

COMMISSION OF PUBLIC RECORDS

Access to and preservation of New Mexico's public records

The members of the Commission of Public Records and their designees are:

Stanley M. Hordes , Ph.D., Chair	Historian
The Honorable Rebecca Vigil-Giron	Secretary of State
The Honorable Domingo Martinez	State Auditor
The Honorable Patricia Madrid , represented by Al Lama , Director, Civil Division	Attorney General
Steven R. Beffort , represented by George Marquez , Office of the Secretary	Secretary, General Services Department
Thaddeus P. Bejnar	State Law Librarian
Tom Wilson , Ph.D.	Director, Museum of New Mexico

In 1959 the newly adopted Public Records Act charged the Commission of Public Records with establishing a Records Center in Santa Fe and appointing a State Records Administrator to manage the facility, develop and maintain the State's records management program, and advise the Commission in related matters. The facility created to fulfill the statutory requirement is commonly known as the State Records Center and Archives (SRCA). The agency is frequently also referred to by that name, although in statute it is designated as the Commission of Public Records. L. Elaine Olah State serves as the State Records Administrator, directing a staff of 35 and using a management team approach and a strategic plan to guide the activities of the agency.

The 2001 Management Team

L. Elaine Olah , State Records Administrator	Sandra Jaramillo , Archives and Historical Services Division Director
Judi Hazlett , Deputy State Records Administrator and Administrative Services Division Director	Don Padilla , Records Management Division Director
Paula Flores , Administrative Assistant	John Martinez , Administrative Law Division Director

The agency and its staff protect and preserve New Mexico's public records – records that in turn protect and preserve the rights of its citizens - and contribute to an efficient and open State government. The Commission and management team developed a strategic plan and mission statement to guide the agency during the next five years. As part of that strategic planning process, the agency adopted a vision and mission that focus the strategies adopted in the plan.

The agency's vision: *Access to and preservation of New Mexico's public records.* **Its mission:** *To preserve, protect, and facilitate the use of records that document the rights and history of New Mexicans, the Commission of Public Records oversees the management of those records.*

To accomplish its mission, the Commission of Public Records (CPR) is organized along functional lines into divisions and an adjunct board. The Administrative Services, Administrative Law, Archives and Historical Services, Records Management Divisions, and the New Mexico Historical Records Advisory Board were created.

ADMINISTRATIVE SERVICES DIVISION/AGENCY MANAGEMENT

The Administrative Services Division (ASD) provides support services to the program divisions of the agency. Those services include management, fiscal, personnel, facility management coordination, and information systems. In Fiscal Year (FY) 2001, the ASD had eight full-time equivalents (FTE), including three agency management positions.

ADMINISTRATIVE LAW DIVISION

The Administrative Law Division administers the State Rules Act that governs the official filing of rules developed by State agencies. Rules promulgated by State agencies are intended to support and clarify the laws of New Mexico, and to be valid they must be filed with the CPR and published in the *New Mexico Register*. The Division oversees publication of rules in the *New Mexico Register* and provides access to the current rules of the executive branch through the *New Mexico Administrative Code*, an on-line compilation of those rules. Other regulatory instruments - interstate compacts and county sub-division regulations - must be filed with the CPR in order to be valid and enforceable. These permanent State records can also be accessed through the Division, which had in FY 2001 three FTEs.

ARCHIVES AND HISTORICAL SERVICES DIVISION

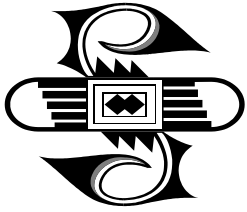
The Archives and Historical Services Division maintains, preserves, and makes available to the public the permanent records of New Mexico. Permanent records are added to archival collections by State agencies or through the donation of acceptable materials. Consultation and research assistance are provided to State agencies, businesses, and the general public. Archival documents are used to support the operations of government agencies, social services, and the judicial system. Archival collections also support scholarly studies, document citizenship and family histories, and help resolve land and water issues. Nine regular and one term FTE staffed this Division in FY 2001.

RECORDS MANAGEMENT DIVISION

Government offices maintain vast amounts of records containing information that their employees must be able to locate quickly. To continue to preserve and provide public access to these records, a systematic records management program has been developed by this Division. Records Management deals with the management and control of State agencies records - their use, storage, and transfer, from their creation to their final disposition. Efficient and economical management involves the description of records in use by State agencies. Records retention and disposition schedules provide this description and become the basic tool of an agency's record and information management program. This Division also offers warehouse management of inactive records as well as records disposition and records management consultation. In FY 2001 the Division was comprised of three bureaus with a total of fourteen and one-half FTE.

NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

The New Mexico Historical Records Advisory Board was established to serve as the local advisory body for reviewing all New Mexico records preservation and access or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission. Since its establishment, the Board has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. The seven members of the Board are appointed by the Governor and include historians, records managers, and archivists representing public and private interests throughout the state and the State Records Administrator who serves as the Chair of the Board. In FY2001 one FTE (supported by a federal grant and general fund) provided staff support for this unit.



EXECUTIVE SUMMARY

Fiscal Year 2001 marked both the beginning of the agency's second five-year strategic planning cycle and the preparations for performance-based budgeting to be implemented in 2003. This summary will highlight some of the work done during 2001 and planned for 2002 and 2003.

In FY 2001 work began on the new five-year strategic plan (2001 – 2005). The focus of the plan is to improve records, information, and archival management practices and skills as well as enhance access to information by all State agencies and the public. Fiscal Year 2001 saw significant progress in achieving the goals set for the year

Governor Johnson, thanks to the efforts of the Archives and Historical Services Division, proclaimed October 7 – 13, 2000, *Archives Week*. The purpose was to bring needed attention to preservation of and access to New Mexico's historical records.

The Commission instituted its *Archives and Records Management Training Program*, which offers low-cost training in archival management techniques and records management principles to State and local government agencies, tribal governments, and their historical record repositories. The program started in November 2000 and in its first year drew 192 participants. In the latter part of the fiscal year, the New Historical Records Advisory Board implemented a scholarship program to provide funding to subsidize the costs of the above training for eligible participants from State, local, and tribal governments and historical records repositories

At its November 2000, the Commission appointed the Electronic Records Task Force to develop a rule on managing the State's electronic records and the agency's electronic record warehouse. The members of the task force include: Thaddeus Bernard, Supreme Court Law Librarian and member of the Commission; Donald Padilla, Records Management Division Director; Sandra Jaramillo, Archives and Historical Services Division Director; Jim O'Neil (since retired) of the Taxation and Revenue Department; Bruce Kingsolver (since transferred to another agency) representing the Office of Technology Management and the Chief Information Officer; David Caldwell from the Secretary of State's Office; and Al Lama representing the Attorney General. A list serve was established and information disseminated to the members - including the draft rule prepared by the Mr. Padilla; however, no meetings were held.

New avenues to access the State's archival records were opened during FY 2001. The National Endowment for the Humanities three-year grant to bring the Online Archives of New Mexico to the Internet was completed. The project, a collaboration between the University of New Mexico and other archival repositories including the State Records Center and Archives, resulted in the encoding of finding aids to archival collections held by the participating entities. Meanwhile, the Archives and Historical Services Division acquired and installed software to automate and consolidate several archival processes, including those that will continue to support the Online Archives and also provide direct access to archival records or their finding aids through the Internet.

State rules and their compilation in the *New Mexico Administrative Code (NMAC)* continued to be of significant concern to the agency during FY 2001. In its effort to complete the *Code*, the agency redirected resources to hire temporary staff to reformat those "pre-NMAC" rules that issuing agencies had yet to convert and to proof work of the third-party publisher in reformatting already compiled rules to the new format adopted in February 2000. Unfortunately, the project exposed major, and seemingly irresolvable, differences with the contractor with respect to compiling the *Code*. It became apparent late in FY 2001 that the Commission would need to sever its relationship with the publisher and find a new way to fulfill its statutory mandate. The solution, facilitated through hiring a division director with skills in pertinent information technology applications, pointed toward bringing the publication and compilation activities, previously outsourced, in-house. The *New Mexico Register* will be tackled first. Upon termination of the

current agreement, the *New Mexico Register* will be published on-line and made available without cost (it is currently available by subscription only). The agency anticipates that access to the official publication of notices of proposed and adopted rules will be significantly improved as a result of this move. Bringing the full compilation of current rules on-line will take more time and significant resources to complete. Completion is expected in January 2002.

Turnover continued to plague the agency. Included in positions that turned over were those listed below.

- Administrative Law Division Director. This position proved difficult to fill. The technical abilities and knowledge of government and records management prescribed contributed to recruitment and retention difficulties. No candidate possessed all the qualifications desired. The position was vacant for four months - having been posted twice (the first list of candidates resulted in no appropriate candidates). The position was ultimately filled, only to be vacated again within six months. Not until April of 2000 was the position again filled – almost a year after the original vacancy.
- State Historian. This position was vacated due to the retirement of State Historian Robert Torrez. The position is crucial to the mission of the agency, and consequently recruitment was carefully planned and advertised. The position remained vacant between January and June.
- Secretary 3. Again, here, the vacancy resulted from a retirement.
- Archivist. This position was vacated twice during the fiscal year. After filling the position in December, the archivist, John Martinez, was hired in April to fill the Administrative Law Division position.

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. It can be met only with an adequately compensated and stable staff. It is the agency's goal in 2002 to reduce turnover through the proper classification and compensation of staff as well as adding other resources that will enable the agency to carry out its mission.

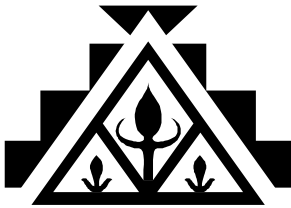
As previously mentioned, some of the agency's efforts will focus on **managing electronic records**. While Commission staff can address standards in a regulation, it will take some in-house expertise in information systems and records management to address the critical issues of preservation and access to the state's records when those records are only maintained in electronic form – which is the intent of the "paperless office." Additional efforts to develop standards and methods for storing and 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 2002.

A **Public Records Locator Service (PRLS)**, it is hoped, can be realized through collaboration with the State Library Division of the Office of Cultural Affairs. The agency's request for \$15,000 in its FY 2002 appropriation (funded) will allow the agency to contract with a consultant to evaluate how the New Mexico State Library's government information locator service, *Find It New Mexico*, could best be used as a platform on which to develop the PRLS. The consultant will assist in the development of a request for proposals. . Federal grants to supplement the \$15,000 were requested to allow the agency to move forward more aggressively in FY 2002 in its efforts to develop PRLS.

In 2002 Commission staff hopes to lay the groundwork for creating an **affiliated archive program**. Several State agencies must 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 the record's long-term preservation can be ensured.

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

STRATEGIC PLAN AND PERFORMANCE MEASURES



The Commission of Public Records (CPR) has operated under a strategic plan since 1996; the strategic plan is the tool used to direct all activities of the agency and is reflected throughout agency operations, down to individual employee training plans and Performance and Development (PAD) plans. Performance is monitored through quarterly reports on established priorities and performance accountability measures. The plan is updated annually, based on progress as demonstrated in the quarterly reports.

The first five-year plan ended in June of 2000. Planning for the second five-year plan began in the spring of 1999 with a two-day planning session attended by the agency's management team and one member of the Commission. The results of that session were compiled into a draft plan for FY2001 – FY2005, which was circulated to all CPR staff for comment. Meetings were then held with each division to discuss the plan. The plan was also forwarded to State agencies, members of the legislature, local governments, historical records repositories, and other individuals and organizations on the agency's various mailing lists. It was also posted to the agency's web page. Finally, after making revisions based on the comments received, the plan was submitted to the Commission for consideration and adopted at the August, 2000 Commission meeting. The central concept running through that plan is the State's need for appropriate *records, information, and archival management*; it is the thread that binds all strategic initiatives and activities.

In mid-April, 2001, the agency held a two-day strategic planning update and performance-based budgeting session to refine the adopted FY2001 – FY2005 strategic plan in light of the experience gained in year one of the plan and to determine the program or programs for performance-based budgeting. The agency's management team and two Commission members participated in the session (both Department of Finance and Administration and Legislative Finance Committee budget analysts were also invited for the second day). The agency's mission statement was revised, strategic initiatives reviewed, and action steps refined. As the discussion progressed, once again it became apparent that all a single program comprised all agency activities - *records, information, and archival management*. It is the same underlying theme recognized two years earlier during the development of the FY2001 – FY2005 plan. Following the session, the management team further refined the wording describing its program and activities and reviewed performance measures in preparation to meet the July 1 reporting requirements under the Accountability in Government Act.

Mission Statement. The agency's mission, as modified at its April 2001 planning session, is as follows.

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

Program Identification. From the mission statement, one program, which encompasses all agency functions, was identified. As discussed earlier, that program is *records, information, and archival management*. The records, information and archival management program is further subdivided into sub-programs (or activities) - Archival Management, New Mexico History, Records and Information Management, Administrative Law, and Management.

Purpose Statement. *The purpose of the records, information and archival management program is to develop and provide tools, methodologies, and services for use by all governmental agencies and historical records repositories so they can effectively create, preserve, protect, and properly dispose of records; facilitate their use and understanding by the public; and protect the interests of the State.*

This section of the annual report provides an overview of the activities pursued in 2001 through program action plans and performance measures.

ARCHIVAL MANAGEMENT 2001 ACTION PLAN

STRATEGIC INITIATIVE #1: INCREASE KNOWLEDGE OF RECORDS, INFORMATION, AND ARCHIVAL MANAGEMENT PRACTICES.

1.1 Publish Records, Information, and Archival Management manuals detailing practices by 2004.

AHSD1.1.A Identify topics, develop the outline, and research and gather data to be used in preparing the archival management volume of the RIAM manual. Outline produced by 2001.

The following topics were identified for consideration in the RIAM manual: appraisal, arrangement and description, preservation, reference, and digital imaging. The development of an outline was deferred until FY02.

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

2.1 Develop a mechanism to effectively manage electronic records.

AHSD2.1.A Research best practices for accessioning permanent electronic records by 6/30/2001.

AHSD2.1.C Serve on task force to develop standards (rule) for managing electronic records through 6/30/2001

The division director was appointed to the Electronic Records Task Force and reviews materials distributed through the list serve created for the Task Force.

2.4 Transfer inactive permanent records into the Archives.

AHSD2.4.A Work with the RMD to transfer permanent records stored in the Records Center and those stored by state agencies to the State Archives by 6/30/2001.

