the remaining finalist. The agency attempted to utilize a new SPO procedure for internal recruitment, but gained no time advantage. As a consequence, the position was not filled until early October. With respect to the third vacancy, the agency did not receive the list from the SPO within the prescribed time.

An internal SRCA candidate was hired as the Data Base Administrator, leaving the Management Analyst Supervisor position in Records Management vacant. Although the agency participated in the banding for the vacant position, the list received from State Personnel did not appear to reflect SRCA input. Analysis of the banding revealed some disturbing inconsistencies; however, one candidate was clearly qualified and an offer was made. It was not accepted. Given the questions with the banding, the SRCA felt it necessary to request copies of and review all applications. Finally, in mid-December a candidate was hired, effective January 8. Similar concerns were raised with the banding done for applicants for a clerk position in the Records Warehouse, and, again, copies of applications were requested from all interested candidates. The SRCA experienced continued delays due to the need to review all applications and the salary limitations dictated by relatively low ranges of many SRCA positions – a problem that surfaced in more than one recruitment effort. The lack of confidence in the accuracy of the banding and the consequent need to request and review applications from all applicants inevitably further slowed an already slow process and impeded the ability of the SRCA to fill positions expeditiously. The alternative, however, was to risk the loss of the most qualified candidate because of questionable banding.

The agency hired a new Human Resource Administrator in late October, but she resigned, effective January 7, to take another job. The State Personnel Office concurred in the agency's request to use the same applicant listing, and a replacement was hired effective January 8. It was only the ability to hire from the same applicant listing that enabled the agency to avoid the delays experienced in other recruitments.

During the last quarter, the Human Resource Administrator concentrated her efforts on recruiting for agency vacancies and working with management staff and supervisors on upgrading several positions. She also revised several policies and procedures, including those addressing the hiring process, and drafted, with the aid of a working group, an agency dress code.

❑ **Ensure information technology resources are managed effectively and are available as needed.**

One of the primary limitations in accomplishing all information technology (IT) objectives had been the lack of staff. The 1999 legislature authorized a new IT position – a Data Base Administrator I – for FY00, which helped to alleviate some of the pressure on what heretofore was the single IT employee. Hiring someone into that position, however, proved difficult (please item, immediately above). However, as noted above, an internal SRCA candidate was hired as the Data Base Administrator during the second quarter.

In July, the agency lost use of its Exchange server (used for e-mail) for approximately five calendar days (but only three workdays) – more downtime than was experienced during all of FY99. Some-as-yet unexplained electrical anomaly caused both servers to re-boot; the Exchange server could not then recognize the primary domain controller. Without money in the Contractual Services category, the agency was unable to bring in outside assistance. The Systems Analyst was able to resolve the problem, but resolution required that she dedicate virtually all of her time to the effort during the time the server was down.

In addition to carrying out on-going operational functions, the now-two-person, ASD Information Technology staff, among other accomplishments:

- completed the metatag editing for the GILS project, as discussed earlier;
- made numerous updates and additions to the agency's web page, including posting the proposed NMAC restructuring rules and related information as well as the October and January issues of the *Quipu*;
- posted to the web site additional information on the restructuring project and the final rules as they became available to ensure public distribution;
- completed work on the interstate compact database for the Rules Division;
- continued the conversion of those Personal Computers still using Windows 95 or 98 to NT; and

- worked with the Archives and Historical Services Division to develop a Request For Purchase (RFP) for automating archival functions and participated on the selection committee.

❑ **Manage information systems following 1 NMAC 3.2.70,** *Performance Guidelines for the Legal Acceptance of Electronic Records.*

During the second quarter, the ASD information technology staff was to evaluate the agency's IT systems vis-à-vis the above-referenced rule to assess compliance and make recommendations for any corrective measures. Although the evaluation of compliance with 1 NMAC 3.2.70 was not fully completed, the Data Base Administrator did review drafts of the in-development Electronic Records rule, 1 NMAC 3.2.90. The IT Bureau manager, in an effort to gain needed expertise in electronic records management, met with the Director of the Records Management Division to discuss the subject and gather information on how to address RRDS requirements with respect to the SRCA e-mail and other electronic records. She attended a Records and Information Management class conducted for agency personnel and, along with the Data Base Administrator, attended an Electronic Records Workshop in late April.

❑ **Maintain inventory of active and inactive information systems as required by adopted RRDS.**

During the second quarter, the ASD information technology staff reviewed the RRDS and determined that the inventory was maintained as required.

❑ **Manage and advise divisions on the development and implementation automated systems throughout the agency.**

Division directors were informed of information technology-related activities through periodic reports at bi-weekly management team meetings. Any developments affecting the entire staff were posted to the network and, if appropriate, are discussed at general staff meetings.

❑ **Maintain a current web page that effectively promotes the services and information produced by the agency.**

The agency assumed responsibility for maintenance of the web page in June of 2000. During the first quarter of FY01, the information available via the page was enhanced considerably with the addition of the *Strategic Plan* and the *Quipu*. As mentioned above, during the second and third quarters, the ASD information technology staff updated and added to the web page. Additions included the proposed and final NMAC restructuring rules and related information and the October and January issues of the *Quipu*. Work continued on the development of an SRCA intranet.

❑ **Coordinate maintenance and repair requests so that all building systems operate smoothly.**

On July 6, the Commission-appointed subcommittee on drainage issues held a second meeting with the Director of the Property Control Division (PCD) of the GSD. It met again with the PCD on September 27 (Minutes of the meetings are available from the SRCA administration offices). While no fully satisfactory solution was reached, progress was made, especially with the concurrence of the PCD in the need for a comprehensive drainage study (to include off-site generated run-off) of the West Capital Complex area. Funding was included in the capital outlay bill passed by the legislature during the regular session for the drainage study of the West Capital complex and surrounding sites as well as for the replacement of the recalled sprinkler heads. The governor, however, vetoed the bill. Funding for the drainage study was incorporated into a larger appropriation but, apparently, was dropped from the final bill.

In the first half of the year, new building-related issues generally were routine and were resolved promptly although the adequacy and reliability of the janitorial service remained an issue. Agency management also had some concern that it was not always being advised of problems - a subject that was brought to the attention of the BSD Director during the second quarter. However, there were more serious problems. During the late summer rains, the moisture detection system in the

Records Warehouse triggered two alarms, and SRCA staff reported moisture had seeped through or under the wall in one location. The problem was discussed with both the BSD and the PCD.

During the second quarter of FY 2000 a number of issues dealing with access to secured areas and communications between the Building Services maintenance staff and the agency surfaced. Further, agency management grew increasingly concerned with the reliability of the security system when the exterior door in Administration failed to lock for a number of nights, and the failure went unreported to agency management. The State Records Administrator met with the Director of the BSD to discuss these during mid-November. A door unlocked over the New Year's weekend – an event that had not been reported to agency management until the SRCA's systems analyst went to the building to perform the required Y2K check. The security system also experienced an apparent Y2K-related problem on transition to Year 2000. According to Building Services maintenance, the system "reset" itself to 1980. The 1980 reset almost certainly resulted from a BIOS failure. The GSD apparently did not test the BIOS of the personal computer on which the security systems resides for Y2K compliance, relying, according to BSD maintenance staff, on the software contractor. The connection between the reset and the opened door has never apparently been fully determined.

❑ **Issue the agency newsletter *Quipu* quarterly.**

The July issue of the *Quipu* was distributed in late June. One thousand copies were ordered, and 988 distributed. The October issue was released on September 27, with a distribution of 943, and the January issue was published in the last week of December, with the same distribution as September's. April's issues also had the same distribution as the January and September issues. Issues were also posted on the agency's web page.

❑ **Issue the FY99 agency annual report by 10/30/00.**

The FY99 annual report was in the process of compilation and editing at the close of the first quarter and was completed the first week of November, 1999 and formally issued after the November Commission meeting.

❑ **Meet with agency directors to advise them of the services that the agency provides.**

The State Records Administrator and the Deputy Administrator met with State Land Office management to discuss RRDS and the records services available through the SRCA. Meetings with the State Engineer's Office and the Developmental Disabilities Council on RRDS were held in October. During the second quarter of the fiscal year, the State Records Administrator also met with P.E.R.A. regarding RRDS.

During the second quarter, discussions continued with the State Land Office with respect to the concern shared by management at both the State Land Office and the SRCA about the preservation of permanent records held on-site. The SRCA conducted a survey of Land Office records and a report was prepared by the Director of the Archives and Historical Services Division. A meeting with Land Office management was held in early January. As a result of that meeting and the survey, the State Land Commission, during the third quarter, transferred some 100 boxes of records to the State Archives.

During the latter part of the second quarter and throughout the third, the majority of meetings and discussions with other agencies involved the NMAC restructuring project. As noted earlier, while agencies did not necessarily respond to the changes with enthusiasm, the discussions did focus attention on the rule-filing responsibilities of the SRCA.

In the last quarter, once again, discussions with other agencies most frequently involved NMAC issues, although they centered more on "how do we restructure" rather than "why we can't restructure." As a result, a formal NMAC training session was developed and offered monthly since March 2000.

❑ **Disseminate public informational material that promotes services and information produced by the agency.**

During the first quarter the Commission of Public Records issued its FY 2001 – 2005 Strategic Plan. Thirty-four copies were distributed by the postal service. The Plan was also posted to the agency's web page, and 394 invitations to visit the site and review the Plan were e-mailed. The agency's informational brochure was also updated and made available. Training brochures were updated to reflect remaining workshops and distributed as required. The June, October, and January issues of the *Quipu* were distributed, both in hard copy and electronically, via the agency's web page. Proposed and final SRCA rules to govern the structuring of the NMAC and new Register publication requirements and related information were disseminated, again via the web page and, to those requesting, hard copy.

The New Mexico Historical Records Advisory Board (NMHRAB), an adjunct to the SRCA chaired by the State Records Administrator, conducted three presentations on post-award procedures for current grantees (Santa Fe, Ruidoso, and Las Vegas) at which informational materials were distributed. A presentation, including materials distribution, on the NMHRAB program was also made to the New Mexico Association of County Clerks held in September in Taos. The Board's informational brochure was also updated.

FY 2000 ADMINISTRATION PROGRAM MEASURES

Activity: *Manage and track agency performance using its strategic plan*

Issuance of a new strategic plan for the period 2001 through 2005; submission of quarterly and annual reports on performance measures adopted by the agency; director's reports to the Commission; and publication of the agency's quarterly newsletter indicate the effectiveness of the agency's management.

Division	Performance Measure	Type	FY99	FY00
MGMT	Strategic plan for 2001 through 2005 issued/updates after initial issuance	OC	Updated 2000 strategic plan; draft of new 5-year plan out for comment by 6/30/99	New plan adopted by Comm. at Aug. meeting; adopted 2000 priorities
MGMT	2000 Strategic plan objectives (%) satisfied	E	(42 obj.) 75%	(57 obj.) 66%
MGMT	PAM reports compiled on time	OC	100 %	75%
MGMT	PAM reports submitted w/in 20 days after the end of the quarter	OC	100%	75%
MGMT	Status report on annual priorities compiled on time	OC	100%	75%
MGMT	Priorities reports submitted w/in 20 days after the end of the quarter	OC	100%	75%
MGMT	Written Director's report made to the Commission of Public Records	OP	Provided for 8/98, 11/98, 3/99, and 6/99 meetings	Provided for Aug., Nov., Mar. and June Comm. meetings
MGMT	Annual report published within prescribed timeframes	OC	1998 published October 1998	1999 published mid-Nov. 1999

Activity: *Promotion of Agency Services*

Various outreach efforts and increased awareness of the agency's services measure the effectiveness of the agency's promotional efforts.

Division	Performance Measure	Type	FY99	FY00
MGMT	*Quipu issued* quarterly by the 1st week following the end of the quarter	E	100% issued on time	100% issued before deadline
MGMT	*Quipu* distributed	OP	4,364	3,817
MGMT	Published on the Web within # days	OP	n/a	Apr 99, July 99, Oct 99, Jan. 00, posted in 17 days; Apr 00 issue not posted

Division	Performance Measure	Type	FY99	FY00
MGMT	Outreach made to State Agencies			
MGMT	Presentations	OP	n/a	7
MGMT	Brochures	OP		1 (updated)

Activity: *Effective Management of Financial Resources*

Financial resources are available when needed. Bills are paid within 30 days of receipt; deposits made within 24 hours; and appropriations are used as close to 100% as possible without overspending. Goods and services are purchased and available when needed. Equipment purchased is tracked and inventoried. Accounting is performed with no audit exceptions.

Division	Performance Measure	Type	FY99	FY00
MGMT	Deposits	OP	249	227
MGMT	Made w/in 24 hours	E	99% (247 of 249)	98.2% (4 late)
MGMT	Revenue – revolving fund	OP	101,398.12	$95,332.19
MGMT	Collections – A/R balance 6/30/00	OC		$4,609.65
MGMT	Over 60 days	E	6.9%	3%
MGMT	Over 90 days	E	4.1%	0%
MGMT	Over 120 days	E	3.1%	2%
MGMT	Payment vouchers	OP	599	591
MGMT	Processed w/in 30 days	E	94% (560 of 599)	98% (10 late)
MGMT	Purchase documents	OP	351	381
MGMT	Processed w/in timeframe	E	88.5%	100%
MGMT	Grant funds drawn quarterly	OP	n/a	2
MGMT	Grant Financial Status Reports submitted on time	E	n/a	1
MGMT	Budget adjustments	OP	7	4
MGMT	% of Budget expended			
MGMT	Fund 179	E, Q	97%	99%
MGMT	Fund 371	E,Q	95%	95%

Activity: *Management of Human Resources*

Human resource services are available to meet agency goals and objectives. Vacancies are filled in a timely fashion; PADs meet SPO and agency criteria; payroll and leave reporting are processed accurately and on-time; and employee and management consultations result in no grievances filed or appropriate resolution of disputes.

Division	Performance Measure	Type	FY99	FY00
MGMT	Vacancies filled within 45 days	E	95% (19 of 20)	25% (4 of 16)
MGMT	PADs	OP	47	35
MGMT	Timely	E	83%	77%
MGMT	Individualized training plans established	OP	100%	100%
MGMT	Training plans followed (%)	OC	60%	27%**
MGMT	Consultations	OP	133	194
MGMT	Grievances filed	OP	2	0
MGMT	Grievances resolved	OC	2	0
MGMT	Position classifications reviewed	OP	3	3
MGMT	Positions reclassified	OC	3	2
MGMT	Positions created	OC	2 (1 term; 1 temp)	8 (1 perm, 1 term. 6 temps)
MGMT	Payroll and Leave Reporting:			

Division	Performance Measure	Type	FY99	FY00
MGMT	Timely	E	100%	100%
MGMT	Accurate	Q	99%	95%

** Training plan compliance not completely tracked due to turnover in HR Administrator position.

Activity*: Management of Information Services*

That information systems are available when needed and that support is provided on a timely basis are measures of effective use of information resources.

Division	Performance Measure	Type	FY99	FY00
MGMT	Information systems assistance	OP	169	342
MGMT	Outstanding work orders addressed within 30 days	E	90%	98%
MGMT	Backups made	OP	52	124
MGMT	Frequency/downtime in hours	E	17	75 – (49 Exchange server)
MGMT	Recovery procedures	OC	1 file restored – no data loss	11 files recovered – no data loss
MGMT	Installations of equipment & software	OP	79	7 new; 20 re-installs
MGMT	Timeframe - installed within 30 days	E	100%	100%
MGMT	Network availability (average)	E	99%	94%
MGMT	Information technology plan submitted	OC	9/1/98	9/1/99

Activity: Protection of State property and safe and secure environment for collections and staff

Resolution of work orders submitted by staff concerning problems with the functioning of the building or of security systems ensure building safety and security for public, staff, and collections.

Division	Performance Measure	Type	FY99	FY00
MGMT	Work orders coordinated, including follow up	OP	94	7
MGMT	within established timeframe for resolution [%]	E	75% (70)	100%
MGMT	Security – card issue/change work orders	OP	38 yr-to-date, plus re-verification of all cards	17 work orders (23 changes)
MGMT	within established timeframe for issuance [%]	E	97%(37/38)	98%

ARCHIVAL MANAGEMENT

Program Description: The Commission of Public Records preserves the permanent public records of New Mexico transferred into the custody of the State Records Administrator. These records document the business of State government. The State Records Center and Archives is the State's repository for the permanent records created by State government. The records are held in the State Archives and include records of the Spanish, Mexican, Territorial, and Statehood periods. Major public record groups include documents generated by departments and agencies, boards, commissions, and other official bodies. They also contain judicial and legislative records, as well as the papers of governors and elected officials and State regulations filed by executive branch agencies.   These documented original governmental transactions are permanent records of the State that merit preservation. Collectively these records, known as the archives, allow government to remain accountable, to explain past decisions, and to seek information for future policy.

The **Archives and Historical Services Division (AHSD)** maintains and makes available permanent public records that are the State Archives of New Mexico.   Aside from those records delineated above, the archives also include documents generated by departments, agencies, boards, commissions, and other official bodies that are designated as permanent records. They also contain publications of State agencies that must be filed with the State Records Center. Through a joint powers agreement with the State Library, publications are filed once at the State Library and then accessioned into the State Archives Copies are continuously available in both organizations. Official copies of school district canvass results that document the results of elections must be also filed with the Administrator.   These permanent records are also maintained in the State Archives.

The Director of AHSD Director reviews all scheduled records for legal, historical, and intrinsic value and makes recommendations regarding eligibility for permanent retention. Requests to destroy public records are reviewed to ensure that essential documentation of state government is available to the public and future generations. Records that have been scheduled for destruction but have overreaching historical value are earmarked for retention in the State Archives.