One hundred seventy-one cubic feet and sixty-five maps were transferred into the Archives. Thirty-four cubic feet transferred by the Department of Energy and Minerals for archival review were rejected; the records in the boxes did not match the description on the Request for Disposition form. The AHSD director met with representatives from the State Engineer's Office on November 16, 2000 to discuss the transfer of permanent records into the Archives; however, as of the close of the fiscal year, the Office had not transferred digitized permanent records as anticipated.

AHSD2.4.B Acquire archival boxes and folders to accommodate the expected increase in archival collections received and processed.

The number of archival collections stored in appropriate archival containers increased from 70 to 80 percent. A total of 11,895 acidic boxes and 12,986 folders were replaced with acid-free containers. Volunteers contributed 609 hours toward this effort. Specifications for archival storage containers were prepared, and a Request for Purchase was issued during the month of July. The firm Metal Edge was awarded the contract by State Purchasing. The SRCA fee schedule was modified to include fees for archival boxes and folders, which were ordered and became available for resale in January 2001.

Strategic Initiative #3: Have a comprehensive, authoritative locator service for all public records.

3.1 Provide on-line access to SRCA collections.

AHSD3.1.A Establish an Archives local area network (LAN); import catalog records and finding aids to the previously acquired AHSD network by 8/30/2000.

The Archives LAN, GENCAT, was installed July 11-17 and August 14-21, 2000. The MARC catalog records, encoded finding aids, and the accession, patron registration, and photograph index databases were all successfully migrated onto GENCAT. Staff was trained, and the LAN is fully operational. An NT server was purchased to facilitate Internet access to archival databases and finding aids. Special appropriation funds of \$15,000 were used to acquire the services of a consultant to develop a user-interface for the online Web-GENCAT archival application. A prototype should be ready by August 31, 2001.

AHSD3.1.B Implement Encoded Archival Description for finding aids for documents held in the State Archives through participation in the Online Archive of New Mexico project funded by NEH. 2001

The National Endowment for the Humanities Online Archive of New Mexico (OANM) project was completed in May of 2001. A total of 231 finding aids are currently available online. Fifty-one paper-finding aids were viewed for inclusion and submitted to the project manager for encoding. The final phase of the project consisted of selecting 100 documents and scanning and linking them to finding aids. County Histories from the WPA collection were selected for imaging; 100 pages were scanned according to specifications and are available through the OANM.

AHSD3.1.C Create or update MARC catalog records for all processed collections by 6/30/2001.
The installation of the GENCAT archival software allowed the AHSD to resume creating and updating MARC catalog records. As a result of accretions to archival collections, 71 catalog records were updated and exported onto the Online Computer Library Center (OCLC). Machine Readable Catalog (MARC) records were created for two new collections. One hundred and forty collection catalog records were created in GENCAT and are available through the Archives LAN.

STRATEGIC INITIATIVE #5: ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

5.1 Have an appropriately trained staff as documented by individual training plans and ensured by group training.

AHSD5.1.A Create individualized employee training plans that build needed skill or expertise; identify sources and costs for training; and assure that staff receives training according to plans by 7/1/2000
A training plan for the AHSD was submitted by July 1, 2000. Training provided to archivists and the State Historian included: the Society of American Archivists Annual Conference and Digital Traditional Photo Duplication Workshop; the NAGARA Annual Conference; four AMIGOS workshops – Digital Imaging of Photographs, OCLC Authority File Fundamentals, Serials Cataloging, and Copyrights; an ARMA Certified Records Management workshop; the NM Historical Society Conference; the Society of Southwest Archivists Annual Conference; the Gran Quivira Annual Conference; a course in scanning techniques at the College of Santa Fe; the Digitization Confab II; and the Cultural Collaboration Digitization Conference. Four archivists were also given an orientation to the School of American Research in Santa Fe. Additionally, archivists attended Commission of Public Records- and NMHRAB-sponsored training in Records Management, Electronic Records, Photograph Preservation, and the New Mexico Administrative Code and State Library-sponsored training in Cataloging and Classification as well as an Inspection of Public Records Act seminar conducted by the Office of the Attorney General at the invitation of the Commission of Public Records. Archival support staff attended Governor's Career Conference and an administrative assistant seminar, and management staff participated in performance-based budgeting and civil rights training.

5.2 Identify alternative funding sources to supplement State appropriations and prepare proposals beginning in 2002.

AHSD5.2.A Identify possible funding sources for motion picture film preservation and imaging projects and begin gathering information on staff requirements, scope of work, and funding requirements.
To establish a basis for soliciting funding for film restoration and preservation, a survey to assess the physical condition of the SRCA's Historical Film Collection was conducted during July and August 2000. The results allowed the AHSD to determine the scope of work required to restore and preserve the collection, which consists of 1,108 reels of film, of which 92 percent is 16mm. (NOTE: The SRCA's Motion Picture Film collections were not included in the initial survey.) Two funding sources were identified; however, deadlines for submitting grant proposals had expired. The Division will attempt to meet next year's grant cycle deadlines. The AHSD applied for and was awarded NMHRAB grant funds to purchase archival storage containers for digitized photographs. Funds were used to purchase \$2,000 worth of Mylar sleeves and buffered and non-buffered photograph sleeves. The photographs identified in the grant proposal were sleeved in Mylar, and the project was completed in March.

5.3 Reclassify agency positions by 2005.

AHSD 5.3.A Review, identify, and prepare PCQs for all divisional positions needing reclassification.
A Position Classification Questionnaire was developed for the term Archivist position associated with the imaging project, and Brian Graney was hired in November. In connection with State Personnel's HR2001, the division director participated in the review of all knowledge, skills, abilities and competencies required to perform the duties of an archivist.

ARCHIVAL MANAGEMENT PERFORMANCE MEASURES

Program Description and Baseline Information

The primary function of the archival management program, which is one of the responsibilities of the Archives and Historical Services Division, is to maintain, preserve, and make available to the public and governmental users the

permanent and certain other historically significant records of the State of New Mexico. The following are provided as baseline data for FY01 to establish the size of the collections and any subsequent growth.

Division	Baseline Measure	6/30/99	6/30/00	6/30/01
AHSD	Extent of archival textual collections (linear feet)	16,527.75	17,000	17,440.25
AHSD	Extent of motion picture film collection (no. of reels)	4,646	4,646	4,646
AHSD	Extent of microfilm collections (# of rolls)	2,323	2,323	2,563
AHSD	Extent of map and blueprint collection (no. of items)	5,000	5,000	5,065
AHSD	Extent of photographic collection (no. of photographs)	90,000	90,000	90,000
AHSD	# of reference books	2,000	2,000	2,000
AHSD	# of audio tapes	600	600	600

Performance Measure: *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.

Measurement/Data Collection Method

Data are compiled from monthly and quarterly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	% of staff time - survey and report	E	N/A	N/A	2%
AHSD	Stable vault environment within specifications	Q	77%	96%	97%
AHSD	% of staff time - monitoring vault	E	2%	2%	2%
AHSD	# of at risk documents treated	OP	96	428	49
AHSD	% of staff time - treatment	E	1%	3%	2%
AHSD	Documents reformatted	OP	1,054	4,895	3,409
AHSD	Materials prepared for microfilming	OP	0	0	632
AHSD	% of time - microfilming projects	E	0%	0%	5%
AHSD	Documents prepped for imaging	OP	0	1,937	4,556
AHSD	Documents imaged	OP	0	67	1,864
AHSD	% of staff time - imaging project	E	0%	3%	10%
AHSD	% of collections in appropriate containers	OC	76%	78%	80%
AHSD	Materials filed in acid-free folders	OP	15,326	16,106	12,986
AHSD	Materials boxed in acid-free boxes	OP	1,064.5	1,000	11,895
AHSD	% of staff time - holdings maintenance	E	14%	16%	15%
AHSD	Volunteer hours - holdings maintenance	OP	580	700	609
AHSD	Re-housed collections (folders - linear ft)	OP	1,065	16,106	5,947.5

Performance Measure: *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.

Measurement/Data Collection Method

Data are compiled from monthly and quarterly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	Records accessioned (cu. ft.)	OP	472.25	468	171.75
AHSD	Reels of motion picture film accessioned	OP	None	125	15
AHSD	Public records transferred to archives for review and appraisal (cu. ft.)	OP	549.5	192.5	148
AHSD	Public records rejected for transfer (cu. ft.)	Q	0	0	34
AHSD	Private collections appraised and accessioned (cu. ft.)		32.75	5.15	20
AHSD	Materials de-accessioned, measured in (cu. ft.)		33	8	85
AHSD	Accession database records created		0	0	29
AHSD	Hours spent on entry into accession database	OP	0	0	209.5
AHSD	% of staff time - accessions & appraisal	E	10%	8%	5.5%
AHSD	% of accession records up-to-date	OP	100%	98%	98%

Performance Measure: *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, rehousing 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.

Measurement/Data Collection Method

Data are compiled from monthly and quarterly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	Linear feet processed	OP	207.75	382.1	1,444
AHSD	# of collections processed	OP	9	25	32
AHSD	% of permanent collections unprocessed	Q	22%	19%	16%
AHSD	% of staff time - processing	E	8%	10%	12%
AHSD	# of new catalog records created	OP	0	0	140
AHSD	# of reference books cataloged	OP	363	63	193
AHSD	# of collections cataloged and available online	OP	705	705	708
AHSD	% of staff time spent cataloging	E	5%	7%	9%
AHSD	Finding aids revised	OP	55	101	68
AHSD	Linear feet described in revised finding aid	OP	1,931.75	1,994.75	1,612
AHSD	New finding aids created	OP	20	10	17
AHSD	Linear feet described by new finding aids	OP	442.5	411	385
AHSD	% of staff time - updating finding aids	E	8%	5.5%	5%
AHSD	Guides published	OP	1	0	1
AHSD	Finding aids available on-line		N/A	63	231

Performance Measure: *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.

Measurement/Data Collection Method

Statistics are collected and reported quarterly.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	Orientation to State agencies delivered	OP	N/A	6	9
AHSD	# of employees trained	OC	N/A	115	130

Performance Measure: *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.

Measurement/Data Collection Method

Data on numbers of researchers, telephone calls, correspondence, and e-mail requests are collected through monthly reports. A 15 percent increase in reference requests with the move to the new facility, the On-line Archives of New Mexico project, and the agency Web site is expected.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	# of researchers assisted	OP	5,985	5,813	5,480
AHSD	# telephone, correspondence inquiries	OP	5,762	5,985	5,889
	% of staff resources used	E	20%	10%	
AHSD	# of e-mail inquiries	OP	26	739	489
	% of staff resources used	OP	.5	10%	9%
AHSD	# of on-site request for records	OP	5,050	3,748	6,806
AHSD	# of collections accessed	OP	Not tracked	3,769	4,031
AHSD	# of boxes accessed	OP	Not tracked	Not tracked	892
AHSD	# of folders accessed	OP	Not tracked	Not tracked	1,317
AHSD	# of bound volumes accessed	OP	Not tracked	Not tracked	480
AHSD	# of photographs accessed	OP	Not tracked	Not tracked	2,320
AHSD	# of motion picture films accessed	OP	Not tracked	Not tracked	431
AHSD	# of maps & blueprints accessed	OP	Not tracked	Not tracked	1,066
AHSD	# of microfilm reels accessed	OP	Not tracked	Not tracked	5,335
AHSD	# of reference books accessed	OP	Not tracked	Not tracked	1,778
AHSD	% of staff resources used	E	40%	30%	25%
AHSD	# of web-site hits	OC	Not tracked	Not tracked	19,274
AHSD	Duplicated documents (paper records, photographs, maps, microfilm printouts, etc.)	OP	32,642	33,366	33,067
AHSD	Digital photographs produced for resale	OP	0	0	86
	% of staff resources used	OP	2%	8%	6%
AHSD	# of requests for publication and reproduction reviewed	OP	57	34	57
AHSD	# of commercial use fees applied	OP			0
AHSD	% of staff time - review	E	1%	1%	1%
AHSD	Requests citing Inspection of Public Records	E	51	2	0
AHSD	Access to records denied	OP	12	5	5

Performance Measure: *Outreach, Advocacy and Promotion of Collections and State Archives*

Staff members 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 use through public and educational programs. They also conduct archival management training, develop papers on archival issues, and provide consultations to government agencies on archival management issues.

Measurement/ Data Collection Method

The numbers of conferences attended, oral presentations made, and articles published as well as participation in professional organizations are compiled from monthly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
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Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	Lectures presented	OP	2	3	8
AHSD	Publications - archives articles	OP	12	5	7
AHSD	# of exhibits	OP	10	4	8
AHSD	# of tours	OP	115	25	25
AHSD	% of staff time spent on lectures, and other outreach activities	E	10%	9%	8%
AHSD	Consultations to State agencies	OP	10	45	52
AHSD	Consultations to local gov'ts	OP	Not tracked	Not tracked	15
AHSD	% of staff time – consultation	E	Not tracked	Not tracked	1%

Performance Measure: *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 the Inspection of Public Records Act.

Measurement/Data Collection Method

The numbers of conferences attended, oral presentations made, articles published, and participation in professional organizations are compiled from monthly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	# of lectures attended	OP	12	19	7
AHSD	# of professional articles published	OP	12	3	
AHSD	# of classes attended	OP	7	17	33
AHSD	# of workshops presented by staff	OP	1	3	6
AHSD	# of workshops attended by staff		9	13	29
AHSD	# of classes presented by staff	OP	Not tracked	Not tracked	6
AHSD	# of In-house training sessions presented	OP	Not tracked	Not tracked	6
AHSD	# of In-house training sessions attended	OP	Not tracked	Not tracked	34
AHSD	# of professional conferences attended	OP	8	12	15
AHSD	# of archival staff certified	OP	1	3	2
AHSD	% of staff time – developing KSAs	E	13%	19%	15%
AHSD	# of research papers presented	OP	5	8	7
AHSD	# of active professional memberships	OP	8	6	8

NEW MEXICO HISTORY 2001 ACTION PLAN

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

1.3 Develop RIAM skills in New Mexico public and historical records repositories.

HRAB1.3B Host RIAM conference for public and historical records repositories; conduct a survey of participants to determine training needs.

A grant proposal submitted to the National Historic Publications and Records Commission (NHPRC) in May 2000, for phase 2 implementation of the NMHRAB strategic plan, included a commitment to host a RIAM conference in the summer of 2002. The grant, however, was not funded.

HRAB 1.3D Deliver training modules annually.

Workshops in Photograph Preservation, Automating Finding Aids, Collection Survey and Appraisal, Arrangement and Description were developed and presented by archival staff and contract teachers. Records Management staff organized courses in Records Management and Electronic Records, the latter of which, for the second year, not only included a component on New Mexico's experience but also a portion taught by a nationally recognized expert in the management of electronic records.

STRATEGIC INITIATIVE #5: ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

5.2 Identify alternative funding sources to supplement State appropriations and prepare proposals beginning in 2002.

HRAB 5.2A Obtain external funding support for the NM Historical Records Grant Program and other projects outlined in the 1998 strategic plan.

Contingency funds of \$25,000 released by the NHPRC, with the matching \$25,000 appropriated by the NM legislature, provided the money for re-grants awarded during FY01.

HRAB 5.2B Apply for NHPRC grants to support the Board and its projects.

A grant proposal submitted to the NHPRC in September, 2000, for administrative support to the NMHRAB provided funding for 24 months, spread over FY01 – FY03; however, only a portion the amount requested was awarded – a total of \$14,800, distributed one quarter each to FY01 and FY03 and one-half to FY02.

STRATEGIC INITIATIVE #6: ADVOCATE UNDERSTANDING AND APPRECIATION OF NEW MEXICO HISTORY.

6.1 Implement 80% of the NMHRAB Strategic Plan by 2005.

HRAB 6.1A Complete activities set in the annual Board work plan to carry out the objectives of its strategic plan.

The Board's work plan is based on a calendar year. As of December 31, 2000, the 2000 Work Plan was 80 percent complete, with the most significant activities centering on promoting preservation of and access to historical records. Board members and staff made presentations to the Local Government Division's Budget Workshop; promoted the historical records grant program to the Five-state American Indian Project for Tribal Libraries, Archives, and Museums; manned information booths at meetings of the Municipal League and the Association of Counties; delivered presentations on and provided materials about records management to the County Clerks Association; prepared two grant proposals; and updated the Directory of Historical Records Repositories. The 2001 Work Plan, adopted in March Of 2001, was 49 percent complete as of June 30, 2001.

HRAB 6.1B Develop partnerships to carry out the objectives of the strategic plan.

As of September, 2000, the Board resolved to sustain working relationships with: the Historical Society of NM; the State Historic Preservation Division; the NM Library Association; the NM Association of Counties; the DFA Local Government Division; and the Municipal League of NM. A new partnership was forged with the Five-state American Indian Project for Tribal Libraries, Archives, and Museums that will provide opportunity for Board contribution to the NM segment of the development plan. Sandra Jaramillo and Erica Garcia conducted presentations, respectively, on developing collection policies and NMHRAB services to the Five-state American Indian Library's Annual Conference, which was held in Santa Fe in June of 2001.

6.2 Develop outreach programs that improve public understanding of NM History.

AHSD6.2.A Expand the NM History classes, three of these outside of Santa Fe (South, East and West).

The State Historian, Robert Torrez, retired December 22, 2001 but, prior to his retirement, presented two History of New Mexico classes - one in Albuquerque, July 25-27, 2000 and another in Taos, October 24-25, 2000. There were approximately 100 participants, with over 99 percent of the class evaluations extremely favorable. A search to fill the vacancy was initiated during the month of December, 2000; however, the position was not filled until June 2001 and, consequently, no classes were conducted during the second half of the FY.

AHSD6.2.B Develop curriculum and identify trainers for a NM Government class.

A half-day course outline for the NM Government class was presented to the SRCA Administrator for review; however, it was recommended that the class be expanded to one full day. This project was placed on hold until a new State Historian, who will be responsible for the project, was hired.

AHSD6.2.D Participate in Historical Society of NM annual conference to promote SRCA collections. *The Historical Society of New Mexico Annual Conference was held on April 5-7, 2001. Archivists submitted session proposals to the Program Committee, January 1, 2001. Five archivists presented papers on the following collections: Governor Bruce King Papers, Second Term; Department of Corrections Inmate Records; Attorney General Collection; Archdiocese of Santa Fe Microfilm Collection; and SRCA Map Collection. An exhibit demonstrating the Photograph Imaging Project, which included photographs from the Department of Tourism Collection, was also held at the Conference.*

AHSD6.2.E Develop "Guest" NM History lecture series. 2001
The Guest Lecture series was implemented during September 2000. Three lectures were conducted: Dr. Arturo Madrid, On Heretics and Interlopers: The Hispano Protestants of New Mexico, A Family Memoir; Dr. Isabelle Medina Sandoval, Nuestras Mujeres, Wondrous Women of 1743-1767 New Mexico; and Dr. David E. Stuart, Anasazi America, lecture and book signing, November 11, 2000. A total of sixty people attended the lectures.

NEW MEXICO HISTORY PERFORMANCE MEASURES

Performance Measure: 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.

Measurement/Data Collection Method

Training sessions available are posted on the agency web page and are reported in statistical reports. Publications are tracked and reported by archivists.

Division	Performance Measure	Type	FY99	FY00	FY01
NMHRAB	Presentations	OP	3	6	5
NMHRAB	People attending	OC	100	195	201
	Consultation				
NMHRAB	Private non- profit historical record repositories	OP	Not tracked	22	12
NMHRAB	State repositories	OP	Not tracked	2	8
NMHRAB	Local government repositories	OP	Not tracked	8	7
NMHRAB	Historical records preservation and access workshops:				
NMHRAB	# scheduled/delivered	OP	2	6	6
NMHRAB	# of participants	OP	33	250	87
NMHRAB	Requested training	OP	1	0	0
NMHRAB	# of participants	OP	60	0	N/A
NMHRAB	Re-grant workshops	OP	2	9	0
NMHRAB	# of participants	OP	50	113	N/A

Performance Measure: 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 given 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.

Measurement/Data Collection Method

Information on the NMHRAB's strategic plan is captured in statistical reports and reported to the Board (reflected in the minutes). Data on the number of outreach programs and workshops are compiled from monthly reports.

Division	Performance Measure	Type	FY99	FY00	FY01
NMHRAB	Implement Strategic Plan (% complete)	OC	20%	40%	20%
NMHRAB	Plan/Update issued	OC		-	

Division	Performance Measure	Type	FY99	FY00	FY01
NMHRAB	Work plan initial plan adopted 1/99 (% complete)	OC	25%	75%	75%
NMHRAB	NHPRC grant	OC	40%	80%	100%
NMHRAB	Promotional spots for NHPRC	OP	2	4	10
NMHRAB	Grants received and reviewed	OP	32	16	12
NMHRAB	Grants awarded	OP	1999 - 16	2000 - 15	2001- 18
NMHRAB	Grants completed	Q	N/A	1999 - 100%	2000 - 93.3%
NMHRAB	Grant objectives met	Q	N/A	85%	94%
NMHRAB	% of grant funds utilized	E	1999 - enc.	1999 - 84.6%	2000 - 84.9%
AHSD	# of NM History classes taught	OP	2	6	5
AHSD	# of participants	OC	80	275	140
AHSD	# of NM Government class taught	OP	N/A	0	0
AHSD	# of participants	OC	N/A	0	0
AHSD	% - time preparing for classes	E	Not tracked	Not tracked	20%
AHSD	# of articles published by State Historian	OP	12	33	6
AHSD	# of lectures to public organizations by State Historian	OP	21	30	6
AHSD	% time - preparing lectures & writing articles	E	Not tracked	Not tracked	4%
AHSD	# of research papers presented by the State Historian	OP	5	8	3
AHSD	% time spent researching and writing papers	E	10%	15%	6%

Performance Measure: *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 (CPRC) demonstrate the agency's concern and active participation in promoting and preserving New Mexico history.

Measurement/Data Collection Method

Statistics regarding publication of "The Blue Book," historic properties reviewed, and historical markers' text written are compiled in the Archives and Historical Services Division's monthly reports. Newspaper clippings identify historical events as they occur.

Division	Performance Measure	Type	FY99	FY00	FY01
AHSD	Historical review for Blue Book	E	N/A	12/31/99	N/A
AHSD	Articles identified, reviewed and clipped	OP	705	717	726
AHSD	Text prepared for Historical markers	OP	8	2	2
AHSD	# of nominations to Historical Register reviewed	OP	20	40	17
AHSD	% of time spent on CPRC	E	15%	12.5%	5%
AHSD	# of consultations to State agencies	OP	130	199	25
AHSD	# of consultations to local gov't	OP	Not tracked	Not tracked	0
AHSD	% of Historian's time spent on consultation	OP	Not tracked	Not tracked	12%

RECORDS MANAGEMENT 2001 ACTION PLAN

STRATEGIC INITIATIVE #1: INCREASE KNOWLEDGE OF RECORDS, INFORMATION, AND ARCHIVAL MANAGEMENT PRACTICES

1.1 Publish Records, Information, and Archival Management manuals detailing practices by 2004.

RMD1.1.A Identify topics, develop the outline, and research and gather data to be used in preparing the records management volume of the RIAM manual

The records and information management topics to be included in the manual were identified, and an outline was developed with eight parts, covering the various elements of records and information management, including records retention and disposition schedules, records creation and control, and machine readable records media. All definitions and approximately ten percent of the text were incorporated into the draft. The objectives of the records management volume are to provide comprehensive records and information management information for agencies of the legislative, judicial, and executive branches and to encourage State agencies to act responsibly in creating, maintaining, preserving, and disposing of New Mexico's public records.

1.2 Publish brochures about Records, Information, and Archival Management (RIAM) annually.

RMD1.2.A Identify records management topics to be outlined in brochures, design, edit and publish.

The series of brochures on various topics such as record storage, record disposition, current microphotography standards were proposed and were under discussion within the Division at fiscal yearend. Although most work was in the development stage, one brochure on quick information for records liaisons appointed to work with SRCA was developed.

1.3 Develop Records, Information, and Archival Management skills in New Mexico public and historical records repositories.

On March 3, 2001 the director of the Records Management Division presented a workshop on records appraisal. Since appraisal is undertaken at many different stages during the life of a record, those attending were from varied backgrounds and included records creators, records managers, and county historical society staff. The presentation provided a guide to the definition of appraisal and an approach to appraising the records of an institution or agency. Included in the presentation were an appraisal process, record values, and tips on appraising record media. Although well received, only four people attended the workshop.

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

2.1 Develop a mechanism to effectively manage electronic records.

RMD2.1.A Research best practices and prepare recommendations for managing electronic records.

Research and data gathering on the management of electronic records were nearly complete at yearend. A rule on the management of electronic records on personal computers (hard drives), network computers, and e-mail was drafted. The Commission established an Electronic Records Advisory Committee and appointed its members, which include representatives of the following agencies: Office of the Attorney General; Office of the Secretary of State; New Mexico Information Technology Management Office; General Services Department; Information Services Division; Taxation and Revenue Department; State Library; and NM Environment Department. Given his involvement in the development of the electronic records standards, Commission member Taddeus Bernard was appointed to represent the Commission of Public Records itself and also to serve as chairman in order to reinforce the importance of the Committee's work. Donald Padilla, Director of the Records Management Division, and Sandra Jaramillo, Director of the Archives and Historical Services Division, were also appointed to the Committee.

RMD2.1.B Develop staff expertise in the managing electronic records. 2001-2003

Staff is encouraged to read materials related to the management of electronic records. Professional journals that the agency subscribes to, such as the Information Management Journal, Infopro, and E-doc, provided these resources, and the Records Analysis bureau chief identified selected readings he felt especially useful. Three records management staff attended the international ARMA conference in October, where some of the workshops attended were specifically designed for librarians, archivists, and records managers who wanted to deepen their understanding of the terms, acronyms, and concepts that arise when documents are stored, preserved, transmitted, presented, and printed in digital form. Techniques for making documents easy to find while reducing indexing costs were also covered. Additionally, staff attended workshops presented by the local Rio Grande Chapter of ARMA, some of which dealt with web page design, electronic records management, and project management.

2.2 Promulgate standards for, and identify records requiring media migration or regeneration.

RMD2.2.A Research and gather data on public records on electronic/magnetic media with long term and/or permanent retention.

The Agency Analysis Bureau began identification of those records being produced or maintained on electronic/magnetic media and having a permanent retention. At the end of the year only those records series in electronic media that were surveyed in the record scheduling process over the last five years were captured or identified. Alternate methods for identifying these records were being considered, and work will continue into the new fiscal year.

RMD2.2.B Develop expertise in media migration and regeneration.

Information on media migration and regeneration was sought through the Internet, professional journals, and workshops and sessions being offered by professional organizations such as ARMA and AIIM. Workshops attended at the ARMA 2000 International Conference included presentations that provided a strategic overview of the leading-edge technologies and trends that are changing business, information, and society. These presentations provided insight into coming developments in information technology, computers, virtual reality, and the Internet, and how one can prepare to meet the challenges of the future. Staff knowledge and skill were further enhanced through selected readings in professional journals dedicated to the management of electronic records and information.

2.3 Ensure that record retention and disposition schedules (RRDS) items are no older than five years or reviewed on a five-year schedule.

RMD2.3.C Schedules will be current (items will be no older than five years old or will have been reviewed within the previous five years) so that schedules will have been reviewed: 20% - 2001.

At the end of FY01, 45 percent, or 42 of 94 RRDS, were current. A small staff with high turnover limited the number of schedules that could be reviewed. Improved methods for identifying and tracking RRDS that contain record series items older than five years or that have not been modified or reviewed in five years or more were being studied. A database was developed to identify the date of activity for record series contained in the RRDS. A survey process that would allow individual agencies to assess their own schedules was also under consideration in an effort to bring more schedules current and foster responsible records management practices in agencies.

2.4 Transfer inactive permanent records into the Archives.

RMD2.4.A Develop mechanism, together with AHSD, for transferring permanent records in Records Center and those stored by state agencies into the State Archives by 06/30/2001.

A test agency was used to develop procedures for transferring permanent records already in storage at the SRCA to the Archives. By using the Office of the Secretary of State as the test agency, the Agency Analysis Bureau was able to create workflow and paper-flow charts that will be used for creating procedures for the transfer to Archives of permanent records located both at SRCA and at the custodial agency. The Agency Analysis Bureau also developed a draft of procedures for transferring permanent records housed in the Records Center to the Archives. Records can now be identified through the existing inventory system.