In order to provide public access to archival records, archivists must preserve them. Archivists inspect documents, identify those that need conservation treatment, limit handling to prevent loss or damage and store them in a secure and controlled environment. New initiatives have been undertaken to develop better finding aids to collections that will eliminate unnecessary handling, as will plans for imaging the most frequently used collections. In addition, the AHSD stresses, through consultation and training to agencies, the importance of preservation requirements for permanent records that remain in the custody of other State agencies.

Reference assistance is provided on an individual and group basis in the Archives research room and in response to correspondence (written and electronic) and telephone inquiries. The Archives Research Room contains basic secondary material as well as unpublished manuscripts on New Mexico and the southwest. Southwestern historical journals and indexes are also located in the research facility. The microfilm reading room houses microfilm copies the Spanish, Mexican, and Territorial collections as well as census records and copies of the ecclesiastical records of the Archdiocese of Santa Fe, and other records frequently used in genealogical research. Genealogical reference assistance is a new service provided by this Division.

Demand for access to the public records stored in the State Archives is increasing. Electronic access furthers preservation goals for limited handling of delicate paper records, but presents concerns for conversion and future migration. Electronic access to many of the records in the State Archives is provided in a number of ways. Automated finding aids are created to improve responsiveness to clients by helping the client narrow the focus of materials needed and identifying locations for quick retrieval. Providing images of materials allows users to peruse a vast quantity of material without requiring retrieval of material by archivists. Images can further enhance the researcher's ability to present a complete picture of historical personages and events through illustrations within their writings. However, care must be taken to protect copyrighted and sensitive material.

Statutory Authority/Program Authorization: Chapter 14, Article 3, NMSA 1978, the Public Records Act; Chapter 14, Article 4, NMSA 1978, the State Rules Act; Section 14, 1-8, NMSA 1978, Obsolete County Records; notice of proposed destruction; preservation desired by state records administrator; Sections 1-22-15.NMSA 1978 [Elections] Records (results of canvass filed with State Records Center).

Goals
❖ To protect and preserve the public records of the State of New Mexico
❖ To make the public records of State government available to its citizens and other interested parties.
❖ To promote open government and democracy.

Objectives
▪ Accession permanent public records eligible for transfer to the State Archives.

- Develop a conservation lab and program.
- Develop a preservation plan to prolong the life of permanent records in all media.
- Seek new approaches to initiate deposit of permanent records in the State Archives.
- Acquire the permanent records of State government.
- Automate finding aids to all significant collections.
- Provide Internet access to finding aids for significant collections.
- Image frequently requested documents and photographs and provide Internet access.
- Implement a genealogy program.
- Process the backlog of agency collections.

FY 2000 ARCHIVAL MANAGEMENT ACTION PLAN

- **Identify at-risk materials needing treatment by 6/30/00.**

  Four hundred five documents within the District Court Records were identified and treated. Documents were removed from acidic folders, unfolded, flattened, cleaned, and re-housed in acid-free folders. In addition, 1,169 negatives and prints were reviewed and placed into archival sleeves.

  The Director of the Archives and Historical Services Division (AHSD) conducted a field survey for the State Land Office in December 1999, to assess the environment in which permanent records of that office were stored and used and a report of the findings and recommendations were issued. As a result of the report, State Land Commissioner, Ray Powell, transferred tract books identified as "at risk" during the December survey to the Archives in March of 2000. The track books will be microfilmed to minimize direct handling of the books. Territorial land records bound and repaired with corrosive adhesive tape were identified for individual conservation treatment.

  The Archives Bureau applied for and received a grant from the New Mexico Historical Records Advisory Board to purchase archival sleeves for the New Mexico Department of Tourism (NMDT) Photograph Collection (NMDT). The NMDT Collection contains 6,833 images, which represent a nearly complete record of State government's tourist imagery from 1937 to 1961. The NMDT Photograph Collection contains primarily one type of photographic process - silver gelatin and several types of negative support – nitrate, acetate, and polyester. Re-housing the images in appropriate archival sleeves will ensure their preservation.

- **Initiate independent conservation survey of archival collections. Establish and implement risk assessment procedures for all deteriorating media by 6/30/00.**

  The Division is exploring survey methodologies for assessing the physical conditions of the diverse record formats in SRCA collections. Budget restraints for FY 2000 did not allow for contractual services to hire an independent consultant. The Division Director conducted a precursory survey of archival collections. Media formats identified as a result of the survey were: paper, 80 percent; photographs, 7 percent; glass plate negatives, 1 percent; magnetic audio recordings, .05 percent; vinyl acetate recordings, .05 percent; microfilm, 3 percent; and blueprints 1 percent. Because of their inherent chemical composition, which leads to deterioration, photographs and motion picture film have been identified as priorities for receiving conservation treatment. An independent survey of the motion picture film collection was conducted by Archivist Jose Villegas with the assistance of a volunteer. To date, 480 reels of film have been surveyed.

  Procedures implemented for the photograph-imaging project have allowed staff to identify "at risk" photographs. In the process of preparing the NMDT Photograph Collection for imaging, staff identified problems that could be corrected through proper storage. The NMDT Collection contains 6,833 images. The two main causes of deterioration of this collection are the housing of images in their original acidic Kraft paper envelopes and the housing of all types of images (photographic prints, negatives of various supports, and slides) in the same box. Archival research and standards recognize that different image types (prints, negative, slides, and transparencies) require different archival materials to ensure their preservation. The Archives Bureau applied for and received $2,045 in grant funds from the NMHRAB to purchase appropriate archival sleeves.

- **In partnership with the Records Management Division and State agencies, coordinate the transfer of 30 percent of permanent records stored in the Records Center into the State Archives as prescribed by RRDS.**

  In collaboration with the Records Center Division, 468 cubic feet, or 0.05 percent, of permanent records have been transferred to the Archives vault, along with 125 reels of motion picture film transferred from the State Library.

- **Conduct agency training programs on the benefits of transferring permanent records to the State Archives, incorporating information on preservation requirements of permanent records.**

  The AHSD staff delivered a presentation on the value of the permanent records created by State agencies in a segment of the Records and Information Management Liaison training offered monthly by the Records Management Division.

  Archival staff participated in the NMHRAB continuing education program by developing a workshop on archival collection arrangement and description. The workshop was presented November 4-5, 1999, with 35 participants.

- **Fulfill obligations under a National Endowment for the Humanities grant to encode finding aids to archival collections and make them available on the Internet.**

  Three staff members attended a three-day training session at the University of New Mexico, July 19-21, on Encoded Archival Description. Two hundred forty-six finding aids were identified for encoding. As of March 31, 2000, there were 63 SRCA finding aids online and available through the University of New Mexico's website http://eLibrary@unm.edu/oanm. The SRCA remains on schedule with the work plan submitted to NEH.

- **Image the photograph collections and make them available on the Internet and on CD-ROM.**

  With the assistance of a database consultant, the photograph-imaging database has been refined to allow for easy input and retrieval of imaged documents. Forty images have been scanned and linked to the photo-imaging database according to archival specifications.

  A total of 1,849 images have been prepped for scanning. Scanning was scheduled to begin the fourth quarter of FY 2000. Due to staffing shortages, the project was placed on hold until the second quarter of FY 2001. A Request for Proposals to purchase Archival Management Software was issued in March. The proposal called for a software application to support: integrated collection management; USMARC bibliographic records; Encoded Archival Description (EAD); intranet and Internet access; statistical compilation with reporting capabilities; and management of researcher and donor files. Eloquent Systems Inc. was awarded the contract in June. Installation and testing will be done during the first quarter of FY01. At that time the photograph database will be migrated into the Archival Management Software.

- **Create finding aids for collections.**

  Ten new finding aids were created, and 101 finding aids were updated, describing 2,405.75 linear feet. Finding aids created include: the Supreme Court Law Library Collection, describing 85 linear feet of material, Governor's Papers, 190 linear feet, District Court Records, 1668 linear feet, and County Records 89 linear feet.

- **Revise procedures for processing State agency collections to arrange and describe collections at the series level by 6/30/00.**

  Procedures affecting the arrangement and description of and access to archival collections were being reviewed and amended to reflect the changes brought about as a result of automation.

- **Arrange and describe five to ten percent of State agency collections by 6/30/00.**

Public records identified as priorities for processing include Governors' Papers and the Attorney General and Corrections Department Collections. Staff has processed 376.10 linear feet of public records, 154 feet of Governor King II Papers, 43 linear feet of Attorney General records, 25 linear feet of Legislative Council records, and 125 reels of motion picture film transferred from the State Library.

- **Purchase genealogical reference material.**

  Fifteen books of marriage and baptismal records, published and donated by the New Mexico Genealogical Society and valued at $700, were acquired. Also, author Jose Esquibel donated a copy of The Spanish Recolonization of New Mexico.

- **Publish a guide to genealogical materials within the SRCA.**

  A shelf list of genealogy reference books for public use was compiled. It includes books held jointly by the State Library and the State Archives. Two drafts of the genealogy resource guide were reviewed. A "pathfinder" to genealogical resources at the State Archives was created and is available to researchers. A final draft of the *Guide to Genealogy Reference* was in review.

  The AHSD, in collaboration with Archives docents, presented a genealogy workshop on March 11, 2000. The workshop was developed for State of New Mexico Employees interested in doing family history research. Over 70 State employees attended.

- **Develop docent program.**

  The AHSD moved into its fifth year of utilizing volunteers to assist staff with collection maintenance, arrangement and description, and conservation. Five volunteers have unfailingly donated their services since 1995. Volunteers have rehoused 6,150 folders and 527 cubic feet of records, fabricated over 600 clamshell boxes, and described ten linear feet of muster rolls in the Adjutant General Collection. As discussed above, staff along with volunteers also developed and presented a genealogy workshop on March 11, 2000.

FY 2000 ARCHIVAL MANAGEMENT PROGRAM MEASURES

Activity: *Preservation and Protection of Documents*
Appropriate measures for preserving and protecting documents include: analyzing the current physical condition of documents and determining appropriate preservation actions; reformatting; migration; laboratory treatment; ensuring correct storage of documents through the use of proper containers; and maintaining acceptable environmental controls. The security of documents from damage, destruction, theft, and other means of loss is ensured by implementing procedures for the use of archival material, monitoring research rooms and vaults, and preparing and implementing a disaster preparedness plan.

Division	Performance Measure	Type	FY 99	FY 00
AHSD	Up-to-date Disaster Preparedness Plan	OC		1/31/00
AHSD	Stable vault environment within specifications	Q	77%	96%
AHSD	Documents treated (#)	OP	96	428
AHSD	Documents reformatted	OP	1,054	4,895
AHSD	Documents imaged	OP	0	67
AHSD	Re-housed collections (folders)	OP	1065 linear feet	16,106

Activity: *Appraisal - Selection of Archival Documents*
Records are acquired through the legal transfer of public records from State agencies, local governments, and private donors. Accessioning is the process by which the Agency takes physical custody of and assumes legal and administrative control over records. The physical and legal transfer of records to the custody of the State Archives is documented through accession records, deeds of gift, and purchase contracts.   Retention recommendations concerning public records are developed by reviewing proposed retention schedules and appraising record

characteristics and value. Appraisal of private collections is based on criteria established in the State Archives Collection Policy.

Division	Performance Measure	Type	FY99	FY00
AHSD	Number of records accessioned	OP	472.25	468
AHSD	Number of reels of motion picture film accessioned	OP	0	125
AHSD	Number of retention schedules reviewed	OP	14	19
AHSD	Up-to-date Collection Policy	OC	80% complete	12/31/99
AHSD	Update accession records by 6/30	OC	6/30/99	5/4/00
AHSD	% of accession records up-to-date	OP	100%	98%

Activity: *Arrangement and Description of Archival Collections*
Collections are processed by arrangement and description in accordance with accepted archival principles to reveal their content and significance and to provide the researcher with a rational order in which documents can be found with a modest amount of search and analysis. The process involves arranging documents by grouping at various levels, re-housing in archival containers, labeling, and shelving. The description of the collection results in the creation of finding aids such as guides, inventories, indexes, and on-line bibliographic databases and the dissemination of descriptive information through electronic communications such as the Internet.

Division	Performance Measure	Type	FY99	FY00
AHSD	Linear feet processed	OP	207.75	382.1
AHSD	Number of collections processed	OP	9	25
AHSD	% of permanent collections unprocessed	Q	22%	19%
AHSD	Collections cataloged and available online	OP	705	705
AHSD	Finding aids revised	OP	55	101
AHSD	Number of linear feet described in revised finding aid	OP	1,931.75	1,994.75
AHSD	New finding aids created	OP	20	10
AHSD	Number of linear feet described by new finding aids	OP	442.5	411
AHSD	Guides published	OP	1	0
AHSD	Number of photographs imaged		n/a	67
AHSD	Number of finding aids encoded and available on-line	OP	n/a	63

Activity: *Increase Archival Management Knowledge*
The number of state repositories identified and certified as affiliates, the training provided to archival repositories staff, and the completion of the archival management manual are indicators of increased archival management knowledge.

Division	Performance Measure	Type	FY99	FY00
AHSD	Training to State agencies delivered	OP	n/a	6
AHSD	Number of employees trained	OC	n/a	115

Activity: *Reference Services and Access to Documents*
Responding to reference inquiries from State agencies, local governments, and the public; providing information from and physical access to documents; providing copies of records as well as restricting or denying access when warranted; referring to appropriate resources when information is not available; creating, maintaining, and reviewing for planning purposes statistics on users; research use of documents; and collections used are all performance indicators.

Division	Performance Measure	Type	FY99	FY00
AHSD	Number of researchers assisted	OP	5,985	5,813

Division	Performance Measure	Type	FY99	FY00
	% of staff resources used	E	40%	30%
AHSD	# telephone, correspondence inquiries	OP	5,762	5,985
AHSD	% of staff resources used	E	20%	10%
AHSD	Number of search fees applied	OP	0	0
AHSD	% of staff resources used	E	0	0
AHSD	Number of e-mail inquiries	OP	26	739
	% of staff resources used	OP	.5%	10%
AHSD	Duplicated documents (photocopies, copies of maps, microfilm printouts, etc.)	OP	32,642	33,366
AHSD	% of staff resources used	OP	2%	8%
AHSD	Requests citing Inspection of Public Records	E	51	2
AHSD	Access to records denied	OP	12	5

Activity: *Outreach, Advocacy and Promotion of Collections and State Archives*

Staff participates in programs that draw directly on documents to support such activities as exhibitions, conferences, training, broadcast media, and publications. They promote the use of documents by identifying potential users and describing the benefits of use through public and educational programs. Staff also conducts archival management training, develops white papers on archival issues, and provides consultations to government agencies on archival management issues.

Division	Performance Measure	Type	FY99	FY00
AHSD	Number of lectures presented	OP	2	3
AHSD	Publications – archives articles	OP	12	5
AHSD	Number of exhibits	OP	10	4
AHSD	Number of consultations to gov't agencies	OP	10	45
AHSD	Number of tours	OP	115	26

Activity: *Professional Ethics and Practice*

Staff keeps abreast of current issues in the fields of archival history, theory, and practice through activities such as reading professional literature, attending professional conferences, workshops and lectures, and participating in continuing education programs. Staff also contributes to the development of the archival profession by conducting research, making oral presentations, writing for publication, and participating in professional organizations. Staff complies with professional ethical standards by respecting all statutory and regulatory requirements relating to documents, such as copyright, freedom of information, privacy, and inspection of public records act.

Division	Performance Measure	Type	FY99	FY00
AHSD	Number of lectures attended	OP	12	19
AHSD	Publications	OP	12	3
AHSD	Number of classes attended	OP	7	17
AHSD	Number of research papers presented	OP	5	8
AHSD	Number of professional memberships	OP	8	6
AHSD	Number of professional journal subscriptions	OP	4	5
AHSD	Number of professional conferences attended	OP	8	12
AHSD	Number of training workshops presented	OP	1	3
AHSD	Number of outreach activities	OP	7	10
AHSD	Number of training workshops on archival management attended	OP	9	13

NEW MEXICO HISTORY

Program Description: The Commission of Public Records preserves and makes available historical information in two ways. Historical records of State government are preserved and accessed through the AHSD. The New Mexico Historical Records Advisory Board (NMHRAB), an affiliate of the Commission, seeks to preserve and make available historical information throughout the state. The NMHRAB is chaired by the State Records Administrator and supported by staff of the Commission.

The AHSD maintains the permanent records of State government and donated private papers that enhance the documentation of New Mexico history. These records document the patrimony of the state and are used by historians and others who wish to accurately depict New Mexico life and history of years gone by. Archivists and the State Historian conduct research and public programs designed to promote and enhance the public's knowledge and appreciation of New Mexico's history and cultural resources and the value of archival collections.

Funding is provided to the NMHRAB, through the Commission of Public Records and a grant from the National Historical Publications and Records Commission (NHPRC). Funds are provided for a wide range of activities involving the preservation, publication, and use of documentary sources relating to the history of the United States. The NHPRC recommends to the Archivist of the United States the expenditure of funds to support state and local governmental agencies, nonprofit organizations and institutions, and individuals undertaking those activities. In order to participate in the program, the governor of each state must appoint a state historical record coordinator (the head of the state archival agency) and a state historical records advisory board of at least seven members, including the coordinator who chairs the board. The New Mexico Historical Records Advisory Board was established to serve as the local advisory body for all grant proposals submitted to the National Historical Publications and Records Commission (NHPRC) from within New Mexico. It consists of seven members appointed by the Governor, including the State Records Administrator, who serves as statutory State Historical Records Coordinator, and chair of the Board. In 1998 the legislature provided the first funding for a re-grant program to improve preservation and access to the state's historical records.

Statutory Authority/Program Authorization: Public Law 100-365 (44 U.S.C. Chapter 25); 36 CFR Part 1206; Section18-6-4 NMSA 1978; Chapter 14, Article 2 NMSA 1978, Inspection of Public Records Act; and Chapter 14, Article 3 NMSA 1978, the Public Records Act

Goals
❖ Citizens of New Mexico have access to their history.
❖ Historical information and records are preserved and accessible.

Objectives
◊ Implement the NMHRAB strategic plan, *Capturing 400 Years of Recorded History*.
◊ Promote the preservation and collection of New Mexico's oral history.
▪ Conduct NM history lecture series.
▪ Provide NM historical information to State agencies and the public.
▪ Provide consultation and historical advice as a member of the Cultural Properties Review Board.
▪ Promote the use of archival material in the teaching of history.
▪ Using archival material, write and present papers at professional associations.
▪ Develop outreach programs that promote the use of archival collections.

FY 2000 NEW MEXICO HISTORY ACTION PLAN

◊ **Fulfill obligations funded under NHPRC grant.**

1. *Timely submission of complete reports and three copies of grant products as specified in NHPRC guidelines and the grant notification letter.*

The State Records Administrator filed the first six-month report, as of June 30, 1999, during the first week of July. The second six-month report, for the period July 1 to December 31, 1999, was also filed.

2. *The New Mexico Board to meet at least twice each year, develop an annual work plan, and create and distribute an annual report*.

   The Board met for the first time in FY 2000 on September 13, 1999, in Santa Fe. Its second meeting, originally scheduled for December 6, 1999, was postponed until January 24, 2000. At the meeting of January 24, the annual report was approved and the new work plan was adopted. The Board met again on March 13 and May 22 to award grants to local governments and repositories.

3. *The Board to update its brochure, create a pamphlet with re-grant program guidelines as well as other publicity for board-sponsored workshops. These were to be printed and distributed, and posted electronically*.

   At its September meeting, the Board adopted a revised grant application form and guidelines, approved a list of qualified consultants available to prospective grant applicants, and accepted improved evaluation measures. Also during the first quarter, the schedule of training sessions was updated and reprinted, and it, along with the guidelines and application form, was posted to the NMHRAB web page. The brochure was reprinted and distributed for the subsequent call for proposals between November and February and again between March and May. Several flyers were created and distributed to promote individual training workshops throughout the year.

4. *Seven workshops were to be developed and hosted under Board sponsorship, addressing areas identified in the proposal and Board strategic plan*.

   Seven workshops were identified by January 1999 – two of those were delivered in FY 1999. During FY 2000, three more were developed, and a total of five different workshops and seven sessions were delivered under Board sponsorship. These included: A*ppraisal of Archival Collections*, *Basic Records Management*, and *Preserving Historical Records*. Four presentations of an archival holdings maintenance workshop were given in October under the auspices of the New Mexico Preservation Alliance with a grant from the New Mexico Historical Records Grant Program funded in part through the NHPRC grant to the NMHRAB.

5. *Fund at least ten re-grant projects through the Board's Historical Records Grant Program*.

   Eleven projects were funded in March, 2000, in the second cycle of the grant program and an additional five grants were awarded in May.

6. *Develop a plan and secure on-going support for the re-grant program or other board-sponsored activities*.

   The NHRAB, through the Commission of Public Records, developed an appropriation request that included support for the re-grant program at $25,000 and general funding for and authorization of a staff position for the NMHRAB - a Manager 2, at half time for seven months. Funding was ultimately provided in the General Appropriation Act of 2000. The authorization of the position permits the Board to utilize the $25,000 in contingency grant funds that had been held pending such authorization.

◊ **Provide historical facts to be used in compilation of the *Blue Book* by the Secretary of State.**

State Historian, Robert Torrez, provided consultation and text for the Blue Book. He met all deadlines established by the Office of the Secretary of State. The 1999-2000 Blue Book was published in December but had not yet been released the close of the fiscal year.

◊ **Professional archival and historical staff will use the resources of the Archives to develop lectures, papers, and exhibits so that each completes at least one project in FY 2000.**

Archives and Historical Services Division staff presented 24 lectures to public and private organizations including: Rancho de las Golondrinas, the Albuquerque Museum, the Santa Fe Community College, the Sons of the American Revolution, the Museum of Albuquerque docents, the National Park Service, Los Alamos National Laboratories, the New Mexico Department of Health, the Museo Cultural of Santa Fe, the Old Spanish Trail Association, the City of Farmington Public Library, and the International Border Association of Librarians. The Division hosted a session at the Historical Society of New Mexico's Annual Conference held in Valencia, New Mexico. The State Historian and four archivists presented papers relating to research of SRCA collections.

Two new exhibits were developed and put on display featuring the Belser Collection and County District Court Records.

Division staff developed and presented a workshop on *Land Records of New Mexico*. The workshop was developed in collaboration with the State Land Office, the Bureau of Land Management, and the University of New Mexico. Each participant addressed land records maintained by the participant entity and how researchers could use the records. Thirty employees attended the workshop.

◊ **Implement the State re-grant program [New Mexico Historical Records Grant Program] to provide funds to NM repositories to preserve and/or provide access to its historical records.**

The New Mexico Historical Records Grant Program was implemented in FY 1999 with the first funding cycle that resulted in funding for 16 projects. Although the projects were awarded in FY 1999, most of the work was completed in FY 2000 - project periods generally began in April of 1999 and ran through March of 2000. Of the sixteen proposals funded in FY 1999, all were completed by the end of the fiscal year, with 85 percent of the stated objective met.

The second funding cycle began with a call for proposals on November 1, 1999. By December 29, more than 150 application packets had been distributed, and as of March 31, 2000, 16 proposals had been received and ranked. Of those, 11 were funded, and three were invited to revise and resubmit their proposals. Funding remained available and so another call for proposals was issued resulting in another eight proposals, of which five were funded, bringing the total grants issued in FY 2000 to 16.

Presentations on the grant program were given in different venues – three at scheduled training sessions and one by invitation of the New Mexico Association of County Clerks. Two articles relating to the grant program appeared in the July, 1999, issue of the SRCA newsletter, *Quipu*. Flyers and press releases concerning the availability of grants and training were sent to target audiences throughout the year.

◊ **Increase patronage (visits, phone, mail, e-mail) of the archives by ten percent.**

During FY 2000, patronage increased by an average of 123 percent. Comparisons of statistics for specific activities for FY 1999 and FY 2000 are on page 39.

◊ **Collaborate with the Friends of the Archives to promote NM history.**

A book signing was held December 11, 1999, for The Spanish Re-colonization of New Mexico: An Account of the Families Recruited at Mexico City in 1693, by Jose Antonio Esquibel and John Colligan. The event was featured in an article, which appeared in the December 11th issue of the New Mexican. Over 75 people attended the event. Fifty books were sold.

A draft of Articles of Incorporation and By-laws for the Friends Group was developed for review.

FY 2000 NEW MEXICO HISTORY PROGRAM MEASURES

Activity: **_Build RIAM knowledge, skills and abilities._**

Among activities which demonstrate the NM Historical Records Advisory Board's commitment to train historical repositories are: conducting records management and record preservation training; publishing technical leaflets on records information and archival management (RIAM) issues; and teaching classes on NM history to educate State employees and the public about NM history and to promote use of historical/archival records.

Division	Performance Measure	Type	FY99	FY00
NMHRAB	Presentations	OP	3	6
NMHRAB	People attending	OC	100	195
NMHRAB	Consultation to historical record repositories	OP		22
NMHRAB	State repositories	OP		2
NMHRAB	Local government repositories	OP		8
NMHRAB	Historical records preservation and access workshops:			
NMHRAB	Number scheduled/delivered	OP	2	6
NMHRAB	Number of participants	OP	33	250
NMHRAB	Requested training	OP	1	0
NMHRAB	Number of participants	OP	60	0
NMHRAB	Re-grant workshops	OP	2	9
NMHRAB	Number of participants	OP	50	113

Activity: **_Advocate preservation of and access to historical records_**

Measures include: classes taught by the State Historian to community organizations or public schools throughout New Mexico; articles published using the resources of the Archives; lectures on specific research topics based largely on the materials of the Archives; exhibits of New Mexico's documentary heritage displayed to commemorate important times in New Mexico history; showing of film from the historical film collection with discussion of the times surrounding the making of the film; publication of papers that advance knowledge of New Mexico history; implementation of the New Mexico Historical Records Advisory Board's strategic plan issued 7/31/98; and the number and type of grants awarded to historical records repositories.

Division	Performance Measure	Type	FY99	FY00
NMHRAB	Implement Strategic Plan (% complete)	OC	20%	40%
NMHRAB	Plan/Update issued	OC		-
NMHRAB	Workplan (% Complete)	OC	1999work plan adopted 1/99- 25%	1999 – 75%, 2000 work plan adopted
NMHRAB	NHPRC grant	OC	40%	80%
NMHRAB	Promotional spots for NHPRC	OP	2	4
NMHRAB	Grants received and reviewed	OP	32	16
NMHRAB	Grants awarded	OP	16	11
NMHRAB	Grants completed	Q	n/a	16 (1999 grants)
NMHRAB	Grant objectives met	Q	n/a	85%
AHSD	NM History classes taught	OP	2	6
AHSD	# of participants	OC	80	275
AHSD	NM Government class taught	OP	n/a	0
AHSD	# of participants	OC	n/a	0
AHSD	Archival workshops presented	OP, Q	1	3
AHSD	Articles published	OP, Q	12	33
AHSD	Lectures	OP, Q	21	30
AHSD	Exhibits	OP, Q	10	4
AHSD	Film viewing with discussion	OP, Q	n/a	2
AHSD	Papers	OP, Q	5	8

Activity: _Actively Promote New Mexico History._

Publication of "The Blue Book," the written text of historical markers, and property reviews conducted by the Cultural Properties Review Committee demonstrate the agency's concern and active participation in promoting and preserving New Mexico history.

Division	Performance Measure	Type	FY99	FY00
AHSD	Publication of Blue Book	E	n/a	12/31/99
AHSD	Historical markers	OP, Q	8	2
AHSD	Property reviews	OP, Q	20	40
AHSD	Consultations to gov't agencies	OP	130	199

Activity - _Tracking Historical Events_

Newspaper clippings identify historical events as they occur. The annual report of historically significant events highlights those events that captured the attention of the public during the year.

Division	Performance Measure	Type	FY99	FY00
AHSD	Articles clipped	OP	705	717
AHSD	Report of historically significant events	OC	n/a	1/31/2000

RECORDS AND INFORMATION MANAGEMENT

Program Description: The Commission of Public Records establishes efficient and economical records management programs for state government to ensure that the records documenting government transactions are preserved.   A records management program includes the creation, utilization, maintenance, retention, preservation, and disposition of public records regardless of media.   It also includes: storing inactive or infrequently used records; establishing standards, procedures, and techniques for effective management of public records; conducting surveys of paperwork operations; recommending improvements in current records management practices; and establishing records disposition schedules for the orderly retirement of records. Record retention and disposition schedules (RRDS) developed by the Records Management Division (RMD) and adopted by the Commission of Public Records identify the records created by each State agency and the required retention for those records.

The RMD surveys and schedules the records created by state agencies. The outcome of this process is the record retention and disposition schedules (RRDS) that are presented to and adopted by the Commission of Public Records. RRDS are divided into two main categories. Records created by several or all state agencies that support a common function are included in general schedules. Records unique to one agency or department are included in an individual schedule for the particular agency or department, as well as for counties and municipalities. In effect the Record Retention and Disposition Schedule for each agency documents the records maintained by that agency.

In addition, the RMD handles the transfer, receipt, and storage of inactive and infrequently used agency records through its Records Centers. The use of the State's records centers in Santa Fe and Albuquerque by State agencies eliminates the need to keep inactive or infrequently used records on-site while affording the agencies protection of, and accessibility to, their records. Proper disposition of obsolete records and records meeting their authorized retention periods is essential to protecting the agencies and their records. Use of these records centers allow agencies to destroy properly and efficiently their public records. Proper disposition of obsolete records, and records meeting their authorized retention periods, and "non-record" material that may contain sensitive information is essential to protecting the agencies and guarding individual privacy.

Accountability in government requires documentation of its decisions and activities. Prolonged retention of unnecessary documentation is costly and serves no purpose. The State Records Center and Archives promulgates rules governing the disposition of public records, and 1 NMAC 3.2.50.1, is the regulation

governing the destruction of public records. The general and individual agency RRDS identify the required retention periods (and therefore the earliest disposition date) for the records of State government. Records destroyed through the State Records Center are recycled, and confidential records are pulped through a bonded recycler. The State Records Center and Archives advises the State Purchasing Division of the General Services Department in the use of a Statewide recycler for the destruction of "non-records." In addition, the agency advises the Environment Department's Recycling Coordinator about issues regarding recycling public records.

Microphotography is a preservation tool for permanent records authorized for use in this state. Proposed and existing microphotography systems of State agencies and the district courts must be approved by the State Records Administrator as required by Sections 14-3-15 and 14-3-17 NMSA 1978. The Division monitors microphotography production by State agencies, district courts and institutions of higher learning for adherence to State of New Mexico Microphotography Standards, 1 NMAC 3.2.60.1. Adherence to these standards ensures that existing systems produce legible and legal products and assures preservation of the information filmed.

Many agencies use imaging (a microphotography system) to provide quick access to their records. By scanning and indexing their records they hope to increase user access to them. Because of the volatility of the industry, the storage media produced by imaging systems are not a good long-term preservation media. Moreover, migration costs when the technology changes can overwhelm agency budgets if not properly thought out. Many counties use microphotography systems or services to preserve and access their records. By adhering to New Mexico Microphotography Standards, counties are, in most cases, able to destroy their source documents. Before destruction of any county record, counties must notify the State Records Administrator, thus allowing for preservation of historical records while allowing counties to minimize space requirements for paper records.

Statutory Authority/Program Authorization: Chapter 14, Article 3 NMSA 1978, the Public Records Act; and Section 14-1-8 NMSA 1978 - Obsolete County Records; notice of proposed destruction; preservation desired by state records administrator.

Goals
❖ To protect and preserve the public records of the State of New Mexico
❖ To make the public records of State government available to its citizens and other interested parties.
❖ To promote open government and democracy.
❖ To promote access by citizens of New Mexico to their history.
❖ To preserve and make accessible historical information and records.

Objectives
• Record Retention and Disposition Schedules for State agencies will not be more than 5 years old.
• State agencies will retain and destroy records only in accordance with approved Record Retention and Disposition Schedules and in accordance with 1 NMAC 3.2.55.
• Agency custodians and liaisons are well equipped to carry out their responsibilities under the Public Records Act.
• Adequate and secure storage of master preservation microfilm and master media of electronic imaging systems is provided.
• Adequate and secure storage of inactive and infrequently used records of State government is provided.
• Records created by State government are identified.

FY 2000 RECORDS AND INFORMATION MANANGEMENT ACTION PLAN

• **Update all retention schedules ten years or older by 6/30/00.**

Thirty-two agencies were identified as having Records Retention and Disposition Schedules (RRDS) ten years or older.   Fifteen of these agencies were reviewed, culminating in new RRDS

or modifications being filed for the Public Regulation Commission, the Office of Cultural Affairs, the State Land Office, the Public Employees' Retirement Board, the Department of Education, the Board of Examiners for Architects, and certain divisions of the General Services Department. Work also began or was continued on new schedules or modifications to existing schedules for the State Engineer's Office, the Commission on Higher Education, the Commission on Indian Affairs, the Environment Department, the Human Services Department, the Public Safety Department, and several of the remaining divisions of the General Services Department.

- **Develop a timetable for updating schedules between five and ten years old by 6/30/05.**

  Due to turnover, the schedule has not been developed.

- **Orient State employees about the proper care and disposition of public records.**

  A mechanism for orienting all State employees about the proper care and disposition of public records had not been developed by year-end. Only those State employees attending the Records and Information Management (RIM) sessions sponsored by the Agency Analysis Bureau have been informed about their responsibilities under the Public Records Act. Discussion has taken place within the Records Management Division about developing a brochure aimed at all State employees and explaining the proper care (storage) and disposition (destruction or transfer to Archives) of the public records that they create and maintain.

- **Train records custodians, liaisons, and microphotography program managers on their responsibilities under the Public Records Act.**

  The RIM training sessions were offered monthly throughout FY 2000. Discussed in sessions were: the agencies' responsibilities under the Public Records Act; confidentiality of public records; the storage and destruction of public records; and public records on media other than paper (i.e., microform, electronic). Instruction was provided on the development of RRDS, the destruction of public records and non-records, the use of microphotography as an alternate media for the storage and preservation of public records, the development of a vital records disaster recovery plan, and the use of electronic commerce and electronic signature within government. A total of 145 liaisons attended the sessions.

  The RIM training is provided to other governmental entities as time allows. During the third quarter, a RIM session was presented at the annual budget conference of the DFA Local Government Division in Taos. Thirty local government officials and staff attended. During the fourth quarter a RIM session was presented to the New Mexico Association of Registrars at its annual conference in Alamogordo. Thirty registrar and admissions personnel attended.

- **Transfer 30 percent of permanent records stored in the Records Center to the Archives by 6/30/00.**

  A formal procedure for transferring permanent records housed in the Records Center to Archives had not been developed by yearend. However, 774 permanent administrative support records were identified as stored by SRCA. These include primary mission records, reports, minutes of meetings, property files, legal opinions, and building plans.