2.5 Establish an affiliated archive or off-site storage program by 2005.

RMD2.5.A Develop storage survey to distribute to all State agencies maintaining inactive storage in locations other than SRCA; conduct surveys, analyze responses, and produce final status report. 2001-2002

Methods for identifying and surveying agencies that store off-site at locations other than the SRCA were being developed at yearend.

2.8. Promulgate a rule for agency record-recovery plans.

RMD2.8.A Research and gather data and draft a rule on record recovery.

Research through the Internet and through professional journals began during FY01, but no draft was prepared.

2.9 Ensure compliance with Commission-issued standards and State laws. 2003

RMD2.9.A Gather data and research current level of compliance with records management standards issued as regulations by the Commission of Public Records. 2001

Although the most effective methods to gather reliable data were discussed in general, implementation of this action step required resources beyond those available in FY01 and had to be deferred.

STRATEGIC INITIATIVE #4: IMPROVE EFFICIENCY AND ACCOUNTABILITY IN STATE GOVERNMENT THROUGH RIAM.

4.1 Collaborate with the CIO on standards for electronic records and record keeping systems.

RMD4.1A The CIO (Information Technology Management Office) was contacted and provided a draft of an SRCA rule on the management of electronic records. A representative of the CIO's office was also appointed to the Electronic

Records Task Force and was sent related materials for review, but no feedback was received either on the draft rule or the Task Force materials as of yearend. For the second year, the CIO was also invited to participate on a panel in the SRCA-sponsored Electronic Records workshop, and this year he did send a representative. In order to continue development of the standards, staff from the Records Management Division planned to meet with staff from Archives to discuss permanent records on electronic media and the issues surrounding their transfer to Archives. One item to be discussed will be meta-data or meta-tagging of electronic records. Discussions with staff of the State Library (Government Publications Section) about permanent records and their meta-tagging were on going, and Library staff has offered information and assistance in the development of the standards.

STRATEGIC INITIATIVE #5: ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

5.1 Have an appropriately trained staff as documented by individual training plans and ensured by group training.

RMD5.1.A Create individualized employee training plans that build needed skill or expertise; identify sources and costs for training; and assure that staff receives training according to plans. 2001 – 2005
Individual training plans for the current fiscal year were developed and filed with the human resources office. These plans were periodically reviewed to assess if the needed skills were being addressed. Staff received training provided through local and national ARMA conferences and Commission of Public Records workshops, among other sources.

RMD5.1.B Develop a group-training program to improve RIM knowledge and skills or to keep staff abreast of agency policies and national trends and reflect in training plans annually. 2001
Group training was conducted within the Records Management Division. The development and modification of this training was ongoing at yearend. The Records Management Division has extended its training to other divisions of the agency. Staff from this division also seeks the expertise and skills of staff from other divisions.

5.2 Identify alternative funding sources to supplement State appropriations and prepare proposals beginning in 2002.

RMD5.2.A Identify annually projects for possible eligibility for alternate funding.
No projects were identified.

5.3 Reclassify agency positions by 2005.

RMD5.3.A Review, identify, and prepare PCQs for all divisional positions needing reclassification. 2001
The division director participated in the review of positions conducted pursuant to HR 2001, and work on several required PCQs was either completed or underway at the end of the FY.

RECORDS MANAGEMENT PERFORMANCE MEASURES

Program Description and FY01 Baseline Information

The Records Management program is the responsibility of the Records Management Division. The mission of the Commission of Public Records is to manage the life cycle of public records by establishing standards that preserve, protect, provide access to, and facilitate the use of those records. In accord with that mission, Records Management deals with the management and control of the use, storage, and transfer of State agencies' records from their creation to their final disposition. The primary tools of the Division are the Record Retention and Disposition Schedules (RRDS) that document the records created by all State agencies and the minimum retention for each record series. Current RRDS must have been reviewed completely or filed new in the last 5 years.

Division	Baseline Measure	6/30/99	6/30/00	6/30/01
RMD	Total number of RRDS	94	94	94
RMD	Total current RRDS	29	34	42
RMD	Total RRDS that do not meet the standard for "current"	65	60	52
RMD	Record series scheduled	8,230	9,346	9,686
RMD	Total paper records stored – both warehouses (cu. ft.)	67,541	69,930	80,647
RMD	Permanent records in warehouses	4,411	9,631	9,555
RMD	Total master microfilm stored (rolls)	136,905	125,886	158,458

Division	Baseline Measure	6/30/99	6/30/00	6/30/01
RMD	Transitory (finite retention)	89,437	83,185	78,146
RMD	Permanent	47,468		80,312
RMD	Total master optical disks	0	0	
RMD	Combined electronic media (boxes) – non-master	0	17	25

Performance Measure: 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.

Measurement/Data Collection Method

Training sessions available are posted on the agency web page and are reported in statistical reports. Consultations are tracked and reported by agency analysts. Papers in the manual will be published and progress reported.

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Training sessions presented				
RMD	Records Liaison training delivered	OP	15	10	8
RMD	People trained	OC	460	145	219
RMD	Staff time required (hours)	E			159
RMD	Participant satisfaction (Avg 5 point rating)		Not tracked	Not tracked	3.46
RMD	Micrographics seminars	OP	1	0	1
RMD	# participants	OP	4	0	4
RMD	Local gov't training sessions		1	3	2
RMD	People trained	OC	50	66	37
	Consultation				
RMD	Consultation – State agencies	Q	4	11	26
RMD	Staff time required (hours)				18.5
RMD	Consultation – local governments	Q	1	1	
RMD	Staff time required (hours)				15
RMD	RIM information requests and responses				
RMD	State agencies	OP	1,848	979	3,509
RMD	Staff time required (hours)		Not tracked	Not tracked	452
RMD	Local gov't	OP	319	191	625
RMD	Staff time required (hours)		Not tracked	Not tracked	334
RMD	Training attended				
RMD	# of employees participating		Not tracked	Not tracked	30
RMD	# of sessions		Not tracked	21	53
RMD	Staff time required		Not tracked	Not tracked	298 hrs
RMD	Average cost per employee participating		Not tracked	Not tracked	\$327.00
RMD	# professional memberships	OP	3	5	5
RMD	# professional conferences attended	OP	1	3	6
RMD	Professional participation (special committees, organizations, etc.)				
RMD	# of committees	OC	3	4	5
RMD	Staff time required	OC	Not tracked	Not tracked	243 hrs.
RMD	RIM manual				
RMD	% of manual completed	OP	N/A	N/A	10%
RMD	Staff time required	OP	N/A	N/A	15 hrs.

Performance Measure: *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).

Measurement/Data Collection Method

The Records Survey of records created and maintained by State agencies and the Program Study are by-products of developing the RRDS. Together these are presented to management to document the records of the agency and recommend action for improvements to the agency's records management program. The records of the RRDS are entered into the automated records management system after they are adopted by the Commission of Public Records and filed as a regulation. The statistics are reported in Division reports.

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Agency programs completely reviewed	OC	6	6	12
RMD	Agency programs partially reviewed	OC	8	1	25
RMD	# records series surveyed annually	OP	1,145	1,193	2,981
RMD	# records series scheduled annually	OP	126	1,095	595
RMD	# existing records series modified annually	OP			633
RMD	# new permanent records series identified annually	OP	10	156	652
RMD	# electronic records/systems scheduled		17	7	6
RMD	Staff time - RRDS development (hours)		Not tracked	Not tracked	673
RMD	RRDS filed annually	OP	11	11	9
RMD	Complete RRDS		6	5	4
RMD	Modifications to RRDS		8	1	5

Performance Measure: *Efficient storage of 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.

Measurement/Data Collection Method

An automated inventory of all records stored in the Santa Fe and Albuquerque Records Centers identifies records accepted into storage, records withdrawn from storage, records returned into storage, and records destroyed. Storage tickets and requests to destroy records or transfer records are reported on Records Management Division reports.

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Storage processing				
RMD	Analyst - # storage tickets processed		12,844	9,021	11,667
RMD	Analyst- % within 48 hrs FY99 and FY00; within 16 hrs FY01		100%	100%	100%
RMD	Agency Analysis staff time required (hours)		Not tracked	Not tracked	394
RMD	Records Center - # storage tickets processed and accepted for storage	OP	11,014	8,938	9,963
RMD	Records Center - % within 48 hrs FY99 and FY00; within 24 hrs FY01.	E	100%	100%	95%
RMD	Records Center staff time required (hours)	OP	Not tracked	Not tracked	1,038
RMD	Boxes located onto shelves within 5 days of receipt	E	100%	100%	
RMD	Lost files	Q	None	None	None
RMD	Records withdrawn (pulled-filed)	OP	9,181	7,826	7,625

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Within 24 hours				95%
RMD	Records re-filed	OP	6,911	4,071	5,795
RMD	Within 48 hours		Not tracked	Not tracked	80%
RMD	Staff time required (hours)		Not tracked	Not tracked	2,301
RMD	Microfilm accepted for storage	OP	9,352	6,055	7,179

Performance Measure: *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.

Measurement/Data Collection Method

System reviews are documented in writing and sent, with recommendations for approval or disapproval, to management; formal approval or disapproval is made in writing. System inspections are documented by formal report, and production of legible and legal output (film, computer output microfilm, and electronic images) by State agencies and district courts is tracked on monthly statistical reports. Preservation microfilm produced is tracked in monthly statistics, and an inventory of masters is tracked on the GAIN Records Management Inventory System.

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Micrographics Services				
RMD	Microfilm inspected	OP	6,270	4,065	2,584
RMD	Master media from electronic imaging systems inspected	OP	N/A	None	16
RMD	Staff time required for inspections		Not tracked	Not tracked	217 hrs
RMD	Inspections on schedule		Not tracked	99%	99%
RMD	Archival records filmed				
RMD	Filming – archival records (rolls)	OP	12	0	15
RMD	Filming - # rolls produced per wk.	OP	2	0	0.3
RMD	Staff time required for filming	OP	Not tracked	Not tracked	107 hrs.
RMD	Filming on schedule	E	0%	Not tracked	0%
RMD	# of rolls of stored film duplicated	OP	1,088	1,030	2,170
RMD	Staff time required	OP	Not tracked	Not tracked	185 hrs.
RMD	# of Rolls of microfilm processed	OP	99	91	70
RMD	Staff time required	OP	Not tracked	Not tracked	12 hrs.
RMD	Microform Systems				
RMD	# New systems or modifications submitted for review	OP	7	2	1
RMD	# Existing systems identified as not approved	OP	Not Tracked	25	26
RMD	# New systems or modifications approved	OP	7	2	3
RMD	# Existing approved	OP		1	5
RMD	Reviewed within 30 days of receipt	E	100%	100%	100%
RMD	Electronic Imaging Systems				
RMD	# New systems or modifications reviewed	OP	7	2	3
RMD	# Existing systems identified as not approved	OP	14	7	4
RMD	# New systems or modifications approved	OP	4	3	3
RMD	# Existing approved	OP	0	2	2
RMD	Staff time required	OP	Not tracked	Not tracked	21 hrs.
RMD	Reviewed within 30 days of receipt	E	0	100%	0

Performance Measure: *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.

Measurement/Data Collection Method

The total cubic feet accessioned are compiled from Division monthly reports. Total cubic feet transferred from the warehouse to Archives as authorized by order of the Administrator are recorded in the records inventory system (GAIN). Notices of destruction from counties are authorized by the Administrator and reported monthly. The number of tickets reviewed is recorded in monthly statistical reports.

Division	Performance Measure	Type	FY99	FY00	FY01
RMD	Disposition of records				
RMD	Total notices and requests for destruction reviewed	OP	403	441	634
RMD	# requests for destruction (State agencies – not at SRCA)		Not tracked	Not tracked	Not available
RMD	# cubic ft destroyed		Not tracked	Not tracked	4,466
RMD	Processed on time	E	Not tracked	Not tracked	100%
RMD	# local gov't notices of destruction processed	OC	Not tracked	Not tracked	51
RMD	# cubic ft. of records purged from warehouse	OP	5,841	6,607	3,468
RMD	SRCA located destruction – on time	E	100%	0%	AVG: 64.3 days late
RMD	# cubic ft. records delivered for destruction	OP	8,951	10,274	6,080
RMD	# cubic ft. records destroyed by custodian	OP	3,393	4,690	1,151
RMD	# microfilm units destroyed	OP	2,940	13,596	7,207
RMD	# cubic ft. records transferred to Archives	OC	415	80	326
RMD	# microform units transferred to Archives	OC	0	0	4
RMD	# records in storage reviewed for disposition	OP	Not tracked	Not tracked	24,736
RMD	Staff time required for disposition (hours)	E	Not tracked	Not tracked	579
RMD	Paper records destroyed (cu. ft.)	OP	18,185	21,571	9,544

ADMINISTRATIVE LAW 2001 ACTION PLAN

STRATEGIC INITIATIVE #1: INCREASE THE KNOWLEDGE OF RECORDS, INFORMATION AND ARCHIVAL MANAGEMENT PRACTICES

1.1 Publish Records, Information, and Archival Management manuals detailing practices for use by State agencies by 2004.

SRD1.1.A Identify topics, develop the outline, and research/gather data to be used in preparing the rules management volume of the RIAM Manual by 06/30/2001

In FY00 the agency developed a New Mexico Administrative Code (NMAC) training manual to use in conjunction with its NMAC training sessions for State agencies. It continued to improve this manual in FY01, and much of the material included can be extracted and modified for use in selected portions of the rules management volume. Other work continued on this action step, and, as of the end of the second quarter, the Division had begun identifying topics and documenting processing. Process charting was 30 percent completed, and client-staff interfaces were being identified by process. From these, client instructions were to be developed for publishing. However, with the resignation of the director at the end of January, work halted until a replacement could be hired. The agency was unable to hire a new division director until April 16. In May, the probability of ending the publishing agreement with the Compilation Commission became apparent; however, as of the end of June, no definitive action had been taken. Should the

agreement be terminated, the SRCA will take over publication of the NM Register and the NMAC, which will add new processes that will need to be included in the rules management volume.

1.2 Publish brochures about Records, Information and Archival Management or specific questions increasingly each year.

SRD1.2.A Identify topics needing clarification or outreach.

Again, as of the end of the second quarter, topics were being identified through the requests coming into the Rules Division and the types of questions being asked. Two primary topics were emerging - the anatomy of a rule and electronic access to the full Administrative Code. Once again, however, the departure of the division director halted progress. At the end of the fourth quarter, with the probability of compiling the NMAC in-house, it was apparent that the most useful brochure would be one targeted toward electronic access to the Administrative Code.