- **Research and issue guidance on retaining electronic records in State government by 6/30/00.**

  In FY 1999 an administrative rule on the management of electronic records was drafted. The objective of the rule is to ensure proper RIM practices 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). Review of this draft had been stalled by the suit filed in federal district court against the Archivist of the United States, which questioned records management practices that were similar to what was laid out in the SRCA draft. The suit was later resolved by the US Court of Appeals in favor of the Archivist of the United States.

During the second quarter of the fiscal year, a draft of this rule was forwarded to staff of the Information Technology Management Office (ITMO) for review and comment. The draft was also sent to the information systems staff of other State agencies. During the third quarter the Records Management Division received only minimal comment and response to the draft. As of the end of the fiscal year, the rule had not yet been distributed for public review and comment.

- **Implement remote storage request system for State agencies wishing to store records in the State Records Center and Archives warehouses by 6/30/00.**

The State Records Center and Archives purchased NetGAIN, a higher version of the current automated records inventory system. NetGAIN had been scheduled for installation in the second quarter. Difficulties in obtaining the appropriate version of additional software needed to successfully operate NetGAIN have delayed its installation. It was believed that this later version of GAIN would allow for Internet (offsite) access of the system. However, NetGAIN allowed only Intranet access of the system and could never be successfully installed.

- **Relocate all master microfilm into the Micrographics vault and enter the information into the agency GAIN system.**

All master microfilm was relocated into the Micrographics vault. All storage tickets and boxes were accounted for. The data entry of individual rolls of film was about 73 percent complete.

- **Develop a system for accepting master CDs for storage in Micrographics vault.**

A system for accepting master CDs for storage was being researched at the close of the year. Procedures had not yet been developed. Storage containers for CDs were ordered and received.

- **Develop a mechanism for agencies to self-identify schedule items; establish agency-initiated modification to RRDS to allow the inclusion of new record groups to schedules not more than five years old by 6/30/00.**

No mechanism for agencies to self-identify schedule modifications had yet developed by the end of FY 2000. Nonetheless, one agency (New Mexico Board of Nursing) had self-identified record groups that either need to be modified or added to their existing schedule. This exercise with the New Mexico Board of Nursing demonstrated that agencies could identify and modify their existing schedules.

- **Evaluate the RRDS development and review process and make recommendations for improvement by 6/30/00.**

No evaluation, review, or recommendations were made to date.

FY 2000 RECORDS AND INFORMATION MANAGEMENT PROGRAM MEASURES

Activity: _RIM knowledge increased/enhanced_
Among activities which demonstrate the agency's commitment to train governmental employees in their responsibilities under the Public Records Act are: conducting records and information management (RIM) training; developing white papers; providing on-site consultation by analysts on RIM issues; answering questions about RIM concerns or procedures; and developing a RIM manual.

Division	Performance Measure	Type	FY99	FY00
RMD	Record Liaison training – State agencies	OP	15	10
RMD	People trained	OC	460	145
RMD	Micrographics seminars	OP	1	0
RMD	# participants	OP	4	0
RMD	Local gov't training sessions		1	3
RMD	People trained	OC	50	66
RMD	Consultation – State agencies	Q	4	11

Division		Type		
RMD	Consultation – local governments	Q	1	1
RMD	RIM information requests/responses	OP	1,848	979
RMD	RIM information requests/responses – local gov't	OP	319	191
RMD	# lectures attended	OP	n/a	13
RMD	Publications	OP	1	0
RMD	# classes attended	OP	n/a	8
RMD	# professional memberships	OP	3	5
RMD	# professional journal subscriptions	OP	3	3
RMD	# professional conferences attended	OP	1	3

Activity: *Public Records are identified and retention scheduled.*

Surveys of records and information systems in use by State agencies describe and account for all records created or maintained; record retention and disposition schedules (RRDS) adopted by the Commission of Public Records identify those records unique to each agency and those records that must be transferred in to the State Archives; program studies provide recommendations to State agencies for improving their records management practices (done in conjunction with schedule development).

Division		Type	FY99	FY00
RMD		E	8,30	9,346
RMD		E	29	8
RMD		OP	11	11
RMD		OP	1,145	1,193
RMD		OP	126	1,095
RMD		OP	10	156
RMD		OP	17	7

Activity: *Public records are retained for as long as they are needed*

Assurance that public records are preserved for as long as needed and then properly disposed of (either by transfer to Archives or witnessed destruction) can be achieved through documenting the physical and legal transfer of public records from State agencies, county governments, and private donors through transfers from the Records Center; notices of intent to destroy records; requests to destroy records; and tickets reviewed.

Division	Performance Measure	Type	FY99	FY00
RMD	Notices and requests for destruction reviewed	OP	403	441
RMD	within 72 hours	E	100%	100%
RMD	Storage tickets reviewed	OP	9,589	6,682
RMD	within 5 work days	E	100%	100%
RMD	Paper records destroyed (cu. ft.)	OP	18,185	12,971
RMD	Records purged from warehouse	OP	5,841	6,607
RMD	On schedule	E		0%
RMD	Records delivered for destruction	OP	8,951	10,274
RMD	Records destroyed by custodian	OP	3,393	4,690
RMD	Microfilm destroyed (rolls)	OP	2,940	13,596

Activity: *Efficient storage f transient public records*

The efficiency of the records storage system is gauged by the volume of tickets reviewed and accepted for storage; the volume of agency records stored; the number of records lost or damaged; the ease with which records are accepted and located on the Records Center shelves; the transfer of permanent records to Archives; and the disposition of records eligible for destruction. All of these indicate the proper and efficient handling of inactive and infrequently used records. These measures also indicate that the SRCA provides a secure environment for records stored and a legal method of disposal for those records eligible for destruction as well as maintains record integrity.

Division	Performance Measure	Type	FY99	FY00
RMD	Records stored (cubic feet)	OP	67,541	69,930
RMD	Storage tickets processed	OP	12,844	9,021
RMD	within 48 hours	E	100%	100%
RMD	Accepted for storage	OP	11,014	8,938
RMD	Boxes located onto shelves within 5 days of receipt	E	100%	100%
RMD	Lost files	Q	None	None
RMD	Permanent records stored (cu.ft.)	OP	4,411	9,631
RMD	Boxes transferred to Archives	OP	415	80
RMD	Records re-filed	OP	6,911	4,071
RMD	Master microfilm – transitory	OP	89,437	83,185
RMD	Microfilm accepted for storage	OP	9,352	6,055
RMD	% of microfilm inventory entered into GAIN	E	24%	73%
RMD	Records withdrawn (pulled-filed)	OP	9,181	7,826

Activity: *Public records are appropriately migrated to alternative media*

Migration of records to alternative preservation/information media; storing the masters of all microfilm produced by or for State agencies, microfilming records of archival holdings to preserve information; reviewing and approving proposed and existing microphotography systems for State agencies and the district courts; and periodically inspecting existing systems and microfilm produced by State agencies all contribute to assuring that microfilm adheres to NM microphotography standards and that public records are preserved.

Division	Performance Measure	Type	FY99	FY00
RMD	Master microfilm – permanent	OP	47,468	42,701
RMD	Inspect microfilm	OP	6,270	4,065
RMD	Inspect master media from electronic imaging systems	OP		None
RMD	**Microform Systems**			
RMD	New systems or modifications reviewed within 15 days of receipts of request for approval	E	100%	100%
RMD	# of systems reviewed	OP	7	2
RMD	Identify microform systems not approved	E	3/20/99	3/29/00
RMD	# of systems unapproved	OP	none	25
RMD	Review unapproved systems	OC	0	2
RMD	Recommendations for approval of unapproved systems	E	0	0
RMD	# of systems approved	OP	0	1
RMD	**Electronic Imaging Systems**			
RMD	New systems or modifications to existing systems reviewed within 15 days of receipt of request	E		100%
RMD	# of systems reviewed	OP	7	2
RMD	Identify imaging systems not approved by 3/31/2000	E	100%	100%
RMD	# of systems unapproved	OP	14	7
RMD	# of systems reviewed	OP	4	3
RMD	Recommendations for approval of unapproved systems	E		100%

Division	Performance Measure	Type	FY99	FY00
RMD	# of systems approved	OP	0	2
RMD	Archival records filmed (rolls)	OP	12	0
RMD	# of rolls produced per week	E	2 rolls/week	0

RULES MANAGEMENT

Program Description: Public notice of regulatory activity and access to regulatory material is the purpose of the State Rules Division (SRD). The SRD administers the State Rules Act and certain provisions of State law that require regulatory material be filed with the State Records Center or with the State Records Administrator.

The SRD develops style and format standards for rules, manuals of procedure, and official reports of State agencies in the executive branch of State government. In addition to the development of standards, official regulatory instruments are maintained and a list of all rules currently in effect is published annually.

Rules are issued by State agencies to support and clarify laws passed by the legislature and signed by the Governor. All rules adopted by State agencies must be published in the New Mexico Register in order to be valid and enforceable. These rules are compiled into the New Mexico Administrative Code (NMAC). The Division oversees the publication of the New Mexico Register - the official publication of notices of proposed rulemaking and promulgated rules published twice a month and the New Mexico Administrative Code through an external publisher. The Division also provides photocopies and certifications of rules upon request and is microfilming historical rules to make this information more readily available.

All counties must file their subdivision regulations with the State Records Center. In addition, to be effective, each agency and political subdivisions entering into or administering interstate compacts must file such compacts with SRCA. This division of the SRCA also accepts executive orders, proclamations and notices.

Statutory Authority/Program Authorization: Chapter 14, Article 3 NMSA 1978, the Public Records Act; Chapter 14, Article 4 NMSA 1979, the State Rules Act; Section 47-6-10 NMSA 1978. County subdivision ...(required to be filed with the State Records Center).

Goals
- ❖ To protect and preserve the public records of the State of New Mexico.
- ❖ To effectively and efficiently file and maintain the rules and specified instruments of State government.
- ❖ To ensure that the business of government is recorded and available to the citizens of New Mexico.
- ❖ To promote efficiency in government.
- ❖ To make the public records of State government available to its citizens and other interested parties.
- ❖ To promote open government and democracy.

Objectives
- ♦ Preserve all rules filed in accordance with the State Rules Act.
- ♦ Implement and maintain an efficient rule-making process.
- ♦ Provide a complete collection of regulations filed by State agencies in fully text-searchable media.
- ♦ Provide a complete collection of instruments required to be filed with the State Records Center.
- ♦ Assure documentation of agency procedures not exempted by the State Public Records Act.
- ♦ Publish government's business in the New Mexico Register.
- ♦ Increase New Mexico Register subscriptions by 25%.
- ♦ Complete the New Mexico Administrative Code by 6/30/00.

FY 2000 RULES MANAGEMENT ACTION PLAN

- **Microfilm the historical rule collection and destroy paper copies.**

  A decision was made to discontinue the microfilming, and the Historic Rules Collection was transferred to the Archives and Historical Services Division on August 6, 1999. The microfilm was transferred to the Records Management Division on July 28, 1999.

- **Implement a pilot electronic rule-filing program by 6/30/00.**

  A demonstration copy of Pretty Good Privacy (PCP) was downloaded from the Internet web page of Network Associates, Inc.

  A base budget request for electronic rule filing totaling $24,700 was prepared for submission to the legislature in January, 2000. The greater portion of the request-$15,000 - would have funded purchase of software entitled *Pretty Good Privacy Virtual Private Network* (PGP VPN). Presently, 256 agencies file rules, but 300 licenses were factored into the request. Most of the remainder of the request would have paid for software and hardware.

  Funding was not included in either appropriation bill that passed the legislature during the regular session or in the bill passed in the special session and signed by the governor. The agency discussed the possibility of initiating a pilot program to demonstrate the feasibility of electronic filing, but even a small pilot program would require additional funding. The NMAC restructuring project and the lack of funding precluded any effort to initiate a pilot project.

- **Complete initial compilation and proofing of the <u>New Mexico Administrative Code</u> by 6/30/00.**

  On September 30, 1999, the proofreading of NMAC was 66.6 percent completed, with 1,359 parts and subparts (of the existing 2,040) proofread. Conversion of pre-NMAC rules to NMAC style and format was 73.2 percent completed, with 2,255 rules of a total 3,078 converted.

  By December 31, 1999, 800 pre-NMAC rules were not compiled in NMAC, and the proofreading of NMAC was 68 percent completed. As of March 31, 2000, the number of uncompiled, pre-NMAC rules had been reduced to 732.

  The reformatting of pre-NMAC was accelerated with the hiring of three temporary employees. By the end of June, pre-NMAC rules in restructuring groups #1, #2, and #3 (Titles 3, 9, 12, 14, 20, 8, 2, 4, 7, 11, 1, 5, 6, 13, and 22) had been reformatted, and proofing of those in groups #1 and #2 (the first ten titles listed above) was essentially complete. Proofing of the NMAC itself was deferred, since the restructured Code will be proofed.

- **Establish Interstate Compacts and Subdivision Regulation collections within the State Archives by 6/30/00.**

  All current compacts and subdivision regulations will be segregated from their respective collections and the collections delivered to Archives as soon as possible.

  During the third quarter, compacts and subdivision regulations were segregated into those "current" versus those "historical." The respective databases were updated to sort by the same status. Because of the restructuring of the NMAC, work on these two collections was suspended. The project remained near completion as inventories were generated and only the final review is necessary before the AHSD can begin their review and accession process.

- **Receive and record filing and inter-file interstate compacts and subdivision regulations. Develop work plan to image collection of interstate compacts and subdivision regulations.**

  Management decided not to image these collections. However, database reports were posted on the agency web page and updated in early February. These reports list all compacts and subdivision regulations filed with the State Rules Division.

♦ **Conduct 100% proofing of the <u>New Mexico Register</u> to assure conformity to filed material.**

During the fiscal year, all editions of the Register were inspected; no problems were discovered.

In the second quarter, analysts required 355 hours to review 245 filings. These figures produce an average review time of 1.45 hours per filing. In the third quarter, analysts required 563 hours to review 176 filings for an average review time of 2.19 hours. During the final quarter of the fiscal year, analysts reviewed 218 rules.

Analysts were instructed to reduce the number of reviews conducted on a given rule. With such limited staff resources, it is infeasible, especially with the on-going restructuring project, to review repeatedly a given rule. One formal review per rule will be done. Agencies were advised to ensure that staff involved in their rule-making processes attend NMAC training – now offered every month.

♦ **Conduct 100% proofing of the <u>New Mexico Administrative Code</u> to assure conformity to filed material.**

In the past, analysts have reported problems as they occurred. Now the Rule Control Log has been modified to require analysts to report the compilation of each rule filing. During the quarter, two problems were discovered within Title 19. Chapters 32 through 36 were missing and were later re-compiled, and 19 NMAC 7.1 and 19 NMAC 7.2 should be extant but are not.

During the second quarter, 19 NMAC 7.1 and 19 NMAC 7.2 were added to *New Mexico Law on Disc*. The SRD staff proofed 29 parts, raising the total of completed parts to 1,388 of 2,040. This calculates to a completion percentage of 68 percent. All titles have been proofread except Numbers 16, 17, 19, 20, 21, and 22. Proofreading was suspended because of plans to restructure. The SRCA, in conjunction with the Compilation Commission and the publisher, developed a schedule for conversion and proofing of restructured rules.

Proofreading of the NMAC in the third quarter was postponed because of the restructuring of NMAC. Lexis Law Publishing began to restructure Title 3 as a pilot project in preparation for restructuring the entire code. Christie Rears—Lexis' point person for performing the actual restructuring—has requested information about Title 3 that is found in the proofreading notes. She has been appraised that she has copies of all notes between Titles 1 – 11.

♦ **Develop and implement strategies that market the usefulness of the <u>New Mexico Register</u> to all State agencies and public libraries statewide.**

A <u>Register</u> marketing plan was submitted on June 30, 1999 and supplemental information was submitted on 1/28/2000. The primary steps to implementation of the marketing plan continued to revolve around the basic objectives and topics for discussion outlined in the supplemental submission of 1/28/00. Implementation was deferred until a new Division Director was hired. The State Rules Division Director resigned in early May, and as of the end of the fiscal year no replacement had been hired.

♦ **Solicit information from State agencies for publication in the NM Register at no cost to the agency, i.e. proclamations, articles, advertisements for programs.**

No action was taken on this action plan item.

♦ **Convert, either formally or informally, the remaining rules of State agencies into <u>NMAC</u> structure and compile into the <u>Administrative Code</u>.**

Due to the decision made to restructure the code early in FY 2000 and the work that ensued to modify regulations to accommodate the revised structure and processes needed to ensure accurate compilation and future maintenance, complete conversion was delayed.

To convert the remaining 732 rules that had not been compiled into the code by March 1, the agency hired three temporary employees during the third quarter to assist the State Rules Division staff with the project. All 732 rules must be converted to NMAC II. As of June 30, 2000,

37 had been converted, and six had been proofread. Agencies will be given opportunity for review before the reformatted rules are transferred to Lexis for compilation.

To facilitate the NMAC restructuring, titles were organized into five groups. The remaining pre-NMAC rules were grouped in the same manner.

While Rules Division staff was converting some pre-NMAC rules, negotiations with agencies continued in hope that they would take appropriate action (convert or repeal). In support of this effort, during the second quarter, hardcopies and electronic copies of 112 rules were delivered to the Public Regulation Commission to begin reformatting. The State Engineer' Office informed the Rules Division that surface water regulations were near completion.

♦ **Improve Internet access to the <u>NMAC</u> and the <u>NM Register</u>.**

No action was taken on this action plan item.

♦ **Resolve concerns of the NMAC publisher and the NM Compilation Commission about NMAC by July 1, 2002 including: integrated rules, proofing and NMAC structure.**

Meetings were conducted on September 24 and October 27, 1999, with the New Mexico Compilation Commission and representatives of Lexis Law Publishing to discuss concerns with the NMAC structure and proofreading methods. In these meetings a number of problems with the present NMAC were identified. After some five years, 732 rules remained in pre-NMAC format, preventing the completion of the compilation. The publisher and the Director of the Compilation Commission also expressed concerns with the lack both of the use of tandem proofing by SRCA staff and of an easy-to-use corrections form. However, many of the problems with both the compiling of NMAC and its use stem from the complexity of the structure and the lack of standardization of material at given levels in the hierarchy. Consequently, the creation of a fully and easily searchable compilation has proven an extremely difficult task.

Before any restructuring effort could commence, however, the agency needed clarification of whether simply imposing a new hierarchy without altering content required re-promulgation. The SRCA requested that the Attorney General reconsider an earlier advisory letter that called for re-promulgation of re-formatted rules. On November 16, 1999, a new advisory letter was issued that concluded that re-promulgation was not required when only the style and format were changed.

The SRCA began the restructuring process by developing a proposed rule-by-rule conversion table. Those rules still in pre-NMAC format were then incorporated and assigned new citations. Rules to govern the process were developed and translation tables, comparing old citations with proposed new ones, were prepared. Ultimately four rules were drafted (an additional one consolidating definitions was later added).

In the first part of December, informational sessions on the proposed restructuring and proposed regulations were held – two in Santa Fe and one in Albuquerque. A public hearing was conducted at the State Capitol on December 20. The period for public comment extended through mid-January. Following the hearing, the process of revising the rules based on public comment began, as did an effort to minimize changes between original NMAC citations and new ones.

The five new rules on rulemaking became effective on February 29, 2000. Consultation activity by analysts continued at a vigorous pace, and agencies were asked to register for NMAC training. Sessions were conducted on March 8 and March 28, 2000. Future sessions were scheduled for the last Tuesday of each month through January 2001.

By the end of the third quarter, the conversion process was underway. Titles were arranged in five groups for conversion scheduling purposes, and translation tables were sent to the agencies with rules in the five titles in the first phase for the required 30-day review. The restructuring process had involved extended dialogues with especially certain agencies. While the response to the restructuring was not by any means entirely favorable (a reaction that was expected), the

project did draw needed attention from the management of at least some agencies to their rules and to the rule-filing functions of the SRCA. Discussions concerning the restructuring and the reformatting of pre-NMAC rules continued through the fourth quarter as translation tables were sent to agencies for review.

In early April, group #1 (Titles 3, 9, 12, 14, and 20) was submitted to Lexis for restructuring. At the end of the fiscal year, the SRCA had yet to receive any restructured titles from the publisher for review.

FY 2000 RULES MANAGEMENT PROGRAM MEASURES

Activity*: Complete and accurate collection of instruments required to be filed with the State Records Center*.
All rules must be filed with the Records Center and published in the NM Register. Publications are filed with the NM State Library and a preservation copy transferred to the SRCA for preservation and continual access. Statutes require that counties file subdivision regulations and all political subdivisions of the state file interstate compacts with the Records Center. The completeness and accuracy of these collections is measured by their volume and the percentage of material proofed (when migrated to alternate format).

Division	Performance Measure	Type	FY 99	FY 00
SRD	Current primary rules	Q	3,066	3,017
SRD	Current rule filings/paragraphs	Q	9,205	11,125
SRD	Historical rules/paragraphs	Q	48,843	16,275
SRD	Rules filed/published annually	OP	714	824
SRD	% of CD proofed to paper	E	58%	68%
SRD	% of paper rules proofed to Register	E	100%	100%
SRD	Publications filed/yr.	OP	1,261	1,020
SRD	Sub-division regulations filed/yr.	OP	13	14
SRD	Interstate Compacts filed/yr.	OP	42	17

Performance Measure: *Efficient rule filing*.
Average review time/rule; average filing time; filed within 24 hours of receipt; timely submission to publisher; timely proofing of NMR & NMAC are all measures of efficient rule-filing process.

Division	Performance Measure	Type	FY99	FY00
SRD	Rules filed within 24 hours (%)	E	100%	100%
SRD	Average filing time	E	1 min	1.1 min.*
SRD	SRCA staff	E	60 min	1.15 hrs.*
SRD	Rule-filing agency staff	E	60 min + travel time	45 min + travel time*
SRD	Average review time/rule	E		43.5 min*

Activity: *Wide access to the instruments filed with the State Records Center and Archives*.
The percentage of rules available on CD; the number of rules available in the standardized NMAC format; the efficiency with which the rules database is updated to reflect rules filed; the number of copies of rules provided to the public; the number of inquiries addressed; and the availability of these resources throughout the state and on the Internet are indications that the regulations of State government are widely available to the public.

Division	Performance Measure	Type	FY99	FY00
SRD	% rules available on CD	OP	72%	77.2%
SRD	% rules in NMAC	OP	87%	75.7%
SRD	% rules in transition to NMAC	OP	N/A	22.67%
SRD	% rules yet to transition to NMAC	OP	N/A	7.38%
SRD	Rules database updated w/in 5 days	OP	100%	100%

Division	Performance Measure	Type		
SRD	Photocopies of rules (pages)	OP	54,267	35,427
SRD	Inquiries	OP	1,451	1,791
SRD	Response w/in 5 days	OP	100%	100%
SRD	Certifications issued	E	42	20
SRD	Notices of proposed rule-making in NM published	OP	217	227
SRD	# of executive orders published in NMR	OP	0	0%
SRD	Proposed rules published in NMR	OP	27	23
SRD	Synopses published in place of full text of adopted rules	OP	13	15
SRD	Adopted rule-filings published	OP	714	824

Activity: *Rules Management knowledge increased/enhanced*

Among activities which demonstrate the agency's commitment to train state employees in their responsibilities under the State Rules Act are conducting NMAC training; developing white papers and providing consultation by analysts.

Division	Performance Measure	Type	FY99	FY00
SRD	NMAC training sessions	OP	4	7
SRD	Employees trained in NMAC sessions	OC	62	145
SRD	Requested training sessions	OP	unknown	4
SRD	Employees trained requested sessions	OC	n/a	39
SRD	Consultations:			
SRD	Contacts	OP	1,554	2,158
SRD	# of agencies	OP	241	409
SRD	# lectures attended	OP	0	0
SRD	# classes attended	OP	0	3

ARCHIVES AND HISTORICAL SERVICES DIVISION

The Archives and Historical Services Division (AHSD) is made up of two bureaus, Archives Bureau and the Historical Services Bureau. Each bureau provides a full range of archival activities and programs to State government and the public. The mission of the Division is *to manage archival collections effectively by carrying out a full range of activities to secure, preserve, and provide access to the permanent records of New Mexico and to the information they contain*. The Division strives to educate the public and State government on the value of historical records by providing information on collections through consultations, publications, exhibits, tours, oral presentations, and outreach programs.

ARCHIVES BUREAU

ACCESSIONS/APPRAISAL/ACQUISITIONS:

Accession is the physical and legal transfer of documentary material to the State Archives. The Division accessions records from State agencies which records are identified as permanent in agency record retention and disposition schedules. The Division Director reviews, appraises, and accepts for accession agency records that are determined to have sufficient historical or other value to warrant their continued preservation. The Division Director also appraises private papers donated to the State Archives for historical and informational value. Donations must meet the criteria for acceptance as defined in the SRCA Collection Policy. During FY 2000 the Division accessioned 463 cubic feet of State government records transferred to the State Archives and 5.15 cubic feet of private papers. The largest transfers of agency records were from the State Land Office - 194 feet of tract books - and from the State Library - 100 reels of motion picture film.

PUBLIC RECORDS ACCESSIONED	Cubic Feet
Commission for the Deaf and Hard of Hearing	6
Commission of Indian Affairs	1
Corrections Department	13
Education, Department of	2
Finance and Administration, Department of	13
General Services Department	6
Government Publications	15.5
Health Policy Commission	4
Legislative Council Service	25
Metropolitan Court	3
Office of Cultural Affairs	3
Public Employee Labor Relations Board	4
Public Defender Department	8
Secretary of State	3.5
State Corporation Commission	1
State Land Office	194
State Library	160
Tourism Department	1
Total Cubic Feet of Public Records Accessioned	**463**

PRIVATE RECORDS ACCESSIONED	Cubic Feet
Amigos Bravos Oral History Collection	0.50
Beatrice Chauvenet Collection	1
Fort Stanton Oral History Collection	0.25
Pauline Chavez-Bent Collection	0.07
Plueger and Heller Day Ledger	1
Santa Cruz Irrigation District Microfilm Collection	2
SRC Photograph Collection	0.08
Sallie Wagner Photograph Collection	0.25
Total Cubic Feet of Private Records Accessioned	**5.15**

REFERENCE/ACCESS

It is the responsibility of the AHSD to make available original research materials to the citizens of New Mexico. The accessibility of materials depends on knowing of their existence. The Division informs the public about the collections in its custody through finding aids. The finding aids may be index cards, calendars, databases, on-line catalogs, inventories, or guides. Archivists help researchers by refining their questions, organizing search strategies, and guiding them to appropriate finding aids and relevant sources. The researcher is also made aware of basic handling procedures, copyright issues, and limitations on access to restricted materials. Reference assistance also includes responding to inquiries via U.S. mail, e-mail, telephone, and fax. Statistics kept by the Division indicate that patronage increased by an average of 123 percent over FY 1999. The largest increase was e-mail inquiries. E-mail inquiries also resulted in an increase in requests for photocopies. Eight percent of staff resources were spent on producing photocopies. The increase in e-mail requests may be attributed to the SRCA presence on the World-Wide-Web and inclusion of SRCA finding aids in the Online Archive of New Mexico located at: www.eLibrary.unm.edu/oanm.

Comparisons of statistics for reference activities FY99 and FY00

Activity	FY99	FY00	%
On-site visits	5098	5813	+12%
Telephone inquiries	5591	5607	+01%
Correspondence	451	378	-16%
E-mail	141	739	+450%
Fax	33	92	+170%
Web page hits	10,691	11,959	+10.5%

PROCESSING/ARRANGEMENT AND DESCRIPTION

Processing collections includes activities such as arrangement and description, steps taken to prepare documentary materials for access and reference use. Arrangement is the scheme by which groups of items and collections are ordered to reveal the content and significance. The goals of arrangement are to provide a rational order whereby patrons can find items or facts with a modest amount of search and study. Description is the process of recording information via guides, indexes or other finding aids that serve to identify, locate, and explain what types of records are held for State agencies and private collections. Ten percent of staff resources were spent on processing 401.65 linear feet of materials. Public records are described to the box level, due to the large volume of materials, whereas private collections tend to be described to the folder level. Eighty percent of collections have been described to the box, or lower hierarchical level. The following table identifies records processed in FY 2000.

PUBLIC RECORDS PROCESSED	Linear Feet
Adjutant General Records	42
Attorney General Records	154

PUBLIC RECORDS PROCESSED	Linear Feet
Doña Ana County District Court Records	3.5
Eddy County Records	0.5
Elam Papers (County Records)	2
Governor King Papers, Second Term	51
Government Publications	15
Health Policy Commission	4
Legislative Council Service	25
Metropolitan Court Records	3
Public Employee Labor Relations Board	4
Public Defender Department Records	8
San Miguel County Records	1
Secretary of State Records	3.5
State Library Collection	60
Taos County Records	10
Linear Feet of Public Records Processed	**396.50**

PRIVATE RECORDS PROCESSED	Cubic Feet
Amigos Bravos Oral History Collection	0.50
Beatrice Chauvenet Collection	1
Fort Stanton Oral History Collection	0.25
Pauline Chavez-Bent Collection	0.07
Plueger and Heller Day Ledger	1
Santa Cruz Irrigation District Microfilm Collection	2
SRC Photograph Collection	0.08
Sallie Wagner Photograph Collection	0.25
Linear Feet of Private Collections Processed	**5.15**

OUTREACH

Archivists participate in programs that draw directly on documents to support such activities as exhibitions, conferences, training, broadcast media, and publications. They promote the use of documents by identifying potential users and describing the benefits of using archival collections through publications such as the agency newsletter *Quipu*. The following articles were published during FY 2000.

- ♦ "Archives Imaging Project," *Quipu,* by Daphne Arnaiz-DeLeon, July, 1999, Vol. 4.3
- ♦ "Online Archive of New Mexico," *Quipu,* by Sandra Jaramillo, July, 1999, Vol. 4.3
- ♦ "New Mexico Naturalization Records Reorganized," *Quipu,* by Shan Sutton, October, 1999, Vol. 5.0
- ♦ "Drama and Passion …, - District Court Records," *Quipu,* by Melissa Salazar, Jan. 2000, Vol. 5.0
- ♦ "New Mexico Department of Corrections: Governors' Notebooks," *Quipu*, by Daphne Arnaiz – DeLeon, April 2000, Vol. 5.1
- ♦ "State Land Office Records Deposited in Archives," *Quipu,* by Robert Torrez, April 2000, Vol. 5.1

ONLINE ARCHIVE OF NEW MEXICO

The Online Archive of New Mexico (OANM) project is supported by a National Endowment for Humanities (NEH) grant, funded in 1999 for 18 months. The OANM provides integrated online access to finding aids at four repositories: the State Records Center and Archives, the University of New Mexico, the Fray

Angelico Chavez Library, and New Mexico State University. The scope of work for the grant project includes converting finding aids to SGML markup language using Encoded Archival Description (EAD) format. The EAD is a Document Type Definition (DTD) standard for encoding archival finding aids and placing them on a web-based union database. The project is based directly upon the groundbreaking work at the University of California - the American Heritage Virtual Archive Project, the first serious effort to demonstrate that it was intellectually, politically, technologically, and economically feasible to build a large union database of EAD finding aids. New Mexico is the second state to establish a statewide EAD union database. The project will serve as a model to other states and regions contemplating similar union databases. Three archivists received training on EAD rules for encoding the intellectual and physical parts of archival finding aids so that the information contained within the finding aid may be searched, retrieved, and displayed in a predictable platform-independent manner. As part of the grant, the Division received a computer and conversion software. During FY 2000 101 findings aids were updated and prepped for inclusion in the OANM. The SRCA currently has 63 finding aids online.

ACQUISITION OF ARCHIVAL MANAGEMENT SOFTWARE

A Request for Proposals (RFP) for archival management software to support all archival functions was issued on March 31, 2000, through the State Purchasing Division of the General Services Department. The RFP specifications called for software with import and export capabilities for machine-readable catalog records (MARC), and Encoded Archival Description (EAD), Intra-and Internet access, and management of patron and accession files. On June 22, 2000, Eloquent Systems Inc. was awarded the contract for GENCAT archival management software.   The software was scheduled for installation in July, 2000. The AHSD will continue to work with the vendor to customize features such as data entry screens data controls and keyword searching and acceptance testing. Development and implementation are expected to be completed by December, 2000.

IMAGING PROJECT

The Archives Bureau has implemented the imaging project identified in the Information Technology Plan for FY 2000. The work plan for the project includes the digitization of photographs, microfilm, and paper documents. The first phase of the project, digitization of photographs, required the re-housing and indexing of photograph collections prior to scanning. A total of 1,884 photographs have been prepped for scanning. A photograph index database was designed, with the assistance of a database consultant, utilizing Visual Basic 6.0 and Access. The photograph database will be interfaced with the archival management software, GENCAT. Links will be established between bibliographic records, encoded finding aids, the photograph database and digital images. Equipment in place for the imaging project includes two computers, a CD reader-writer, a flat bed scanner, and Adobe Photo shop software.   Funds in FY 2001 will purchase an AGFA T2000XL scanner, a Kodak dye sub printer, an NT server and a Minolta MS3000 microfilm scanner to convert microfilm to digital images.

HISTORICAL SERVICES BUREAU

The Historical Services Bureau is staffed by the State Historian, Robert Torrez. The State Historian provides authoritative consultation services to State government and historical expertise as a member of a team of experts on task forces and review committees. He conducts public outreach programs to promote and enhance an appreciation and understanding of New Mexico's history and cultural resources. Professional and public outreach activities include workshops, lectures, seminars, publications, and tours. The State Historian sits, as a statutory member, on the State Cultural Properties Review Committee (CPRC). The CPRC is the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. The State Historian reviews nominations for the Cultural Properties Register and prepares text for official scenic Historic Markers. The following table identifies CPRC activities for FY 2000.

Nominations Reviewed for Cultural Properties Register	40
Official Scenic/Historical Marker Text prepared and approved	2
Cultural Property Review Committee Meetings Attended	4

PROFESSIONAL ACTIVITIES

As a member of the scholarly community, the State Historian engages in research that contributes to the advancement of the profession, the public understanding of New Mexico History, and the functions of the State Records Center and Archives. Activities related to scholarly inquiry and research include publications in regional, professional, and scholarly journals as well as lectures and presentation of research papers.