1.3 Conduct targeted or expanded training for state government on a regular basis.

SRD1.3.A Identify training needs, shortfalls or clarifications of the rules management-training program, modify, deliver and assess annually beginning in 2001

As of June, 2001, the NMAC training had been conducted monthly for approximately the preceding 14 months in order to offer filing agencies more opportunities to send employees involved in the rule-making and filing processes. Although the SRCA attempted to provide more precise descriptions of the training, those attending were not always those who would most benefit. However, evaluations of most recent training session were extremely positive. Additionally, some agencies expressed an interest in training sessions addressing the broader topic of rule-making – legal parameters, how to draft, how to conduct public hearings, etc. The SRCA intends to explore development of such a class in conjunction with the Attorney General's Office and perhaps some of the more experienced rule-making agencies. At the end of the fourth quarter, the SRCA continued to provide monthly NMAC training sessions and still planned to offer a course on rule making in late FY02 or early FY03.

1.5 Publish white papers in Records, Information, and Archival Management to explore issues and develop recommendations for best practices.

SRD1.5.A Identify and establish a schedule for publication of white papers on rules management; research and write papers as scheduled.

The white paper on electronic rules filing, which was due by June 30, 2001, was delayed due to the time required to fill the vacancy in the Rules Division directorship. Work on the paper, which is intended to provide the basis for implementation of electronic rule filing, will be rescheduled in FY02.

STRATEGIC INITIATIVE #4: HAVE A COMPREHENSIVE, AUTHORITATIVE LOCATOR SERVICE FOR ALL PUBLIC RECORDS.

3.3 Guarantee the integrity of NMAC and certify under the legal acceptance guideline.

SRD3.3.A Resolve concerns of the NMAC publisher and the NM Compilation Commission about NMAC by July 1, 2002, including integrated rules and proofing and NMAC structure.

As of the end of the FY, serious, and seemingly irresolvable, issues remained with the Compilation Commission and the publisher, although, because communications were routed through the director of the Compilation Commission, it was difficult to determine where the problems originated. The restructuring project was not on time. The SRCA was unable to secure a firm schedule for completion, and a myriad of other problems existed. Only eight of the 22 titles had been returned from the publisher, and most had serious formatting and content problems. Further, the director of the Compilation Commission decided to ignore a number of the style and formatting requirements set forth in administrative law and impose his own. The result, if allowed to continue, would be that agencies would lack easily usable electronic copies of their converted rules. At the end of the fourth quarter, the SRCA moved toward ending the publication agreement with the Compilation Commission and bringing the restructuring and the publication in-house. The agency created a team of temporary employees to reformat and renumber rules. The goal was to reformat all rules to the NMAC 2 style by mid-FY02. Should the publication agreement be terminated, the SRCA will make the NMAC available through the agency's web site.

SRD3.3.B Establish electronic filing of rules with encryption, decryption, and signature authentication based on comments received on white paper (SRD1.4.A).

Once again, the white paper, which was to provide the basis for an electronic rules-filing system, was due June 30, 2001 but was delayed due to the vacancy in the Rules Division directorship. The SRCA was also waiting to hear from the Chief

Information Officer regarding standards for encryption, decryption, and signature authentication. The CIO's findings will determine how State government, as a whole, will proceed with electronic record issues requiring authentication.

SRD3.3C Develop tandem proofing of changes to the NMAC and certify the accuracy of the Code.

The Rules Division staff (including temporary employees) was directed to use only tandem proofing in proofing changes to the NMAC. The SRCA closed the Rules Division for filing and consultations from 8:00 am to 10:00 am each day except for the day preceding and the day of the filing deadline to permit the SRD staff to devote that time to tandem proofing of the NM Register and the NMAC.

STRATEGIC INITIATIVE #5: ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

5.1 Have an appropriately trained staff as documented by individual training plans and ensured by group training.

SRD5.1.A Create individualized employee training plans that build needed skill or expertise; identify sources and costs for training; and assure that staff receives training according to plans.

New division training plans were submitted, focusing on developing Access and other software skills needed in the Division.

SRD5.1.B Present in-house group training commensurate to changes in the rule-filing environment, scheduled annually in the division-training plan. 2001-2005

No in-house training per se was scheduled as of yearend; however, SRCA employees involved with the rule-making process attended the regularly scheduled NMAC training. The Rules Division is creating new processes for the in-house production of the NM Register and the NMAC, should that occur. Once in place, all Rules Division staff will be trained on them.

ADMINISTRATIVE LAW PERFORMANCE MEASURES

Program Description and FY01 Baseline Information

The Rules Management program has the responsibility of the Administrative Law Division. The mission of the Commission of Public Records is to manage the life cycle of public records by establishing standards that preserve, protect, provide access to, and facilitate the use of those records. In accord with that mission, Rules Management deals with the management of agency regulations, interstate compacts and county subdivision regulations filed with the "Records Center" or "State Records Administrator" in accordance with New Mexico statute.

Division	Baseline Measure	6/30/99	6/30/00	6/30/01
ALD	Current primary rules	3,066	3,017	3,047
ALD	Historical rules/paragraphs	48,843	16,275	17,909
ALD	Current Interstate Compacts	Not tracked	Not tracked	47
ALD	Historical Interstate Compacts	Not tracked	Not tracked	399
ALD	Current Subdivision Regulations	Not tracked	Not tracked	75
ALD	Historical Subdivision Regulations	Not tracked	Not tracked	110
ALD	Issues of the NM Register Published Annually	24	24	24
ALD	% of NMAC Complete (Current rules available in NMAC/Current rules) at 6/30	Not tracked	Not tracked	79%

Performance Measure: *Complete an 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 are measured by their volume and the percentage of material proofed (when migrated to alternate format).

Measurement/ Data Collection Method

Rules filed and published annually, current agency rules, and rules converted and compiled into the *NMAC* are collected from logs and databases by staff and from databases by a contractor. Likewise, Interstate compacts and subdivision regulations are logged and maintained in databases.

Division	Performance Measure	Type	FY99	FY00	FY01
ALD	Current rule filings-sections affected	Q	9,205	11,125	4,034*
ALD	Rules filed and published annually	OP	714	824	1,049
ALD	% of CD proofed to paper	E	58%	68%	70%
ALD	% of paper rules proofed to Register	E	100%	100%	100%
ALD	Publications filed/yr.	OP	1,261	1,020	1,635
ALD	Sub-division regulations filed/yr.	OP	13	14	5
ALD	Interstate Compacts filed/yr.	OP	42	17	0

*Filing data were tracked at a different level in FY99 and FY00. Amendments then could be made at below the section level; now they must be at least the section level.

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 the *NM Register* and the *NMAC* are all measures of efficient rule-filing process.

Measurement/Data Collection Method

Statistics are collected monthly; efficiency measures calculated quarterly.

Division	Performance Measure	Type	FY99	FY00	FY01
ALD	Rules filed within 24 hours (%)	E	100%	100%	100%
ALD	Average filing time	E	1 min.	1.1 min.	1 min
ALD	SRCA staff	E	60 min.	69 min.	25 min
ALD	Rule-filing agency staff (30 min travel)	E	90 min.	75 min.	85 min
ALD	Average review time/rule	E	not tracked	43.5 min.	45 min

Performance Measure: *Wide access to the instruments filed with the State Records Center & 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.

Measurement/Data Collection Method

Statistics such as rules filed and published annually, current agency rules, rules converted to the *NMAC* style and format, and the number of subscriptions and subscribers to the *NM Register* and the *NMAC* are collected from logs and databases by staff and from databases by a contractor.

Division	Performance Measure	Type	FY99	FY00	FY01
ALD	% rules/paragraphs available on CD*	OC	72%	77.2%	79%
ALD	% rules/paragraphs converted to NMAC*	OP	87%	75.7%*	100%
ALD	% rules in transition to NMAC	OC	N/A	22.67%	22%
	% of rules yet to transition to NMAC	OC	N/A	7.38%	0
ALD	Rules database updated w/in 5 days	E	100%	100%	100%
ALD	Photocopies of rules (pages)	OP	54,267	35,427	22,863
ALD	Inquiries	OP	1,451	1,791	1,754
ALD	Response w/in 5 days	E	100%	100%	100%
ALD	Certifications issued	OP	42	20	13
ALD	Notices of proposed rule-making in NM published	OP	217	227	182
ALD	# of executive orders published in NMR	OP	0	0%	0

Division	Performance Measure	Type	FY99	FY00	FY01
ALD	Proposed rules published in NMR	OP	27	23	6
ALD	Synopses published in place of full text of adopted rules	OP	13	15	9
ALD	Adopted rule-filings published	OP	714	824	695

*Prior to the adoption of new style and format requirements in February 2000, availability of rule material was tracked at a different level. With the changes in 2000, full rule publication is tracked.

Performance Measure: *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.

Measurement/Data Collection Method

Statistics are captured monthly and reported quarterly.

Division	Performance Measure	Type	FY99	FY00	FY01
ALD	NMAC training sessions	OP	4	7	10
ALD	Employees trained in NMAC sessions	OC	62	145	89
ALD	Requested training sessions	OP	Not tracked	4	1
ALD	Employees trained requested sessions	OC	N/A	39	6
ALD	Consultations:				
ALD	Contacts	OP	1,554	2,158	1,294
ALD	# of agencies	OP	241	409	227
ALD	# classes attended	OP	0	3	3

MANAGEMENT 2001 ACTION PLAN

STRATEGIC INITIATIVE #1: INCREASE KNOWLEDGE OF RECORDS, INFORMATION, AND ARCHIVAL MANAGEMENT PRACTICES.

1.2 Publish an increasing number of brochures about Records, Information, and Archival Management (RIAM) or addressing specific questions this year.

MGMT 1.2A Support division efforts to design and publish brochures.

Management, in developing the agency appropriation requests, attempted to ensure that requested amounts were adequate to meet production costs of brochures and other publications, as defined in the strategic plan. For example, the FY02 appropriation request included a \$700 increase over the FY01 operating budget and a \$6,100 increase over FY00 actuals for printing. Because of staff turnover in FY00 some scheduled publications were deferred. The FY01 operating budget, as well as the FY02 request and operating budget (prepared in FY01), addressed those deferred publications and those scheduled in the strategic plan. The budgets and requests for other items, such as supplies and postage, also reflected the effort to assure an adequate allocation of resources to meet publication requirements. During the second quarter of FY01, the NHRAB funding priorities brochure was revised to reflect the Board's priorities for the year. A total of 30 copies were delivered to the State Library and 15 were mailed out with grant applications. In the fourth quarter, descriptive brochures about the agency and the NMHRAB were revised. Fifty copies of the agency brochure were printed, and another 500 will be printed in FY02. The revisions to the NMHRAB brochure were approved, and the brochure will be printed in FY02.

1.4 Advocate and promote RIAM in New Mexico public and historical records repositories.

MGMT 1.4A Develop and implement a marketing plan to promote RIAM statewide.

A marketing plan for the agency, which contained specific RIAM promotional components, was developed for FY00. A decision was made to spread implementation over several years. By yearend a number of the plan's elements were, at least in part, implemented or in the process of implementation – the Electronic Records Workshop held in both FY00 and FY01, the increased production of informational brochures, etc. A marketing plan was also adopted by the NMHRAB. In January 2001, the agency staffed an informational booth at the New Mexico Association of Counties' Midwinter Conference and, in late March, the State Records Administrator spoke on the NMHRAB grant program at the Department of Finance and Administration (DFA), Local Government Division's budget conference. Other promotional activities are described under New Mexico History. The Administrator and the Deputy Administrator also attended several legislative

functions in an effort to increase legislative awareness of the agency and its responsibilities. Four articles were written and published in the New Mexican during the first half of the FY. Additionally, several articles featuring the retirements of Robert Torrez, the State Historian, and Cipriano Rougement, also of the AHSD, were published during the second quarter. In the third quarter, one article regarding the NMHRAB grant awards was published in the New Mexican, and bookmarks advertising the NMHRAB were printed. Another article – this one concerning the NMHRAB grant awards – was published in the New Mexican in the fourth quarter.

MGMT 1.4B Conduct outreach to groups served by the SRCA.

The agency's training schedule was promoted via a redesign of the agency's web page, with easier access to and a clearer presentation of the information. A second redesign intended to promote greater ease of use and to include additional information was underway at the end of the FY. Nine for-fee workshops were held during the year. The October, January, and April issues of the Quipu were distributed by mail and posted to the agency's web page. The July issue was sent out for printing on the first of June but had not been distributed as of the end of the fiscal year.

MGMT 1.4C Speak on RIAM issues at professional groups around the state.

The State Records Administrator, as noted earlier, made a presentation to the DFA Local Government Division's budget workshop in March and manned a booth at the Association of Counties' meeting in January. Management also actively supported the involvement of SRCA staff in and their appearance before professional groups to promote RIAM. Again, other activities are delineated under New Mexico History, above.

MGMT 1.4D Model RIAM practices and standards.

The SRCA strives to ensure that it complies in full with RIAM practices and standards, and often tests proposed rules internally before adoption.

1.5 Publish white papers in RIAM to explore issues and develop recommendations for best practices.

A decision was made, because of other priorities and staffing limitations, to limit white papers to one on electronic rules filing for FY01. That paper was expected to provide the basis for an appropriation request for FY03 to fund electronic rules filing and was due by June 30, 2001, with an outline for approval due by April 27 and a first draft by May 11. However, the Rules Division director resigned in late January, and the position was not filled until mid-April, and it was not feasible to meet the April deadline. Since other issues concerning the production of the New Mexico Register and the New Mexico Administrative Code reached critical points in the last quarter of the FY, the completion of the paper was deferred until the next fiscal year.

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

2.1 Develop a mechanism to manage effectively electronic records.

MGMT 2.1A Create a task force together with the Chief Information Officer's (CIO's) office [now New Mexico Information and Technology Management Office - NMITMO] on creation and retention of electronic records.

The SRCA requested that the CIO assign a staff member or members to work with its Records Management staff in developing standards for electronic records. The amended microphotography standards were also directed to the NMITMO for review. At its November meeting, the Commission appointed members to an electronic records task force (appointments were, where appropriate, subject to concurrence by the affected agency head). Included on the task force were representatives from, among other agencies, both the CIO's office and the ISD, as well as the directors of the SRCA's Records Management and Archives and Historical Services Divisions. As of the end of the fourth quarter, the task force had not yet met, but informational materials had been distributed to members.