Articles Published:
- "One of Life's Tragedies," *Round the Roundhouse*, July 1999
- "A Massacre in the Rio Abajo," *Round the Roundhouse*, August 1999
- "Report From Santa Clara," *Round the Roundhouse*, September 1999
- "Spanish Glossary, Part 3," *Round the Roundhouse*, October 1999
- "New Mexico's Great Seal," *Round the Roundhouse*, November 1999
- "New Mexico's Documentary Heritage," *The Schooner*, November1999
- "The Navajo Campaigns of 1836-37," *Round the Roundhouse*, December 1999
- "Gov. Allende's Instructions for Conducting Caravans," *El Camino Real Vol 11* (BLM Publications), December 2000
- "Rescues From Captivity", *Round the Roundhouse*, January 2000
- "Down by Law", *New Mexico Magazine*, January 2000
- "19th Century Attitudes Towards New Mexicans", *Round the Roundhouse*, February 2000
- " New Mexico's Historic Places", *Forward*, February 2000
- "Acequia Disputes", *Round the Roundhouse*, March 2000
- "Two Years in the New Building", *New Mexico Genealogist*, March 2000
- "A Most Spectacular Tragedy", *Round the Roundhouse*, April 2000
- "The Smallpox Epidemic of 1780-81", *Round the Roundhouse*, May 2000

Research Papers Presented:
- "Using Archives of ASF to Supplement Spanish and Mexican Sources, Gran Quivira Conference, October 8, 1999
- "Voices from the Past: NM's Documentary Resources, 1621-1912," National Archives Federal Records Center, Interdisciplinary Conference, Fort Worth TX, February 2000
- "Genizaros & Captives", Historical Society of New Mexico Annual Conference, Belen, April 15, 2000
- "Utilizing the Archives of the Archdiocese of Santa Fe for Research," American Catholic Historical Association, Annual Conference, Santa Fe, NM, April 29, 2000

Lectures:
- "New Mexico History Overview", Rancho de las Golondrinas Museum, Santa Fe, 8/2/1999
- "New Mexico's Wild West", Passports, Santa Fe, 9/2/1999
- "Prehistoric New Mexico", Albuquerque Museum Docents, 9/3/1999
- "16th of September in New Mexico", Santa Fe Community College, 9/3/1999
- "Voices From The Past", Museo Cultural, Santa Fe, 9/24/1999
- "New Mexico in the Colonial Period", Albuquerque Docents, 9/27/1999
- "New Mexico, Past, Present, Future", NM Department of Health, Las Cruces, 10/7/1999
- "Lost Treasures", NM Genealogical Society, Albuquerque, 10/16/1999
- "The Old Spanish Trail", Old Spanish Trail Association, Santa Fe, 10/30/1999
- "The Zorro Syndrome", Farmington Public Library, Farmington, 11/1/1999
- "New Mexico Overview, Part 1", Museum of New Mexico Docents, Santa Fe, 11/29/1999
- "Crime and Punishment in Colonial New Mexico", Albuquerque Museum, 12/6/1999
- "Education in Northern New Mexico", Museum Docents, Canjilon, 12/15/1999
- "Discussion on Spanish Judicial System", Santa Fe Academy, 1/20/2000
- "Treaty of Guadalupe Hidalgo", Onate Center, 1/31/2000

- ♦ "New Mexico in the Mexican Period", Albuquerque Museum, 2/14/2000
- ♦ "New Mexico in Wild West Period", Sandia Baptist Seniors, 3/2/2000
- ♦ "Myth of the Hanging Tree", Albuquerque Museum Docents, 3/6/2000
- ♦ "A History of Santa Fe", Wilderness Medical Society, 3/6/2000
- ♦ "Tierra Amarilla Grant", Santa Fe Community College, 4/5/2000
- ♦ "The Zorro Syndrome", Santa Fe Public Library, 4/18/2000
- ♦ "New Mexico Spanish & Mexican Land Grants", DAR, Albuquerque, 4/26/2000
- ♦ "Voices From The Past", ARMA Regional Conference, Tesuque, 5/8/2000
- ♦ "Crime and Punishment", 15 Club, Santa Fe, 5/26/2000
- ♦ "Northern New Mexico History", Abiquiu, 6/13/2000

History of New Mexico Classes:

The History of New Mexico class, taught by State Historian Robert Torrez, was offered in several locations throughout the state - Las Cruces, Albuquerque, and Santa Fe. The class is open to all State employees and the general public. The purpose of the class is to offer the student a broad spectrum of New Mexico's colorful history.

Date	Location	Participants
July, 1999	Santa Fe	40
October, 1999	Santa Fe	45
January, 2000	Las Cruces	40
April, 2000	Albuquerque	60
June, 2000	Abiquiu	30
Total Participants		**215**

APPOINTMENT TO GUADALUPE HIDALOGO TASK FORCE

State Historian, Robert Torrez is a recognized authority in the study of Land Grant issues in New Mexico and was appointed by New Mexico Attorney General, Patricia Madrid, to serve on the "Guadalupe Hidalgo Task Force." The purpose of the task force is to review, monitor, and assist the United States General Accounting Office in its ongoing federal study of historical problems with the implementation of the Guadalupe Hidalgo Treaty protections of Spanish and Mexican community land grants in New Mexico.

FY 2000 AHSD COST-BENEFIT

The AHSD has compiled data that can be used in planning, decision-making, and holding the Division accountable to agency management, the legislature, other governmental agencies, and archives patrons. The AHSD recognizes the need for analytical tools by which programs and activities can be measured quantitatively as well as qualitatively. Quantitative measurements require placing a value on archival outputs. Archival outputs are the products and services created by division staff: collections accessioned; number of reference requests answered; finding aids created; and online catalogs hits. Archival outputs are relatively uncomplicated to measure. Qualitative measurements, such as evaluating and measuring archival outcomes, are more complex. The degree to which archival materials affect students learning, the future research value of appraised collections, and benefits derived from using archival collections is more difficult to measure.

Cost benefit analysis is used to measure benefits and allocate resources. Efficient resource use requires a clear identification of goals and knowledge of how resources can best be used to produce desired results. Accurate cost-benefit analyses of the AHSD processes - activities that transform resources into products (cataloging, reference, finding aids, exhibits, workshops, lectures, and tours) - are measured on a quarterly basis. The benefit or outcome of, or effect of using archival collections by the citizens of New Mexico has not been measured. Gathering qualitative data will require systematic sampling of patrons, surveying reference satisfaction, benefit of use, online catalog use, and materials availability.

Goals, objectives and action plans for the AHSDD have been identified in the SRCA FY 2000 Strategic Plan Priorities. The AHSD programs include Archival Management and New Mexico History. Goals for both programs include:

1. To protect and preserve the public records of the State of New Mexico.
2. To make the public records of the State government available to its citizens and other interested parties.
3. To promote an open government and democracy.
4. To provide citizens of New Mexico have access to their history.
5. To protect and preserve historical information and records.

Goal's # 1 and #5, Preservation of New Mexico's historical information and public records: To protect and preserve the public records of the State of New Mexico, the AHSD employs preservation strategies based on: routine holdings maintenance, optimal storage conditions, reformatting fragile documents, and increasing acquisition of permanent State government records. The value and meaning of historical records may be diminished if they are brittle, warped, soiled, torn, or too fragile to be handled. Such damage comes from exposure to extremes in temperature, humidity, pollutants, excessive light levels, and improper handling. If these records are expected to be available for future generations, steps must be taken to ensure their preservation by providing a safe and satisfactory environment.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Accessions	2%	262	$9,974	468 cubic feet	**Public records preserved for current and future use**
Processing	10%	1,311	$49,910	401.65 linear feet arranged & described	**Public records made available for use**
Preservation	8%	1,048	$39,897	16,106 file folders 1,000 linear feet	**Life of public records extended through implementation of archival procedures**

Goal's #2, 3, and #4, Access to Public Records and New Mexico's history and promoting open government: The AHSD makes public records available to its citizens by improving access to collections and providing reference assistance. Utilization of technology - providing online information about SRCA collections - and services encourages public use. Citizens everywhere, from young elementary school students to scholars can access information about collections through the Online Archives of New Mexico and ascertain the relevance of collections to individual research projects at any time. Qualitative cost-benefits derived from imaging collections are improved customer service and preservation of fragile photographs.

Making public records available to the public supports open government and democracy. Permanent public records are transferred into the archives from State agencies, where they are appraised, accessioned, arranged, described, preserved, and made available. The AHSD can effectively hold down the costs associated with the maintenance of historical records by providing the proper environment and the knowledge base to maintain the records adequately. Agencies maintaining permanent records onsite often lack sufficient knowledge, skills, and ability to provide access and assure preservation of historical permanent records.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Reference	40%	5,242	$199,563	12,597 requests	**Satisfied patrons**
Cataloging	7%	917	$34,910	705 catalog records 111 finding aids	**Identification and classification of collections**
Imaging Project	3%	393	$14,962	67 photos imaged and 1,884	**Expanded access and preservation of materials**

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
				prepped	
EAD Project	2%	262	$9,974	63 finding aids online; 37 finding aids pending	Internet access to information about collections

Goal's #4 and #5, Access to and preservation of New Mexico's history: The preservation of historical records and making the citizens of New Mexico aware of their history is accomplished by providing various outreach programs such as exhibits, tours, lectures, publications, workshops, classes, and support of local history programs. Outreach services are provided to schools, libraries, museums, historical societies, benevolent organizations, and local governments. The State Historian provides consultation to State and Federal agencies on historical issues and management of cultural resources.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Consultation to Gov. Agencies	4%	524	$19,949	244 consultations	Provide authoritative information to government entities.
Public Outreach	9%	1179	$44,885	33 lectures; 38 published articles; 4 exhibits; 8 research papers; 26 tours	Broaden public knowledge of archival and historical resources
Classes or workshops	7%	917	$34,910	6 workshops; 6 NM History classes	Expand government employees knowledge of archival practices and historical resources

Goals 1 through 5, Preservation and access to public and historical records: Staff knowledge, skills and abilities directly impact their ability to provide services to the public and to care for archival collections.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Staff training	8%	1048	$39,897	13 workshops	Skilled staff

RECORDS MANAGEMENT DIVISION

The Public Records Act charges the State Records Administrator with establishing records and information management (RIM) programs for the application of economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of official records. It is therefore the mission of the **RMD** *to develop effective RIM policies, procedures, and guidelines for maintaining, using, and controlling New Mexico's public records and information*.

Records management is the systematic control of records and information from creation to final disposition. A records management program provides a timetable and consistent procedures for maintaining an agency's records and information, moving the records from active office storage to inactive off-site storage when appropriate, and disposing of the information when it is no longer valuable to the agency. A good RIM program will reduce the cost of records and information maintenance, retain records and information as required by law, preserve the records that are vital to the agency, and provide needed documentation in the event of litigation.

The RMD is composed of the following bureaus: Agency Analysis; Micrographics; and Records Center. Through consultation and through the development, filing, and issuing of records retention and disposition schedules (RRDS) that identify the support and program records of government, the **Agency Analysis Bureau** provides the necessary tools for addressing the State's records and information problems. These tools form the basis for the development and implementation of RIM programs that address the application of economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of the State's public records.

The SRCA inspects and surveys the records of State agencies to determine the retention period or complete life cycle of public records created and maintained by the State. Through the development and promulgation of RRDS, the disposition of those records is set – destruction or transfer to the State Archives either as permanent records or as records for review and final disposition. The retention schedules are developed by using the data compiled in the records inventory, researching legal sources such as State and federal statutes, and discussing the records and information needs of an agency with its records custodians, staff, and legal counsel. The scheduling process is ongoing and involves the cooperation of an agency's records custodian, liaisons, and legal counsel. These schedules detail how long information created and maintained by State agencies must be kept. The retention of each type of information is determined by taking into consideration the administrative, fiscal, historical, and legal requirements. RRDS developed, filed, and issued in this fiscal year include:

> 1 NMAC 3.2.94.366   Public Employees Retirement Association, new schedule
> 1 NMAC 3.2.93.404   Architects Examiners Board; new schedule
> 1 NMAC 3.2.92.430   Public Regulation Commission, new schedule
> 1 NMAC 3.2.92.505   Office of Cultural Affairs, new schedule
> 1 NMAC 3.2.93.539   New Mexico State Land Office, new schedule
> 1 NMAC 3.2.93.924   New Mexico Department Education, modification
> 1 NMAC 3.2.93.950   NM Commission on Higher Education, new schedule

Approximately 160 schedules, which as State rules are permanent records, have been filed with the State Rules Division in accordance with the Public Records and State Rules Acts. In addition to the development and filing of new schedules or modifications of existing schedules, the Bureau has begun to reformat existing schedules into the current *New Mexico Administrative Code* style and format. These statewide schedules can be accessed through the SRCA web page at http://www.state.nm.us/cpr.

Agency records custodians, records managers, and appointed liaisons are trained in the use of RRDS for the purging, storage, and disposition of an agency's records and information. Instruction is also provided on the policies and procedures for the destruction of an agency's public records as well as its non-

records. The Bureau also advises and assists local governments in the formulation of RIM programs for the use, storage, and disposition of their public records.   During this fiscal year, 145 State and local government personnel attended workshops provided by the bureau. During this same period, the Agency Analysis Bureau responded to over 2,275 State and local government requests for information on RIM via telephone, correspondence, E-mail, or in person.   In depth consultation on a variety of RIM issues ranging from setting up filing systems to managing electronic records was provided to the following agencies:

General Services Department	Office of Military Affairs
State Land Office	Department of Taxation and Revenue
Corrections Department	Environment Department
Office of the Governor	Public Employees Retirement Association
NM State Highway and Transportation Department	Bernalillo Metropolitan Court
	City of Rio Rancho

Through the development of microphotography standards, the **Micrographics Services Bureau** ensures that proposed and existing microphotography systems of State agencies and the district courts produce legible and legal film and images.   Those standards are contained in *1 NMAC 3.2.60.1 Microphotography Standards* whose objective is to ensure uniformity and legal acceptability and to facilitate the microphotography of public records of government entities.   Through its film inspection program, the Bureau monitors the microform (microfilm and microfiche), computer output microfilm (COM), and electronic imaging production of State agencies and the district courts for adherence to these standards, which have been approved by the Commission of Public Records. During this fiscal year, over 4,000 rolls of microfilm were inspected.   Film production compliance with *1 NMAC 3.2.60.1 Microphotography Standards* has resulted in a rejection rate of less than one percent. Over 7,400 rolls of microfilm were accepted for off-site security storage.   Additionally, 13,596 rolls of microfilm were destroyed during the fiscal year, bringing the total number of microfilm rolls stored by the Bureau to 132,857 rolls. At 2,400 images per roll, this represents 318,856,800 images stored. The following table lists the microfilm holdings and activity by agency. Units are reported as rolls.

FY 2000 Annual Activity of the Micrographics Bureau

Agency	Film inspected	Accepted into storage	Film destroyed	Permanent withdrawals	Ending Inventory 06/30/00
Agriculture, Dept. of (Livestock Board)					97
Carrie Tingley Hospital			126		0
Corrections, Dept. of					408
Education, Dept. of					710
Energy, Minerals, & Natural Resources					1,231
Engineer's Office					462
Environment Dept.	45	45			220
Finance & Administration, Dept. of	202	201	504		6,023
Game & Fish, Dept. of					17
General Services Department					87
Health, Dept. of	24	22			947
Highway & Transportation Dept.	1,152	1,152	4,418		8,058
Human Services, Dept. of	130	116	966		3,439
Labor, Dept. of	143	143	168		4,958
Land Office	12	12			1,846
Nursing Board					1
Office of Cultural Affairs					1,438
Professional Engineers & Land Surveyors					346
Public Employee's Retirement Association					136
Public Regulation Commission	58	58	336		3,557
Public Safety, Dept. of			84		45
Regulation & Licensing, Dept. of	29	29	336		1,017
Secretary of State	43	40	52		648
State Auditor					218
State Personnel	33	30	168		1,590

Agency	Film inspected	Accepted into storage	Film destroyed	Permanent withdrawals	Ending Inventory 06/30/00
State Records Center	133	435			1,240
State Treasurer	508	491	714		3,839
Taxation & Revenue, Dept. of		3,098	5,272		51,538
Veterans' Service Commission	2	2			63
Workers Compensation Administration	31	31	4		1,540
TOTAL EXECUTIVE AGENCIES	*2,545*	*5,905*	*13,148*	*0*	*95,719*
NON-EXECUTIVE AGENCIES					
Albuquerque Technical-vocational Inst.			14		148
Carrie Tingley Hospital					42
Colleges & universities			11		154
Counties	572	570	126		8,369
Court of Appeals					1,356
District Courts	838	835	3		21,755
Judicial Standards Commission	18	18			38
Municipalities	54	46	294	252	1,758
School Districts	83	31			1,409
Supreme Court	66	66			2,109
TOTAL NON-EXECUTIVE AGENCIES	*1,631*	*1,566*	*448*	*252*	*37,138*
GRAND TOTAL	*4,176*	*7,471*	*13,596*	*252*	*132,857*

The RMD also reviews all proposed or existing State agency microphotography systems, including electronic imaging systems. The Micrographics Bureau makes recommendations to the administrator for the required approval or disapproval of those systems. During this fiscal year the SRCA approved the following:

➢ NM Department of Education, modification to an existing microfilm system;
➢ NM Department of Finance and Administration, existing imaging system;
➢ NM State Records Center and Archives, new imaging system; and
➢ NM Judicial Standards Commission, modification to an existing microfilm program.

The **Records Center Services Bureau** monitors and tracks the lifecycle status, history, series identification, and physical location of approximately 200,000 items in two geographical locations. Records Center staff correctly calculates and applies appropriate RRDS for various media – paper, electronic, and microform. One records center is located in Santa Fe, the other in Albuquerque. The Bureau handles the transfer, receipt, storage, and withdrawal of semi-active public records and the transfer and disposition of those public records that have met their legal retention. Bureau staff processes the storage tickets and destruction requests that have been reviewed and approved by the staff of the Agency Analysis Bureau. Over 8,800 cubic boxes of records were accepted into storage in FY 2000. During the year, 19,548 cubic feet of records were destroyed. Of these, 6,279 were located and purged from the records center. New storage and in-house destruction processed brought the records in storage at SRCA to 69,423 cubic feet. The records center staff also fills requests for temporary and permanent withdrawals of inactive records stored in the records centers. The number of record withdrawal transactions for the year was 7,751. The number of record return transactions for the year was 3,754. The following table lists the Records Center holdings and activity by agency.