2.4 Transfer inactive permanent records into the Archives.

MGMT 2.4A Negotiate the transfer of permanent records into the State Archives with custodial agencies.

Efforts were continuing at the end of the FY to work with the State Engineer's Office, which holds significant permanent records, in arranging the transfer of some of those records. The AHSD director met with representatives from the State Engineer's Office on November 16, 2000 to discuss the transfer of permanent records into the Archives. The State Engineer's Office agreed to transfer permanent records as records are digitized and re-housed into acid-free storage containers. The first shipment of records was expected in March 2001; however, no shipment was received by the end of the year.

2.9 Ensure compliance with Commission-issued standards and State laws.

MGMT 2.9A Analyze and develop draft legislation to strengthen the Public Records Act that: 1) ensures enforcement authority, especially governing destruction of public records, preservation, and access; and 2) addresses declassification of permanent confidential records. Solicit support for the proposed legislation to strengthen the Public Records Act.

At the end of the first quarter of FY01, the question of whether to seek introduction of bills addressing these issues in the 2001 legislature was under discussion. In the latter part of the second quarter, a legal review by the Attorney General's Office of proposed amendments to the SRCA rule establishing a fee schedule revealed a need to amend the underlying law to clearly define the agency's authority to charge for certain services. The issues involved and the question of whether to pursue legislation were discussed at the Commission's meeting on January 8, and the Commission endorsed drafting legislation to effect the needed amendments. The Chairman of the Commission and the State Records Administrator met with House leadership staff, and, although staff did not oppose the concept, they did suggest that this might not be the right year for such legislation and, as a consequence, no bill was introduced.

MGMT 2.9B Review and strengthen regulations governing the destruction of public records as needed.
No action was taken on this item during the fiscal year; rather, attention was directed toward amendments to the microphotography standards and fee schedule.

MGMT 2.9D Create a history file of RIAM incidents related to public records.
No action was taken on this item during the year.

MGMT 2.9F Address the Cabinet on RIAM as part of an effective public records management program.
Apparently Cabinet meetings under the administration of Governor Johnson are not open to the public or uninvited State employees.

STRATEGIC INITIATIVE #3: HAVE A COMPREHENSIVE, AUTHORITATIVE LOCATOR SERVICE FOR ALL PUBLIC RECORDS.

3.1 Provide online access to SRCA collections.

MGMT 3.1A Expand use of the SRCA web page to include links to other repositories throughout the state storing archival records; create link from SRCA web page to Online Archives of New Mexico; and develop methodology for capturing baseline information about customers reached through the SRCA web page.
Although portions of the web site – particularly the State Rules (Administrative Law) page and the agency's training site – were modified and updated during the year and additional information added, it was in the latter part of the third quarter that IT staff began developing concepts for an improved web page. As of June, the management team had reviewed all components of the proposed web page changes and provided suggestions on how to make the page both more useful and easier to use. Plans for bringing up the NM Register and the NMAC on the web page were begun, so that the agency would be ready to perform its statutory responsibilities with respect to publication in-house should the contract with the Compilation Commission be terminated.

3.2 Create the structure for a comprehensive public record locator service (PRLS) to present to the legislature for funding in FY02.

MGMT 3.2A Develop the design specifications and obtain funding for the system.
In accord with the strategic plan, included in the agency's FY02 appropriation request was a \$15,000 expansion item to contract with a consultant to conduct an assessment of the State Library's Government Information Locator Service (GILS) as a base for the proposed Public Records Locator Service (PRLS) and help prepare an RFP. (A similar request for contractual services was included in the FY01 appropriation submittal but was not funded.) The \$15,000 was included in the final version of the committee substitute for House Bill 2 and will be available for expenditure beginning in July 2001. In the interim, the SRCA continued consultation with the State Library with respect to the PRLS proposal and related technical issues.

STRATEGIC INITIATIVE #4: IMPROVE EFFICIENCY AND ACCOUNTABILITY IN STATE GOVERNMENT THROUGH RIAM.

4.1 Collaborate with the CIO on standards for electronic records and record-keeping systems.

MGMT 4.1A Establish a working partnership with the CIO's staff; delineate, in writing, RIAM interests with respect to the CIO's responsibilities and actions.

As noted above, the SRCA requested that the CIO assign a staff member or members to work with its Records Management staff in developing standards for electronic records, and the membership of the electronic records task force, appointed by the Commission at its November meeting, includes a representative from the CIO's office. The SRCA also directed drafts of its proposed amendment to the microphotography standards, which include imaging applications, to the CIO for review. The SRCA's imaging plan requirements have been included with the CIO's annual IT Plan instructions for the last two years.

MGMT 4.1B Review and provide relevant comments on Information Technology Council standards to assure compliance with Commission and national standards pertaining to RIAM.

No specific action was taken on this item to date, although IT staff did review the standards and, as noted immediately above, the SRCA imaging requirements were included in the CIO's IT Plan instructions.

MGMT 4.2B Serve, or assign an appropriate designee to serve, on task forces, committees, etc. as needed to advance RIAM practices and principles.

No task forces or committees with RIAM impact, other than the Electronic Records Task Force organized by the SRCA and discussed above, were identified.

STRATEGIC INITIATIVE #5: ENSURE THAT ADEQUATE RESOURCES ARE AVAILABLE TO MEET STATUTORY OBLIGATIONS.

5.1 Have an appropriately trained staff as documented by individual training plans and ensured by group training.

MGMT 5.1A Create individualized employee training plans to build needed training and ensure staff receives training according to plans.

Training plans were in place for all staff, except some of the newer hires, and the Management Analyst now assigned to Administrative Services was given responsibility for tracking compliance and providing quarterly reports beginning the first quarter of FY02.

MGMT 5.1B Provide information to division directors and staff on available, pertinent training.

The Human Resource Administrator either posted or circulated information that she received concerning available training. She also notified and scheduled classes for specific individuals requiring particular training, such as PAD or Civil Rights. Training offered by the SRCA was posted on the agency's web page and published in brochures available in Administration. Other training opportunities could be identified through fliers and other publications circulated to management in reading files.

MGMT 5.1C Maintain and update the agency's annual training plan and track compliance with the plan through quarterly compliance reports.

Training plans were updated, but tracking compliance proved difficult. Lack of standardization in how plans were developed and miscommunications in how completion should be reported were problems. The responsibility for monitoring compliance was transferred to the Management Analyst in the ASD as of the end of the FY.

MGMT 5.1D Compile annual training costs for inclusion in the operating budget and appropriation request, based upon annual training plans and updates.

The training plans for FY01 were revised to meet funding limitations in the FY01 operating budget. The funding included in the FY02 appropriation request for training and education and related expenses [in- and out-of-state travel and operating costs (subscriptions and dues)] was based on training plans proposed for that year. However, because the plans as initially submitted entailed costs well in excess of funding that could be reasonably expected, those original plans were revised to focus on the most critical training requirements. Those plans will again be updated at the beginning of FY02, and FY03 proposed training plans will also be developed for use in preparing the FY03 appropriation request.

5.3 Reclassify agency positions by 2005.

MGMT 5.3A Identify positions for reclassification.

During the first quarter of FY01, two positions were reclassified: an Archivist to an Archivist Senior and a Database Administrator 1 to a Network Administrator 1. Two other positions were targeted for reclassification – the Financial Specialist 4 and the Deputy Director 2. State Personnel rejected the initial Financial Specialist 4 reclassification (to a Financial Management Consultant, range 25). However, it agreed to permit additional flexibility in salary if necessary to attract a qualified candidate. The position was advertised. The job was offered to the only candidate who met the

agency's requirements, but she ultimately rejected the offer in favor of a more lucrative one. At this point, State Personnel agreed to reclassify the position to an Administrator 4 (range 24) – not the preferred reclassification, but, at least, a two range advancement. During the third quarter, the following reclassification requests were submitted: Deputy Director 2A to Deputy Director 4A; Manager 2 to Planner 3; and Manager 2 to a Manager 4. All were eventually approved.

The State Records Administrator and the Human Resource Administrator met with State Personnel in late August to discuss the proposed new classification system. As a result of that discussion, reclassifications of several other positions were necessary prior to the implementation of the new system if those positions were to be moved into the appropriate technical occupational group (TOG). The new classification and pay system, HR2001, resulted in new range assignments and job descriptions for most agency employees. Although no employees suffered a pay loss as occurred in many other agencies, many were initially incorrectly classified. Although the agency submitted what it thought appeared to be reasonable assignments of people within the new structure, it was forced to do so without any information with respect to proposed ranges or salaries. When State Personnel finally (not until late in the fourth quarter) provided range, job title, and pay band information, a number of the new classifications proved illogical. The agency provided State Personnel with its proposed changes designed to restore some degree of equity and classify positions properly according to job function; however, as of the end of the fiscal year, State Personnel had not approved any of those changes.

5.4 Increase the agency FTE and budget at a rate needed to support the strategic plan.

MGMT 5.4A Develop annual appropriation requests based on the annual strategic plan requirements, requesting adequate funding to support the strategic initiatives and associated strategies and action plans.

The agency's FY01 appropriation request included increases in the base budget to support more completely the operational needs of the agency, including money in In-state Travel, Operating Costs (Education and Training), and Out-of-state Travel to support increased training efforts. These training increases were funded either at or very near the base request level. Program change requests were submitted for: an Electronic Records Administrator; a Manager 2 to support the NMHRAB program (seven months general funding); money to contract with a consultant to conduct an assessment of the State Library's GILS to determine how it could be utilized as a base for the proposed PRLS; and a firewall – all in support of strategic initiatives. Only the Manager 2 and the firewall were funded. The agency also submitted a special IT appropriation request for \$110.1 for archives imaging; it was appropriated at \$110.0, and the equipment, supplies, and consultative services funded were acquired by the end of FY01. Money for a term employee was also included and that person was hired in November of 2000.

The FY02 appropriation request continued the effort to fund agency operations at the level required to meet strategic and business needs. Expansion (program change) requests included, once again, the Electronic Records Administrator and the PRLS. Additionally, funding was requested for a Budget Analyst to reduce the workload on the Fiscal Officer and to provide more frequent and in-depth budget analysis. However, neither the Electronic Records Administrator nor the Budget Analyst was funded, but the \$15.0 for the PRLS was approved. Additionally, the agency submitted a special IT appropriation request for \$110.0 for replacement of the GAIN system; it was funded at \$106.0.

MGMT 5.4D Within the appropriation requests, include program change [expansion] requests for FTEs as dictated by plan requirements, including, but not limited to: one additional FTE for ASD (fiscal) for 2001; and one additional FTE for compliance audit program for 2002.

With respect to the FY01 appropriation submittal, a decision was made to substitute a request for an Electronic Records Administrator for a fiscal position. As noted earlier, the Electronic Records Administrator position was not funded. Given the recognition in the strategic plan of the prime importance of addressing electronic records, the request for an Electronic Records Administrator was again submitted as an expansion item in the FY02 request. Further, realizing that the need for additional help in the fiscal office, already severe, would become increasingly acute with the imposition of performance-based budgeting and GASB 34, an expansion request, as discussed earlier, for a Budget Analyst was included in the submittal. Again, as noted above, neither expansion position was recommended nor funded. No request was included for an FTE for the compliance audit program since the program design was not finalized.

MANAGEMENT PERFORMANCE MEASURES

Performance Measure: 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.

Measurement/Data Collection Method

Copies of the agency's strategic plan, program priorities, and accountability measures as well as various reports and other permanent records allow for data collection.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	Strategic plan for 2001 through 2005 issued/updates after initial issuance	OC	2000 plan updated; 2001-2005 draft issued for comment 6/30/99	2000 plan updated 5/99 new plan drafted 6/00	Adopted 2005 plan 9/1/00
MGMT	2000 Strategic plan objectives (%) satisfied	E	75%	66%	85%
MGMT	Priorities and PAM reports compiled	OC	100%	75%	75%
MGMT	PAM reports submitted w/in 30 days after the end of the quarter	OC	100%	75%	100%
MGMT	Director's report made to the Commission of Public Records	OP	100%	100%	100%
MGMT	Annual report published	OC	1998 published 10/98	1999 published 11/99	2000 report published 11/99

Performance Measure: Promotion of Agency Services

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

Measurement/Data Collection Method

Statistics are gathered quarterly.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	Quipu issued quarterly by the 1st week following the end of the quarter	E	100%	100%	100%
MGMT	Quipu distributed	OP	4,364	3,817	3,532
MGMT	Published on the Web within 30 days of issuance of print version	OP		80%	0 ¹⁾
MGMT	Presentations	OP	Not tracked	7	3
MGMT	Brochures	OP	Not tracked	1 (updated)	1
MGMT	Articles on the agency or agency programs		Not tracked	Not tracked	6

Performance Measure: Effective Use 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.

Measurement/ Data Collection Method

Deposits, payment vouchers, purchase documents, etc. permit measurement of performance and collection of data.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	Deposits	OP	249	227	214
MGMT	Made w/in 24 hours	E	99%	98.2%	99%
MGMT	Revenue – revolving fund	OP	101,398.12	\$95,332.19	98,036.21
MGMT	Collections – A/R balance (not cumulative)	OC		\$4,609.65	4,353.44
MGMT	Over 60 days	E	6.9%	3%	.14%
MGMT	Over 90 days	E	4.1%	0%	.01%
MGMT	Over 120 days	E	3.1%	2%	0
MGMT	Payment vouchers	OP	599	591	708
MGMT	Processed w/in 30 days	E	94%	98	95%

Division	Performance Measure	Type		FY00	
MGMT	Purchase documents	OP	351	381	460
	% processed within 7 days of purchase request (PR)	E	88.5 %	100%	N/A
MGMT	Grant funds drawn quarterly	OP	N/A	2	2
MGMT	Grant Financial Status Reports submitted on time	E	N/A	1	1
	# contracts expiring in FY		Not tracked	Not tracked	3
	% contracts renewed or re-bid and awarded before expiration		Not tracked	Not tracked	100%
MGMT	Budget adjustments	OP	7	4	6
MGMT	Budget expenditures				
MGMT	Fund 179 - % expended	E, Q		99%	
MGMT	Fund 371 - % expended	E, Q		95%	

Performance Measure: *Effective Use of Human Resources*

Human resource services are available to meet agency goals and objectives. Vacancies are filled in a timely fashion; PADs meet State Personnel 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.

Measurement/Data Collection Method

Vacancies filled, Performance Development Plans completed and requisite reviews conducted, and payrolls processed, etc. are used for measurement and data collection.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	# of vacancies filled in 45 days /# of vacancies	E	19/20	4/16	0*
MGMT	Vacancies filled within 45 days (%)	E	95%	25%	
MGMT	PADs	OP	47		27
MGMT	Timely	E	83%	77%	9
MGMT	Training plans followed (%)	OC	60%	27%*	Not tracked
MGMT	Consultations	OP			
MGMT	Grievances filed	OC			0
MGMT	Grievances resolved	OC	2	0	0
MGMT	Position classifications reviewed	OP	3	3	33
MGMT	Positions reclassified	OC	3	2	
MGMT	Positions created	OC	2 (1 term; 1 temp)	8 (1 perm, 1 term, 6 temps)	1 term; 20 temps
MGMT	Payroll and leave reporting:	OP	26	26	26
MGMT	Timely	E	100%	100%	100%
MGMT	Accurate	Q	99%	95%	99%

* Position reclassifications, lack of qualified candidates on State Personnel lists and the consequent need to re-advertise, and inability to get timely lists from State Personnel all contributed to the inability of the agency to fill positions within the target timeframe in FY01.

Performance Measure: *Effective Use 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.

Measurement/Data Collection Method

Requests for assistance, software and systems developed/installed, training/consultations conducted, backups made, and other measures are reported to the ASD Director on a regular basis.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	Requests for Information systems assistance	OP	169	342	304
MGMT	Work orders addressed within 30 days	E	90%	98%	98%
MGMT	Backups made	OP	52	124	242
MGMT	Frequency/downtime (hours)	E	17	75	48
MGMT	Recovery procedures # records recovered/data loss	OC	1 file restored /none	11 files /none	4,148 records/ none
MGMT	Installations of equipment & software New installs/reinstalls	OP	79	7 new/20 re- installs	21 new/11 reinstalls
MGMT	Timeframe: Installed within 30 days	E	100%	100%	90%
MGMT	Network availability (average)	E	99%	94%	97.5%
MGMT	Information technology plan	OC	9/1/98	9/1/99	9/01/00

Performance Measure: *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.

Measurement/Data Collection Method

Maintenance and repair requests are logged and status reported monthly. More serious requests or continuing problems are documented by memoranda.

Division	Performance Measure	Type	FY99	FY00	FY01
MGMT	Work orders coordinated, including follow up	OP	94	7*	7
MGMT	within established timeframe for resolution [%]	E	75%	100%	86% ²⁾
MGMT	Security – card issue/change work orders	OP	38 issued; 38 verified	17 work orders/23 changes	18 work orders/30 changes ³⁾
MGMT	Within established timeframe [%]	E	97%	98%	85%

ARCHIVES AND HISTORICAL SERVICES DIVISION



Woman roasting chile in an *horno*, Northern New Mexico, 1940. Photograph by Wyatt Davis.

The Archives and Historical Services Division (AHSD) carries out the mission of the agency by providing a full range of archival and historical services and by advocating an understanding and appreciation of New Mexico history through outreach programs. Fiscal Year 2001 brought many changes for the Archives and Historical Services Division. Among those changes was the retirement of State Historian Robert Torrez. Estevan Rael-Galvez joined the Division in June 2001 as the fifth State Historian to serve the State of New Mexico. New technologies and the World Wide Web have also brought about changes in services provided to the public. New programs instituted which incorporate technology and the Internet include: Online Archives of New Mexico; GENCAT, an archival management application; and the Imaging

Project. Advances in the use of technology and other developments in the field require archivists with diverse skills and an understanding of information Technology to manage programs and collections effectively.

ARCHIVES BUREAU

ONLINE ARCHIVE OF NEW MEXICO

Reference services have been enhanced through the Online Archive of New Mexico (OANM) project. The OANM has provided a larger audience for disseminating information about archival collections. Through the World Wide Web information about SRCA collections is available on-line and may be accessed at anytime anywhere. Collection finding aids are encoded using Encoded Archival Description (EAD) standards and placed in a union database. The New Mexico State Records Center and Archives contributed two hundred and thirty-one finding aids and 100 facsimiles to the union database. 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 database contains 1,033 finding aids and 407 digital facsimiles. The Division intends to continue submitting finding aids to the database as collections are arranged and described. Ongoing technical support for the program will be provided by the General Library at the University of New Mexico. The OANM may be accessed at <http://eLibrary.unm.edu/oanm>.

GENCAT ARCHIVAL MANAGEMENT SOFTWARE

The Archives local area network, GENCAT, was installed and tested during July and August 2000. The GENCAT has allowed the division to fully automate all of its collection and patron management functions. It also facilitates the creation of reports by generating statistical data. Databases created by other applications were successfully migrated into GENCAT and included MARC (machine-readable catalog) records, encoded finding aids, accession, patron registration, and photograph index databases. The local area network is fully operational. Archival staff provides administrative support for the software application. An NT Server was to facilitate Internet access to Archival databases and finding aids. Special information-technology appropriation funds of \$15,000 were used to acquire the services of a consultant to develop a user-interface for the online Web-GENCAT archival application. Internet access to Archives and Historical Services collection databases and digital images will be available in FY02.

IMAGING PROJECT

The Archives Bureau imaging project includes the digitization of photographs, microfilm, and paper documents. A project archivist was hired November 7, 2000, and equipment purchases were made utilizing special appropriation funds. Equipment purchased for the project includes two computers, a CD reader writer, an AGFA T2000XL scanner, a Kodak dye sub printer, an NT server, a Minolta MS3000 microfilm converter, a CD jukebox, a CD duplicator, a CD printer, and Paper Vision and Adobe Photoshop software. The Department of Tourism photograph collection was selected for the first phase of the project. The New Mexico Department of Tourism Photograph Collection represents a nearly complete record of State

government's tourist imagery from 1937 to 1961. Full scale scanning began in February 2001, and a total of 1,864 images were scanned. Digital images will be available through the Web-GENCAT application in FY02. The second phase of the project calls for the imaging of paper documents. One hundred images from the Federal Writer Project (WPA) County Histories were selected, scanned, and placed online through the OANM project. The WPA oral histories were created and collected under the direction of State Federal Writer Project Director Ina Sizer Cassidy and pertain to New Mexico topography, archaeology, folklore, counties, place names, religion, ranching, mining, Indian history, Spanish history, and other related subjects. The images are a digital expression of history and are excellent resources for schoolteachers and students. Converting 35mm microfilm collections to digital images is the third phase of the imaging project. The conversion will be implemented and managed by the Micrographics Bureau. The conversion of Spanish Archives of New Mexico English translations has been selected as the test collection for the project.

HISTORICAL RECORDS ADVISORY BOARD GRANTS

Diocese of Gallup Microfilm Project: The State Records Center and Archives, in collaboration with the Hispanic Genealogical Research Center and the Diocese of Gallup, applied for and received a grant from the New Mexico Historical Records Advisory Board to microfilm the sacramental records of the Diocese of Gallup. The original sacramental records (baptism, marriage and burials) consisted of 33 bound volumes dating from 1777 to 1922. The records are historically significant not only to genealogists but also to scholars documenting the social ethno-history of northwestern New Mexico. The Diocese of Gallup is comprised of Acoma Pueblo, Zuni Pueblo, Laguna Pueblo, Seboyeta, San Rafael, Gallup, Farmington, Lumberton and Cuba. The microfilm project resulted in the creation of 27 rolls of microfilm. Three sets of microfilm were duplicated; one set was deposited with the State Archives, the second set was placed with the Diocese of Gallup and the third set with the Hispanic Genealogical Research Center.

Photograph Preservation Project: The Division applied for and received a \$2,000 grant from the New Mexico Historical Records Advisory Board to purchase archival sleeves for the Department of Tourism Photograph Collection, which represents a record of State government's tourist imagery from 1937 to 1961. Unfortunately, these images were not housed in appropriate containers. Prior efforts to ensure the continued existence of these images by placing images in archival boxes have not photograph sleeves were purchased with grant funds, and images were re-housed. The safeguarded the images from deterioration. The photograph collection contains one type of photographic process - silver gelatin - and several types of negative support - nitrate, acetate, and polyester. To ensure their preservation it is imperative that these images be stored in archival sleeves. Mylar, buffered and non-buffered project was completed March 2001, a report was submitted by the project manager.

ACQUISITIONS

Acquisitions are obtained either through State agency transfers or through private donations. State agency records of historical, informational, and research value are transferred from the Records Center to the Archives. Private collections donated to the State Archives must fall within the scope of the SRCA collecting policy in order to be considered for acquisition by the Commission of Public Records. The Fort Union Collection, "on loan" to the State Archives, was returned to Fort Union National Monument at the request of the National Park Service. Photostat copies of the collection remain with the State Archives. During FY01 the Division accessioned 52 Santa Fe County deed books, 65 Bernalillo County maps, and 230 rolls of microfilm and 171.75 cubic feet of textual government records. Private collections donated include the Avery Smith Collection and the Miguel Lopez Family Papers.

PUBLIC RECORDS ACCESSIONED

CUBIC FEET

Corrections Department	28.5
Government Publications	27.75
Highway and Transportation	17
Legislative Council Service	15
Roosevelt County District Court	15
Public Safety	0.5

PUBLIC RECORDS ACCESSIONED

Sandoval County
 Secretary of State
 State Land Office

CUBIC FEET

11
 45
 12

Microfilm Rolls

Bernalillo County Maps
 Santa Fe County Deed Books

65
 52

PRIVATE RECORDS ACCESSIONED

Avery Smith Collection
 Miguel Lopez Family Papers
 St. Francis School

CUBIC FEET

1
 4
 15

Microfilm Rolls

Archdiocese of Santa Fe LDS - microfilm rolls
 Diocese of Gallup - microfilm rolls

203
 27

REFERENCE/ACCESS

The Internet has created a larger public for the State Records Center and Archives. Users can now determine whether archival material is relevant to their research by viewing on-line descriptions of collections. In the past a researcher would visit, write, or telephone to make inquiries about collections. Reference assistance is now provided at the facility via U.S. mail, the Internet, E-mail, telephone, and fax. Statistics kept by the Division indicate that traditional reference inquiries decreased by an average of 48 percent, while Internet site visits to the AHSD web page and site visits to the Online Archives of New Mexico (OANM) increased substantially. Collection finding aids are now available through the OANM, a database of historical source materials. The online database allows patrons to view content lists for collections and determine whether materials are relevant for research prior to contacting the Archives. Statistics indicate that during the first seven months of operation the OANM State Archives site had 62,064 hits. As finding aids were added, the number of hits increased, in December, 2000 the Archives had 46 finding aids online, with 893 hits. By the end of June 2001, the site had 231 finding aids online and 62,064 hits were recorded.

Comparisons of statistics for reference activities FY00 and FY01

Activity	FY00	FY01	%
Visitors	5813	5480	-05%
Telephone Inquiries	5607	5484	-02%
Correspondence	378	294	-22%
E-mail	739	489	-34%
Fax	92	121	+24%
SRCA Web Page Hits	11,959	10,861	-9%
OANM Hits (Dec-June)	0	62,064	

Online Archives of New Mexico Usage Statistics

Month	Number of Finding Aids	Number of Hits
December, 2000	46	893
January, 2001	48	12,597
February, 2001	50	6,537
March, 2001	74	5,820
April, 2001	81	6,825
May, 2001	231	15,147
Jun, 2001	231	14,245
Totals	761	62,064

PROCESSING/ARRANGEMENT AND DESCRIPTION

Archivists have a professional responsibility to provide access to public records and to protect the confidentiality and personal rights of citizens. Processing collections includes activities such as arrangement

and description, steps taken to prepare documentary materials for access and reference use. Archivists must deal with complex questions relating to copyright, confidentiality, and personal rights while processing collections. Twelve percent of staff resources were spent on processing 198 bound record books, 68 maps, 350 rolls of microfilm, and 1,246 linear feet of textual records.

PUBLIC RECORDS PROCESSED	EXTENT
Adjutant General Records	17
Attorney General Records	920
Department of Corrections	6
General Services Department	9
Government Publications	27.75
Governor King Papers, Second Term	80.5
Maps	68
Roosevelt County District Court Records	10.5
Surveyor General Records	6
Sandoval County Records	9
State Land Office	3
Santa Fe County Records, volumes	52
Roosevelt County District Court, volumes	31
State Land Office, volumes	16
Grant County District Court, microfilm	3
Lincoln County Records, microfilm	1
Santa Fe County Records, microfilm	46
San Miguel County District Court, microfilm	5
Newspapers, microfilm	2
Penitentiary of New Mexico, microfilm	3
Spanish Archives of New Mexico, microfilm	2
Union County District Court, microfilm	19
U.S. Surveyor General Records, microfilm	2
Avery Smith Collection, linear feet	1
Miguel Lopez Family Papers, linear feet	4
Archdiocese of Santa Fe, microfilm	203
Diocese of Gallup, microfilm	27
Alice Barry Scollville, microfilm	1
Ernest Blumenchein, microfilm	2
Independent Order of Odd Fellows, microfilm	3
SRCA Private Collections, microfilm	1
Recopilacion de Leyes, microfilm	3
Lake Valley News, microfilm	1
Joe and Diana Stein Collection, microfilm	1
TOTAL	1585.75

OUTREACH

Archivists are innovative in publicizing collections; they participate in programs that draw directly on documents to support such activities as exhibits, conferences, training, and publications. They promote the use of documents by identifying potential users and describing the benefits of using archival collections.

Historical Society of New Mexico Annual Conference: Division staff participated in the Historical Society of New Mexico Annual Conference in Roswell New Mexico, April 5-7, 2001. They presented two sessions, both of which discussed the research value of archival collections.

Session 1: "Three Collections at the New Mexico State Records Center and Archives."

State Penitentiary Records, by Daphne Arnaiz-DeLeon.

Muster Rolls- Adjutant General Collection, by Kermit Hill (SRCA volunteer.)

Attorney General Opinions, by Jose Villegas.

Session 2: "Church and State: Records of the State Records Center and Archives."

The Three Microfilm Series of the Archives of the Archdiocese of Santa Fe, by John Martinez

Maps of New Mexico, by Valerie Nye

The Second Time Around: The Papers of Governor Bruce King 1979-1982, by Melissa Salazar

Publications: Division staff also promoted the use of archival collections by publishing articles in the "Quipu," the agency newsletter.