FY 2000 Annual Activity of the Records Center

Agency	Accepted for storage	Permanently withdrawn	Transferred to Archives	Destroyed in-house	Delivered for destruction	Inventory 06/30/2000	Files withdrawn	Files returned
Agency on Aging	59					59		
Agriculture, Dept. of (Livestock Board)	161				18	840	111	101
Architects' Board	-				-	42	-	-
Attorney General	396				92FY	3,427	221	99
Children, Youth & Families Dept.	542				827	4,249	742	352
Commission for the Blind	11				-	15	4	-
Commission on Higher Education	16				-	305	122	6
Commission on Status of Women	-				-	3	-	-

Agency	Accepted	Permanently	Transferred	Destroyed in-	Delivered for	Inventory	Files	Files
Corrections, Dept. of	760		9	296	870	**6,493**	1,820	724
Crime Victims Reparation	36			5	-	**445**	91	30
Economic Development Dept.	-				16	**25**	-	-
Education, Dept. of	256		4	273	11	**1,285**	18	9
Educational Retirement Board	71			5	181	**475**	29	29
Energy Research & Development Institute	-				-	**1**	-	-
Energy, Minerals, & Natural Resources	85				318	**1,316**	27	10
Engineer's Office	20				1	**217**	17	3
Environment Dept.	30				13	**1,177**	27	23
Finance & Administration, Dept. of	104		21		1,295	**845**	94	3
Game & Fish, Dept. of	45			146	84	**145**	79	13
General Services Department	499		4	171	80	**2,170**	46	21
Governor's Office	-				-	**279**	-	-
Health, Dept. of	740		5	1,556	517	**8,167**	287	161
Health Policy Commission	2				4	**16**	1	1
Highway & Transportation Dept.	41				1,193	**514**	153	1
Human Services, Dept. of	590		7		589	**4,689**	161	5
Information & Communication Mgmt.	-				-	**1**	-	-
Juvenile Parole Board	18			19	2	**50**	17	2
Labor, Dept. of	758		1	1,088	320	**5,034**	185	37
Land Office	-				12	**387**	4	-
Lt. Governor's Office	-				-	**1**	-	-
Medical Board	-				5	**68**	-	-
Nursing Board	2			1	9	**277**	159	47
Office of Cultural Affairs	44		4	23	126	**147**	4	-
Office of Indian Affairs	-		1		-	**3**	-	-
Office of Military Affairs	-			30	-	**1,543**	477	341
Parole Board	42				35	**481**	432	266
Professional Engineers & Land Surveyors	-			9	27	**48**	31	12
Public Defender's Dept.	351		8		-	**3,278**	138	79
Public Employee's Labor Relations Brd	-				-	**18**	-	-
Public Employee's Retirement Association	76				-	**819**	34	15
Public Regulation Commission	407		1	194	57	**2,503**	556	509
Public Safety, Dept. of	105			136	11	**871**	232	97
Public Schools Insurance Authority	-			1	12	**51**	-	-
Regulation & Licensing, Dept. of	356			626	7	**3,593**	285	146
Retiree Health Care Authority	-			49	34	**1**	-	-
School for the Deaf	-				-	**21**	1	3
Secretary of State	40		2	150	37	**785**	36	32
State Auditor	28				20	**215**	10	7
State Investment Council	12				-	**120**	-	-
State Personnel	8			97	398	**240**	22	13
State Records Center	6		1	6	140	**57**	10	1
State Treasurer	396			514	1	**1,081**	16	2
Taxation & Revenue, Dept. of	263				1,100	**3,054**	3	4
Tourism Dept.	17		1		52	**1**	1	-
Veterans' Service Commission	-				-	**34**	-	-
Vocational Rehabilitation Division	211				112	**1,212**	160	121
Workers Compensation Administration	19			64		**166**	6	-
Total Executive Agencies	***7,623***	***-***	***69***	***5,459***	***8,626***	***63,359***	***6,869***	***3,325***
NON-EXECUTIVE AGENCIES								
Administrative Office of the Courts	25				-	**224**	-	3
Chaparral	-				-	**30**	52	72
Counties	-				48	**2**	-	-
Court of Appeals	-				7	**103**	-	-
District Attorney, Admin. Office of	9			3	-	**30**	3	-
District Attorney Offices	763				744	**1,197**	50	-
District Courts	-				324		-	-
Judicial Selection Committee	-				-	**25**	-	-
Judicial Standards Commission	-				22	**1**	11	-
Legislative Council	80				-	**1,726**	17	14

Agency	Accepted	Permanently	Transferred	Destroyed in-	Delivered for	Inventory	Files	Files
Legislative Education Study Committee	-				-	25	-	-
Legislative Finance Committee	-				-	240	-	-
Legislative Maintenance Committee	-			4	-	15	-	-
Metro Court (Bernalillo)	185			207	868	1,214	475	207
Municipalities	-				80		-	-
Senate	-				-	5	-	-
School Districts	-				-		-	-
Supreme Court	-				38		-	-
UNM (including UNMH)	149	231		656	4	1,286	274	133
Total Non-Executive Agencies	*1,211*	*231*		*870*	*2,135*	*6,123*	*882*	*429*
GRAND TOTAL	*8,834*	*231*	*69*	*6,329*	*10,761*	*69,482*	*7,751*	*3,754*

Public records document the actions and transactions of State government and must be retained for various lengths of time pursuant to their administrative, fiscal, and legal requirements. Generally, only a very small percentage of an agency's records will have permanent value. These records are appraised for their archival (historical) value and are scheduled as permanent in the schedules. In the past, scheduling records as permanent compelled the agency to keep them in their custody forever. Now, a note that specifies when the records will be transferred to Archives accompanies scheduled permanent records. This lifts the burden of providing the proper care and storage by the custodial agency and transfers it to the Archives, which has the professional staff and knowledge to preserve and make these records accessible to the rest of government and the public. This year 69 cubic feet of records were transferred from records center storage to Archives for permanent storage or for review and final disposition.

The Records Center Services Bureau monitors the flow of traffic into and out of the electronic media vault. Currently thirty (30) state agencies have been assigned locker space in the electronic media vault for storage of their electronic backup. The Information Services Division of the NM General Services Department has around-the-clock access to its electronic backups. All other state agencies have access to the vault during regular work hours only.

The SRCA recognizes the need for bringing electronic records under proper management controls. With data in electronic format now admissible in court, the SRCA is in the process of developing rules relating to electronic records. Although standards for proper management of electronic records are still evolving and being shaped by judicial decisions, the SRCA has taken steps as addressing the issues surrounding electronic records. In FY 1999 an administrative rule on the management of electronic records was drafted. The objective of the rule is to ensure proper RIM practices are implemented and adhered to by State government 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). Review of this draft was initially stalled by the suit filled in federal district court against the Archivist of the United States. The suit questioned records management practices that were similar to what was laid out in the SRCA draft. The suit has since been resolved by the US Court of Appeals in favor of the Archivist of the United States. Although work continues on the SRCA draft, it is not yet complete and has not been distributed for public review and comment.

FY 2000 RMD COST BENEFIT SUMMARY

State government offices create and maintain large numbers of records containing information that agency staff must be able to access and disseminate promptly. Records and information management (RIM) is one of government's most efficient and cost effective tools. More than any piece of high-tech equipment, RIM can save government not only money but also human resources with minimum expenditure on its part. An effective RIM (RIM) program is one that is designed to improve office productivity, eliminate errors, reduce liability, preserve vital records, and facilitate the exchange of information within government, and, accordingly, cuts the cost of doing business.

One of the decisions in developing a RIM program for State government includes where to store an agency's inactive records. Records may be stored in a centralized location (in a records center outside the agency's units); a decentralized location (within each agency unit); or a combination system utilizing both centralized and decentralized locations. If a State agency chooses to store its inactive records in centralized location, it must either commit to developing its own records center; employing a commercial facility; or storing with the SRCA. This is a decision that could carry a hefty price tag for a State agency.

The services provided by the records centers (See RMD-1) of SRCA are free of charge to State agencies. The operating costs of the record centers are paid from the State's general fund and are supplemented by a revolving fund that derives revenue from the sale of storage boxes and storage tickets. The services of the records center include record storage, record destruction, and record retrieval. These are basic services provided by any record storage facility, government or commercial.

RMD 1: Records Center Services 1998 - 2000

	FY 1998	FY 1999	FY 2000
Year end total number of boxes in storage	79,768	67,541	69,423
Year-end total number of cubic feet in storage (1 box = 1.2 cu.ft.)	95,722	81,049	83,307
Total number of transactions (withdrawals)	7,144	9,007	7,751
Number of regular transactions (record withdrawals)	6,400	8,200	7,054
Number of emergency transactions (record withdrawals)	744	807	697
Number of transactions (record re-files)	7,898	6,911	3,754
In-house destruction (cubic feet)	9,228	5,841	6,329
Number of storage boxes brought in for destruction	8,196	8,951	10,761

Following is a brief analysis of the costs of storing in a commercial facility and in an office environment *(see figures RMD-2 and RMD -3)* versus the costs incurred by the SRCA in providing similar services *(see RMD-4)*. *RMD-2* shows the average fees charged by commercial storage facilities. The commercial costs included the fees for setting up and closing an account, transaction fees (retrieval, re-file), and fees for destroying records in facility storage. *RMD-3* shows commercial costs applied to the combined annual activity reported for both record centers (*RMD-1*) to calculate the privatized costs of these activities.

RMD-2: Commercial Facility Costs

	FY 1998	FY 1999	FY 2000
Storage access charges			
Account set up fee (cost/box)	$ 2.15	$ 2.15	$ 2.29
Retrieval, refile, computer inquiry fee	$ 2.15	$ 2.15	$ 2.29
Special (emergency) rush retrieval fee	$ 4.50	$ 4.50	$ 4.59
Monthly storage fee per cubic foot (1 box = 1.2 cu.ft.) $0.30 per box per month ($3.60 per year)	$ 3.60	$ 3.60	$ 3.67
Destruction cost per box	$ 2.65	$ 2.65	$ 2.70
Account closeout fee (cost per cubic foot)	$ 5.75	$ 5.75	$ 5.86
Account set up fee (cost/box)	$ 171,501.20	$ 145,213.15	$ 158,978.67
Retrieval, refile, computer inquiry fee	$ 13,760.00	$ 17,630.00	$ 16,153.66
Special (emergency) rush retrieval fee	$ 3,348.00	$ 3,631.50	$ 3,199.23

RMD-3: Annualized Commercial Facility Costs

	FY 1998	FY 1999	FY 2000
Yearly storage fee per cubic foot (1 box = 1.2 cu.ft.)	$ 344,599.20	$ 291,776.40	$ 305,736.69
Yearly destruction cost	$ 21,719.40	$ 23,720.15	$ 29,054.70
Account closeout fee (cost per cubic foot)	$ 458,666.00	$ 388,360.75	$ 406,818.78
TOTAL ANNUAL COMMERCIAL COSTS	**$1,013,593.80**	**$ 870,331.95**	**$ 919,941.73**

Annual SRCA costs were $337,524.00 in FY 2000. These costs include: records center staff salaries, employee benefits, supplies and the lease of the Albuquerque Records Center which includes utilities and maintenance.

RMD-4: SRCA Costs

	FY 1998	FY 1999	FY 2000
TOTAL SRCA COSTS	**$ 228,092.00**	**$ 229,748.00**	**$ 337,524.00**

Calculated cost savings that result from operating a records center in FY 2000 was $582,417.73.

RMD-5: Annual Cost Savings

	FY 1998	FY 1999	FY 2000
Total commercial costs	$1,013,593.80	$ 870,331.95	$ 919,941.73
Total SRCA costs	$ 228,092.00	$ 229,748.00	$ 337,524.00
State Savings	**$ 785,501.80**	**$ 640,583.95**	**$ 582,417.73**

These costs and savings do not include: the storage, retrieval, or destruction of records housed in the microphotography or electronic media vaults; the destruction of records brought in by state agencies; or the other services provided by the Micrographics Bureau (i.e., film inspection, document filming). In its research, SRCA staff was able to determine that the costs involved in providing these additional SRCA services would radically enlarge the figures presented.

The costs of maintaining inactive records in an office environment are even more dramatic. Storing inactive records in an office environment presents additional considerations. These include: space; equipment; supplies; software; and personnel. The year-end totals of storage held at SRCA were 69,423 cubic feet of records. With a four-drawer file cabinet holding six (6) cubic feet of records, 11,571 cabinets would have had to be purchased to contain the inactive records. At a cost of $160.00 per cabinet, $1,851,2800.00 would have been spent for purchasing file cabinets.

Using industry estimates, supplies such as out-cards, withdrawal slips, etc. run $1.50 per cabinet. Additional supply costs would be $17,356.50 for FY 2000. This does not include file folders, labels, tabs, etc.

Additional office floor space would have been required for the additional cabinets. Most facility engineers allow a total of nine (9) square feet occupied space, pullout space, and standing room per cabinet. The additional floor space needed to house 11,571 cabinets would be 104,139 square feet. The cost of office space ranges from $20.00 to $30.00 per square foot in downtown Santa Fe, $18.00 to $24.00 in the area surrounding the downtown Santa Fe area, and $16.00 to $18.00 in the outside the Santa Fe downtown area. The cost of office space in the Albuquerque area runs $2.00 lower than Santa Fe. Using an average cost of $25.00 per square foot, the cost for the additional office floor space would be $2,603,475.00.

An automated records management system is something that not all agencies would consider or purchase. The cost of software ranges from $60,000.00 to over $86,000.00 for a software application with minimal licenses (excluding data migration). Based on less than half these agencies (30) purchasing software at a mid-price of $73,000.00, the additional cost would be $2,190,000.00.

In addition to equipment, space, supplies, and software, the cost of personnel to manage inactive records must be considered. Using industry standards, 90 hours are spent retrieving, re-filing, and managing inactive records per year per cabinet. This is about 1.75 hours per week per cabinet. Clerks are employed at a $9.00 hourly rate plus an added 30 percent for fringe benefits. The 90 hours of clerk time do not include the time involved in doing an annual inventory, the time involved in preparing an annual record destruction, or the time actually used in physically conducting an annual destruction (marking files, pulling files, destroying files). The cost for additional file personnel would be $12,496,140.00 plus ten percent of labor that is normally accepted as supervisory cost. This adds an additional $1,249,614.00 bringing the total management cost to $13,745,754.00.

The cost of the SRCA providing the services of records storage, record withdrawal and return, record disposition, records inventory, and records tracking was $337,524.00 The total cost for state agencies to maintain their inactive records in their offices would have been $20,407,752.00. The saving of having SRCA provide all warehouse services over agencies maintaining their inactive records within their own offices total $20,070,228.00.

It unlikely that State agencies would maintain the greater volume of their inactive records within the office environment. The agency expenditures shown here would not ensue because agencies would not invest in additional equipment, supplies, software, and/or personnel to manage these records. These inactive records would more than likely find their way into basements, closets, or sheds where they would be stored in less than ideal conditions. These storage conditions can result in the loss of records through misfiling, vermin, flooding, or theft. Not being able to produce public records when requested by the public and/or other government agencies not only prohibits agencies from complying with the Inspection of Public Records but also exposes the agency to fines and potential law suits. Loss of records or information can prove costly in terms of depriving New Mexicans of a fully documented history and in terms of the liability of the State in the event of litigation involving public records.

Knowing what records to discard, keep in the office, and move to off-site storage adds to employee productivity and job satisfaction. Moving records off-site that aren't needed for day-to-day operations provides a more effective use of office space. The office is a better place to work once employees have more room and don't find themselves tripping over file boxes or stacks of records. Knowing where to find an important file is imperative. Being able to find it fast is even better. Agencies are custodians of their records and information. They are responsible for:

➢ managing them;
➢ storing them securely;
➢ describing them so as to make them accessible to the public;
➢ making them available for evidential purposes; and
➢ disposing of them in accordance with the agency's RRDS.

STATE RULES DIVISION

The mission of the State Rules Division is to effectively and efficiently file, make accessible, manage, and preserve the rules and specified instruments it receives. To fulfill this mission, the Division monitors compliance with statutes and rules affecting the rule-filing and publishing processes. To guide State agencies, the Division provides training and consultation to individuals who must file regulatory material and answer questions from all individuals and groups interested in regulatory material filed in accordance with State law. Finally, the Division maintains and preserves all regulatory material through its life cycle and assures open and public access is provided.

NEW MEXICO REGISTER

The New Mexico Register is a bimonthly publication where notices of intended rule making, of newly promulgated rules, and of amendments and repeals of existing rules are officially published. Notices of public hearings of proposed rule-making must be published in the Register before an executive agency can proceed with the rule making process. Before a rule can become enforceable it must be published in the New Mexico Register. Further, the effective date of the rule cannot precede its publication date. Generally, the full text of rules or their amendments are published. However, in some instances (when economically unfeasible or when more informative) a synopsis of the full text is published. In addition, proposed rules are sometimes published in the Register to afford the public maximum opportunity for informing the regulated community of intended regulatory action. After publication in the Register, rules are compiled into the New Mexico Administrative Code (NMAC). The following table shows the Division's activity producing 24 issues of the New Mexico Register in FY 2000.

NEW MEXICO REGISTER ACTIVITY	
Notices of proposed rule-making published	227
Adopted rule filings published	824
Proposed rules published	23
Synopses published in place of full text of adopted rules	15

NEW MEXICO ADMINISTRATIVE CODE

The New Mexico Administrative Code (NMAC) is a compilation of current, active rules promulgated by New Mexico State agencies. The NMAC, an electronic database, provides a topical, subject-oriented view of rules issued by all agencies of the executive branch and three divisions of the Judiciary--the Judicial Standards Commission and the adult and juvenile parole boards. The NMAC is arranged topically, not by agency.

The structure and format for the NMAC reflects the structure and format prescribed by the State Record Center and Archives for rules filed under the State Rules Act (Chapter 14, Article 4 NMSA 1978). The structure ensures that all relevant information for any given rule is available with the rule and that the rule can be included in an easily searchable database. The NMAC is published through an agreement with the New Mexico Compilation Commission who subcontracts with a publishing company that also compiles New Mexico's statutes and related information.

Although the NMAC standards were officially adopted in 1995, rules were not immediately converted to the prescribed style and format at the end of FY 2000. Agencies were, at that time, required to re-promulgate their rules when converting to the NMAC style and format, and accordingly, agencies were given extended timelines for conversion. However, some agencies did not accept their responsibility for conversion. Consequently, at mid-FY 2000, some 800 rules had yet to be converted, thus delaying completion for NMAC.

In order to assist agencies in producing rules that meet the prescribed style and format requirements, the State Rules Division conducted periodic training sessions. With the adoption of new standards, the Division initiated monthly training sessions beginning in March 2000. The following table compares training offered in 1999 and 2000.

TRAINING ACTIVITY	1999	2000
NMAC training sessions	4	7
Employees trained in NMAC sessions	62	145
Requested training sessions	Unknown	4
Employees trained in requested sessions	n/a	39

RESTRUCTURING AND REFORMATTING

The original NMAC hierarchy was overly complex. It lacked symmetry among like levels – agencies filed similar material at various levels within the hierarchy, inhibiting the creation of an easily searchable, electronic code. Consequently, at the urging of the New Mexico Compilation Commission, the publisher, and many users, and facilitated by an advisory letter from the Attorney General, the SRCA undertook a restructuring of the NMAC. The restructuring assures consistency in the anatomy of regulations filed under the State Rules Act. This eases understanding of the rules and improves the facility for automated access and retrieval as well as improving the agency's ability to maintain the electronic files into future generations of software.

To achieve the goal of a consistent anatomy of a rule, it became necessary to reduce the amount of flexibility among agencies in structuring rules for filing in NMAC. It was necessary to arrive at designations that would be used to discuss and create the new structure and then develop rules that would guide agencies in the application of the designations and formatting of rules in the new structure. The project required evaluating the structure of extant rules. Decisions needed to be made to modify the level at which a rule was identified. Proposed regulations were distributed for public comment in November so that affected agencies and other users could respond to both the structure and the impact of implementation. A public hearing was held on December 20, 2000, and written comments were accepted through mid-January, 2000. Five new regulations governing the NMAC style and format and rule-filing and publication processes were promulgated, effective February 29, 2000: **1.24.1 NMAC**, *General Provisions;* **1.24.10 NMAC**, *New Mexico Administrative Code (NMAC)*; **1.24.11 NMAC**, *NMAC Revisions*; **1.24.15 NMAC**, *New Mexico Register*; and **1.24.20 NMAC**, *Emergency Rules*.

In order to bring all current rules into conformity with the newly adopted NMAC structure and style, with the assistance of three temporary employees, the SRCA assumed the responsibility for conversion of the some 800 rules issuing agencies failed to address. The publisher agreed to convert rules in existing NMAC (old) format. To guide this process, translation tables reflecting existing and proposed citations were prepared for review by the issuing agencies. The 22 titles in the Code were arranged in five groups to phase the conversion, and a conversion schedule was prepared. The publisher began receiving titles for conversion in April. Of all pre-NMAC rules that needed to be converted and incorporated into the Administrative Code, 75 percent were reformatted into the current NMAC as of June 30, 2000. As the rules were finished they were then distributed to the relevant agencies for review and comment. The end of the calendar year should finish the review and feedback cycle. The final compilation of rules into the current NMAC format will depend on the publisher.

CONVERSION ACTIVITY	% COMPLETED
Rules in NMAC	75.7%
Rules converted to NMAC and pending agency approval	22.67%
Rules not in NMAC style and format (State Engineers and Public Regulation Commission)	7.38%

NMAC VALIDATION

A project to validate the version of the NMAC available on the New Mexico Law on Disk (NMLOD) was undertaken during the fiscal year. This activity consisted of proofing the NMLOD version to the rule filed with the Rules Division. Approximately 75 percent of the rules on NMLOD had been proofed when, due to the conversion project, the project was suspended.

CONSULTATIONS AND INQUIRIES

The State Rules Division offers consultations to all agencies that are preparing rules and request our assistance. These consultations are usually provided in the form or detailed individual assistance to agency representatives in formatting and submitting their rules for filing. Consultations are usually very time consuming and have become, in fact, one-to-one classes in rule filing. While that assistance assured proper filing, the amount of staff time devoted to this activity was significant and prevented other necessary work from being completed.

The State Rules Division averaged 409 separate agency consultations in FY 2000 involving 940 rules. Consultations average an hour per rule. According to the following table, 49.7 percent of the division's staff resources were devoted to consultations (including final rule reviews) and inquiries - 34.7 percent is devoted to consultations alone. When adjusted for the temporary staff (not involved in this activity), 56.3 percent of the division's resources are devoted to this activity - 39.3 percent is devoted to consultations alone. It became necessary to decrease the time the Division spent on repeated consultations, so that Division's resources could be spent in completing, restructuring, and proofing the administrative code. In order to meet State agencies demand for instruction in the procedures to be followed in complying with style, format and publishing requirements, the SRD now offers NMAC training monthly. Classes are open to all agencies - with special encouragement to rules filers to attend this course. In the future, consultations will concentrate on solving specific problems pertaining to rule filing, publishing in the New Mexico Register or compiling rules into the New Mexico Administrative Code. Basic training in rule style and format, filing and publication in the New Mexico Register will be provided by the NMAC training sessions.

Activity	Number	Staff Hours	SRCA Cost
Inquiries	1,580	790	$30,738.90
Consultations - State Agencies	409	940	35,174.64
Final Filing Reviews - State Agencies	882	882	34,318.62
TOTALS:			
Inquiries, Consultations and Reviews		2,612	$100,232.16
SRD Staff Time		5,249.6	$204,261.94
Adjusted SRD Staff Time *(excludes temporary staff)*		4,640.1	$180,546.29

FY 2000 SRD COST BENEFIT ANALYSIS

The mission of the State Rules Division (SRD) is to efficiently and effectively file, make accessible, manage, and preserve the rules and specified instruments it receives. The qualitative and quantitative measures gathered and used in the SRD are focused on three sets of activities; the preparation of rules for filing, filing the rules and maintaining the databases and logs used by SRD.

The following table shows the distribution of Division resources to various activities. As reported, 46.3 percent of the division's staff resources are devoted

Activity	Number	Hours Spent	% of Workload	Approx. Costs	Perceived Benefit
Agency Assistance					

Consultations	409	1,145.9	24.7%	$36,575.40	Accurate and complete rule construction, format and filing process.
Final Filing Reviews	882	882	19.0%	$34,318.62	Rules filed properly and completely
Letters, Faxes and Emails	1,107	553	11.9%	$21,517.23	Information out to agencies and the public
Filing the Rules					
Rule filing	882	14.7	.3%	$571.98	Official acceptance of the rule for promulgation.
Other items transmitted to publisher	265	530	11.4%	$22,412.16	Complete notices and explanatory material available to the public.
Maintenance of rule logs, files and databases	882	661.5	14.3%	$25,738.96	Complete and accurate information and statistics available to the public and agencies.
Other Regulatory Instruments					
Interstate compacts filed	17	5	.1%	$194.55	Complete set of interstate obligations information available to the public and agencies.
County Subdivision regulations filed	14	5	.1%	$194.55	Complete subdivision regulations available to the public.
Archiving					
Purge historical rules		53	1.2%	$1,260.68	Ensures that only current, active rules are promulgated and enforced; preservation of permanent State records.
Public Information					
Inquiries	1580	790	17.0%	$30,738.90	Information and rules provided to agencies and the public
Total	6,722	4,640.1	100%	$180,546.29	

Assistance to Agencies

As with many types of activities, the benefits are not realized until well after the activity has occurred. In this case, a majority of the time spent by SRD staff is devoted to helping personnel from filing agencies prepare and format their rules or addressing unique problems that the agency may have in complying with rule-formatting or publishing requirements. Staff activities are reported in the table above as consultations, final filing reviews, and correspondence. Agency assistance activities account for 55.6 percent of the staff workload in the SRD. The time spent is significant, but the rules, when filed, can be published and made available to the public with no further intervention. The benefits are actually realized in the relatively quick time it takes to file rules and other instruments, and the quality of the rules filed.

Filing the Rules

Once prepared, the actual filing of the rules takes 26 percent of the annual staff time. Rule filing activities include date/time stamping the hard copy, queuing up the electronic copy to transmit to the publisher, filing the hard copy and updating the appropriate activity logs and databases. In this case the benefit from this activity is the accurate and enforceable filing of administrative law and other legal instruments. Transmitting the rules, notices, etc. to the publisher for official publication follows the filing. The benefit here is that the promulgated rules are officially published on schedule, twice a month in the New Mexico Register. Once published, the rules are official and enforceable.

Updating and Maintaining Databases and Logs

Approximately 14.3 percent of the SRD staff time is used updating the databases and logs, which comprise the information system for the division. Much of the updating occurs as assistance and filing activities occur, but completion of all final update entries happens within two days after transmittal to the publisher. Reports and statistics are generated from these databases and logs. The benefit is a complete and accurate tracking of all promulgated rules from first consultation to final publication.

Other Duties

The Division spends approximately 18.4 percent of its staff resources in attending to the remainder of the activities in the "SRD FY 2000 Activities" table. These duties include filing county sub-division regulations and interstate compacts, archiving inactive regulatory material, and providing public access to regulatory material.

Production of the NM Register and NMAC

Agencies subject to the State Rules Act, at a minimum, first publish in the New Mexico Register their intent to promulgate rule material and then publish the final rule – and only with this latter publication does the rule, by law, become valid and enforceable. Thus, the Register serves as the single, official source, which the public can access to determine both planned rule-making and the ultimate result. Currently a commercial publisher produces the Register and NMAC. The costs of publishing the Register are currently met by the subscription price ($270 per year) and the charge of $1.50 per column inch passed on to the agencies that must publish in the Register. For some agencies, especially the smaller commissions, this is a sizable budget item. To determine the level of costs for the filing agencies, it is necessary to know how many column inches are used, on an annual basis by the agencies. The following table shows the published usage by agency for FY 2000.

AGENCY	COLUMN INCHES	COST TO AGENCY
Acupuncture and Oriental Medicine	101.0	$151.50
Agriculture, Department of	60.5	$90.75
Albuquerque/Bernalillo County Air Quality Control Board	115.5	$173.25
Architects, Board of Examiners for	144.0	$216.00
Athletic Trainers Practice Board	14.5	$21.75
Attorney General	17.0	$25.50
Auditor, NM State	321.5	$482.25
Children, Youth and Families, Department of	1687.5	$2,531.25
Chiropractic Examiners, Board of	5.0	$7.50
Counseling and Therapy Practice Board	414.5	$621.75
Cultural Affairs, Office of	335.0	$502.50
Courts, Administrative Offices of the	93.5	$140.25
Dental Health Care, Board of	179.0	$268.50
DNA Identification System Oversight Committee & Administrative Center	13.0	$19.50
Economic Development Department	144.0	$216.00
Education Department	12.5	$18.75
Education, Board of	946.0	$1,419.00
Education, Commission on Higher	52.5	$78.75
Engineer, State	2.0	$3.00
Engineers and Surveyors, Board of Registration for Professional	148.5	$222.75
Energy, Minerals and Natural Resources Department	874.5	$1,311.75
Environment Department	836.5	$1,254.75
Environmental Improvement Board	2209.5	$3,314.25
Finance and Administration, Department of	320.5	$480.75
Game and Fish Department	809.0	$1,213.50
Gaming Control Board	170.5	$255.75
General Services Department	103.0	$154.50
Health, Department of	4986.5	$7,479.75
Highway and Transportation Department	1632.0	$2,448.00
Human Services Department	1172.5	$1,758.75

AGENCY	COLUMN	COST TO
Information Technology Commission	135.0	$202.50
Investment Council	34.0	$51.00
Labor, Department of	1375.5	$2,063.25
Land Office, State	127.5	$191.25
Livestock Board	47.0	$70.50
Massage Therapy, Board of	114.5	$171.75
Medical Examiners, Board of	315.0	$472.50
Nursing Home Administrators Board	82.5	$123.75
Nutrition and Dietetics Practice Board	35.0	$52.50
Occupational Therapy, Board of Examiners for	130.0	$195.00
Optometry Board	296.5	$444.75
Organic Commodity Commission	12.0	$18.00
Personnel Office, State	35.5	$53.25
Pharmacy, Board of	127.0	$190.50
Podiatry, Board of	10.0	$15.00
Psychologist Examiners, Board of	686.0	$1,029.00
Public Accountancy, Board of	20.5	$30.75
Public Employees Retirement Association	147.0	$220.50
Public Records, Commission of	501.0	$751.50
Public Regulation Commission	2166.5	$3,249.75
Public Safety, Department of	252.5	$378.75
Public Schools Insurance Authority	95.5	$143.25
Racing Commission	277.0	$415.50
Real Estate Appraisers Board	207.0	$310.50
Real Estate Commission	630.0	$945.00
Regulation and Licensing Department	1849.5	$2,785.00
Respiratory Care Advisory Board	88.0	$132.00
Retiree Health Care Authority	31.5	$47.25
Secretary of State	84.0	$126.00
Speech Pathology and Audiology Hearing Aid Dispensing Board	127.5	$191.25
Taxation and Revenue Department	963.0	$1,445.50
Water Quality Control Commission	182.0	$273.00
Workers Compensation Administration	12.0	$18.00
Youth Conservation Corps	10.0	$15.00
Totals: 64 Agencies	**29,129.0**	**$43,694.50**

The estimated number of subscribers is 150. The actual number is proprietary information held by the publisher. But at 150 subscribers at $270 per subscription, the publisher earns $40,500.00 in revenue. Total subscriptions and per-column-inch charges amount to **$84,194.50** in estimated publishing revenue from the Register. Since many of the filing agencies are also subscribers, the total amount to New Mexico State government is not trivial. The NMAC is produced without direct cost to the SRCA; the arrangement is that the publisher recovers the costs through subscriptions to Law on Disk. However, once again, many State agencies are subscribers.

The question becomes, how much would it cost for the SRCA to publish the Register and NMAC. The following estimates probably do not cover all expenses. They do include major elements, such as printing. The estimates also do not take advantage of other possible cost saving measures such as, equipment leasing and subcontracting portions of the printing. A white paper will be published during the coming year to detail just such refinements and present a full analysis of the SRCA publishing the Register and NMAC.

Producing a publication like the Register involves all the elements of a normal printing operation, copier/printer, paper, binding, distribution, etc. The actual printing process is fairly simple and straightforward. Preparing filing for publication and compilation into the NMAC is the most time consuming. Fortunately, in this day of electronic files, existing staff, with the addition of four staff members, can accommodate most of the work. Staff that would be added include at least a systems analyst, a Management Analyst 4, a Management Analyst 3 and a clerical position. Staff would perform all preparation of text, preparation for compilation, conversion to Internet ready text (HTML), maintenance the web site for the register and code and well as the production of the paper versions. In

addition, staff would proof publications, gather statistics and perform all assembling and distribution functions.

In order to start the in-house publication of the register and code publications, equipment and supplies are needed to enable printing and compilation. These break into two basic categories: start-up, one-time expenditures and ongoing expenses.   The start-up expenditures are text preparation software, a copier/printer capable of producing the volumes, and an assembly station. The cost of these items is detailed below.

ONE-TIME, START-UP CAPITAL OUTLAY	
Item	**Cost**
Copier - Xerox Document Center 440	$14,149.00
Publishing Software - Adobe Pagemaker	$499.00
Workstations (4 @ 2,500)	10,000.00
Personal computers with software (4 @ 2,000)	8,000.00
Pronters	4,000.00
Server	5,500.00
2 Folding Tables	$75.98
Stapler - heavy duty	$69.99
Total	**$42,293.97**

ONGOING ANNUAL PRODUCTION COSTS				
Item	**Cost Per Unit**	**Unit Type**	**Units Per Annum**	**Cost Per Annum**
Management Analyst 4				$36,175.36
Management Analyst 3				30,124.64
IS Database Administrator 1				38,559.04
Clerk Specialist				22,980.00
Benefits				31,959.76
Cardstock for covers	$7.99	ream	15	119.85
White paper	$4.49	ream	335	1,504.15
Yellow Paper	$5.99	ream	28	167.72
Staples	$7.29	box	1	7.29
Mailing Envelopes	$20.39	box	37	754.43
Labels	$43.99	box	0.5	22.00
Total				**$162,374.24**

Annualized personnel costs are estimated at mid-point of the ranges for the positions listed. Benefits are computed at 25 percent of salaries. It should be noted, that although the cost of the positions are new to the operation of the State Rules division, much of the work that would be assigned needs to be done under the current operating structure and is currently not being performed. If the start-up costs are amortized over five years, then the annual operating costs for in-house production of the New Mexico Register and the New Mexico Administrative Code is $**170,833.03.** Based on this analysis, the State incurs cost savings of **$86,638.53.**

Although there is a quantifiable cost savings that results from privatized production of the Register and Code, there are qualitative issues that have not yet been addressed and may only be addressed through the addition of staff to the State Rules Division. These issues include: electronic access to the New Mexico Register on the Internet; monthly update of the NMAC; ease of use of electronic versions of published rules for amendment and publication by agencies and other publishers; and, finally and most importantly, control over the format of the NMAC