- "Acquisition of LDS Archdiocese of Santa Fe Microfilm," *Quipu*, by John Martinez, Sept. 2000
- "Billy The Kid," *Quipu*, by Melissa Salazar, Dec. 2000
- "Sandoval County Records," *Quipu*, by Valerie Nye, Feb, 2001
- "Historical Rules Database," *Quipu*, by John Martinez, Feb. 2001
- "Land Records of New Mexico," *Quipu*, by Jose Villegas, April 2001

"Billy The Kid Documents," *Quipu*, Melissa Salazar, April 2001

Archives Week

The SRCA celebrated Archives Week during the week of October 9 - 15, 2000. Archival institutions are instrumental in collecting, organizing, and preserving historical materials that document the history of the state of New Mexico. "Archives Week" is a means of promoting the appreciation and preservation of historical materials by formally recognizing archival institutions that maintain and preserve historical documents. With that spirit in mind, Governor Gary Johnson signed a proclamation designating the week of October 9 - 15 as "New Mexico Archives Week." Activities for the State Records Center and Archives included a lecture, "*Nuestras Mujeres: Wondrous Women of 1743 - 1767 New Mexico*," by Dr. Isabelle Medina Sandoval and an exhibit of "Archival Favorites," a selection of unusual materials - such as pinion nuts and military pins - found in collections.

Guest Lecture Series: A lecture series was implemented during the fall of 2000. All lectures were presented on Saturday afternoons, from 1:00 to 2:00 PM at the State Library, Archives and Records Center. The lectures were scheduled on the same day as "Genealogy Saturdays." A total of sixty people attended the lectures. Three lectures were conducted:

- Dr. Arturo Madrid, "On Heretics and Interlopers: The Hispano Protestants of New Mexico, A Family Memoir," September 9, 2000;
- Dr. Isabelle Medina Sandoval, "Nuestras Mujeres, Wondrous Women of 1743-1767 New Mexico," October 14, 2000; and
- Dr. David E. Stuart, "Anasazi America," lecture and book signing, November 11, 2000.

Exhibits: Special events, such as "Archives Week," and new collections available for research are the focus of exhibits. Exhibits for FY01 included:

- "Archival Favorites," an exhibit celebrating Archives Week, October 2000, a display of artifacts found in collections;
- "Clark Knowlton Collection," an exhibit featuring the opening of the Knowlton Collection for research, with a display of documents, manuscripts and newspapers, August 2000 – February 2001;
- "Hispanic Culture," an exhibit celebrating Hispanic Culture Month, April 2000, with a display of Governor Johnson's Proclamation, photographs depicting cultural events, and facsimiles of documents;
- "Huertas y Ovejas: Raising New Mexico," an exhibit featuring photographs and documents from the Department of Agriculture Collection, March - June, 2000;
- "Department of Tourism," a digital, on-line exhibit featuring photographs from the Department of Tourism Collection, Historical Society of New Mexico Conference, Roswell NM, April 2000.

Workshops Presented: Workshops presented by AHSD staff included:

- "Automating Finding Aids," SRCA workshop, instructor Daphne Arnaiz-DeLeon, November 2000;
- "Collection Surveys," SRCA workshop, instructor Sandra Jaramillo, November 2000;

- "Records Management, Archival Perspective," presenters, Melissa Salazar and Jose Villegas, August, October, and December 2000 and February 2001;
- "Arrangement and Description," SRCA workshop, instructor Sandra Jaramillo, March 2000;
- "Digitizing Photographs," SRCA workshop, instructors Daphne Arnaiz-DeLeon and Brian Graney, May 2001; and
- "Establishing a Collecting Policy," Five-state Tribal Libraries, Santa Fe, presenter, Sandra Jaramillo June 4, 2001.

HISTORICAL SERVICES BUREAU

State Historian Robert J. Torrez, who is recognized as one of the State's leading authorities on land grant issues, retired December 22, 2000 after thirteen and a half years with the State Records Center and Archives. The search for a new State Historian began in December, after Mr. Torrez announced his retirement. A three-member panel conducted the search. Estevan Rael-Galvez was selected to succeed Mr. Torrez and assumed his duties as State Historian on June 4, 2001. The State Historian provides authoritative consultative services to State government and serves as a member of a team of experts on various 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 of the State Cultural Properties Review Committee (CPRC), which is the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. He reviews nominations for the Cultural Properties Register and prepares text for official, scenic historic markers. The following table identifies CPRC activities for FY 2001.

Nominations Reviewed for Cultural Properties Register	17
Official Scenic/Historical Marker Text prepared and approved	2
Cultural Property Review Committee Meetings Attended	7

PROFESSIONAL ACTIVITIES

As a member of the scholarly community, the State Historian engages in research that contributes to the advancement of the profession and 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, lectures, and presentations of research papers.

Articles Published:

- "4th Of July in New Mexico," Round the Roundhouse, July 2000, Robert Torrez;
- "The Humble Jacal," Round the Roundhouse, August 200, Robert Torrez;
- "Travels to Tierra Afuera," Round the Roundhouse, September 2000, Robert Torrez;
- "Paula Angel," New Mexico Bar Journal, September 2000, Robert Torrez;
- "Las Vegas in the 19th Century," Round the Roundhouse, October 2000, Robert Torrez;
- "Rio Arriba County Courthouse," www.ganados.org, October 2000, Robert Torrez;
- "Spanish Glossary, Part V," Round the Roundhouse, November, 2000, Robert Torrez; and
- "New Mexico's First Official Historian," Round the Roundhouse, December 2000, Robert Torrez

Research Papers Presented:

- "Heads, Scalps and Ears," Gran Quivira Conference, October 10, 2000, Robert Torrez.

Lectures Given:

- "Myth of the Hanging Tree," Hispano Chamber of Commerce, Raton NM, July 7, 2000;
- "Myths About Justice in New Mexico," Rancho de Las Golondrinas, Santa Fe, NM, July 22, 2000;
- "Myth of the Hanging Tree," Hispanic Fair, Farmington NM, September 2, 2000;
- "Land and Water in New Mexico," Ghost Ranch, Abiquiu, September 23, 2000;
- "Hispanic Pioneers of New Mexico," Tularosa NM, September 2000;
- "Fiesta de Los Ancianos," Los Ojos NM, September 30, 2000;
- "Westerns Club, Santa Fe NM, October 19, 2000;

- "Voices From The Past," Elderhostel, Santa Fe NM, October 29, 2000;
- "Land Grants," Torrance County Archaeological Society, November 6, 2000; and
- "New Mexico History Overview," New Mexico Call to Prayer, Santa Fe NM, November 18, 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 – in Santa Fe, Albuquerque, and Taos. He also taught another session – although not a regularly scheduled one – in Las Cruces. 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 2000	Santa Fe	40
Oct 2000	Taos	25
Oct 2000	Albuquerque	50
Total Participants		115

FY01 AHSD COST-BENEFIT ANALYSIS

The AHSD has compiled data that can be used in planning, decision-making, and holding the division accountable to 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. These 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 student learning, the future research value of appraised collections, and benefits derived from using archival collections are more difficult to measure.

Programs and functions performed by the AHSD are consistent with the plan of action identified for the agency in the "Strategic Plan – Fiscal Years 2001 - 2005." Six general strategic initiatives form the core of the Commission's strategic plan.

1. Increase knowledge of Records, Information, and Archival Management practices.
2. Have public records managed properly, in accordance with RIAM principles, throughout their life cycle.
3. Have a comprehensive, authoritative locator service for all public records.
4. Improve efficiency and accountability in State government through RIAM.
5. Ensure that adequate resources are available to meet statutory obligations
6. Advocate understanding and appreciation of New Mexico History.

Initiative #1: Increase knowledge of Records, Information, and Archival Management practices. The primary goal of this initiative is to develop among archivists, records managers, librarians, and museum curators an understanding of professional skills required to manage an archival repository successfully. Training conducted by archival staff provides theory, principles, and best practices.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Training to State Agencies	1%	125	\$5,418	6 training modules 200 people trained	Extended life of public records through implementation of archival procedures
SRCA Training Program	8%	1002	\$43,438	6 workshops presented	Preservation of historical records throughout the State of New Mexico

Initiative #2: Have public records managed properly, in accordance with RIAM principles, throughout their life cycle. The primary function of an archival management program is to maintain, preserve, and make

available to the public and governmental users permanent records and historical documents. Ensuring the preservation of public records and making them available to the public together support open government and democracy. Permanent public records are transferred into the Archives from the Records Center. The records are then appraised, accessioned, arranged, described, preserved, and made available. 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. Other agencies maintaining permanent records onsite often lack sufficient knowledge, skills, and ability to employ these strategies since records preservation usually is not considered a key agency function. The AHSD can also effectively hold down the costs associated with the maintenance of historical records by providing the proper storage containers and physical environment, again conditions usually not available to other agencies. The Division also utilizes volunteers to assist with collection maintenance. These volunteers donated 609 hours to preservation activities during FY01, providing a cost-savings benefit of \$7,308 to the agency.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Accessions	5.5%	689	\$29,861	191.75 cubic feet 52 deed books 65 maps 230 microfilm rolls	Public records preserved for current and future use
Processing	12%	1503	\$65,140	1,246 linear feet 198 bound volumes 68 maps 350 microfilm rolls	Public records made available for use
Preservation	15%	1879	\$81,360	12,986 file folders 960 linear feet	Extended life of public records through implementation of archival procedures

Initiative # 3: Improve efficiency and accountability in State government through RIAM. The AHSD makes public records available to citizens by providing access through the Internet and on-site at the State Library, Archives and Records Center facility. Intellectual access to collections is provided through on-line databases such as the Online Archives of New Mexico. Citizens everywhere, from young elementary school students to scholars, can access information about collections. Mounting finding aids on-line requires archivists to catalog collections according to MARC and EAD standards. Cataloging has become part of the regular workflow.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Reference	25%	3132	\$135,740	11,868 requests	Satisfied patrons
Cataloging	7%	877	\$38,009	708 catalog records 231 encoded records 85 finding aids	Identification and classification of collections
Imaging Project	25%	3132	\$135,740	1,864 photographs 100 documents 4,556 prepped	Expanded access and preservation of materials
OANM Project	8%	1002	\$43,427	231 finding aids online	Internet access to information about collections

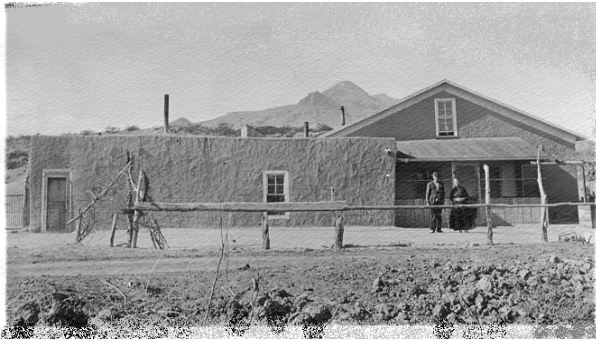
Initiative #5: Ensure that adequate resources are available to meet statutory obligations. The knowledge, skills, and abilities of AHSD staff members directly impact their ability to provide services to the public and to care for archival collections. The implementation of new programs and the increasingly important impact of information technology on the field require archivists with a diverse range of skills and a broad knowledge base. A priority for FY01 was to provide individualized training plans for all staff members.

Activity	% Staff Resources	Hours	Cost	Output Measurement	Perceived Benefits
Staff training	15%	1879	\$81,436	30 workshops 15 conferences 7 lectures 33 classes	Skilled staff

Initiative # 6: Develop outreach programs that improve public understanding of New Mexico History. The mission of the Office of State Historian is to advocate an understanding and appreciation of New Mexico History. The State Historian provides various outreach services to schools, libraries, museums, historical societies, benevolent organizations, and local governments. He is available for consultation with State and Federal agencies on matters relating to the interpretation of New Mexico history and management of cultural resources.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Perceived Benefits
Consultation to gov. agencies and public	25%	522	\$14,522	252 consultations 265 telephone calls 162 e-mail 71 correspondence	Government and public benefit from authoritative information
Public outreach	20%	418	\$11,629	11 lectures 8 published articles 1 research paper	Broaden public knowledge of archival and historical resources
Class/workshops	10%	209	\$5,814	3 NM History classes	Expand government employees knowledge of archival practices and historical resources

RECORDS MANAGEMENT DIVISION



Chamisa, circa 1908 . D. Padilla Private Collection

The accessibility of records is essential to New Mexico State government operations; agencies need to be able to locate and retrieve records in order to conduct their business, and the public has a right to review those records that are not confidential by law. The State Records Administrator is charged 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 the mission of the **Records Management Division** (RMD) to develop effective rules, policies, procedures, and guidelines for maintaining, using, and

controlling New Mexico's public records and information.

It is universally accepted that government offices create and maintain massive amounts of records and information. Staff must be able to locate records and information quickly for the successful flow of government operations. Because of this, a system of records and information management must be implemented. The objectives of a records management program are:

- to ensure the uninterrupted flow of government operations on a daily or routine basis as well as after a disaster (where there is the potential loss of records);
- to create effective management procedures that establish guidelines for maintaining, using, and controlling records; and
- to generate awareness for the need of a records manager whose responsibility would be to implement and administer an operative record management program.

Records management is the systematic control of records and information from creation to final disposition. It is important to know what records to destroy, keep in the office, or transfer to off-site storage. Records management programs provide timetables 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. The Agency Analysis Bureau provides the necessary tools for addressing the State's records and information problems by means of consultation and through the development, filing, and issuing of records retention and disposition schedules (RRDS) that identify the support and program records of government. These schedules form the basis for the development and implementation of records and information management (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 these schedules, 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. During FY01 methods were discussed for identifying RRDS that contain record series items that are older than five years or that have not been modified or reviewed in five years or more. A survey process that would allow individual agencies to assess their own schedules is also being considered. A database has been developed by the staff of the Agency Analysis Bureau that identifies date of activity of all record series contained in the RRDS.

Schedules developed, filed, and issued in this fiscal year include:

- Legislative Council Service. The existing schedule was repealed and replaced with a new one. Only the format of the schedule was changed, and no substantive changes were made except for the Constituent Case Files, and the Interim Studies retention periods.

- Department of Education. The existing schedule was repealed and replaced with a new one. Three new program records were added to the schedule, and a number of sections representing individual record groups were also amended. The schedule was also renumbered and reformatted into the current NMAC style.
- General Retention Schedules. The records contained in this schedule represent the general support records created and maintained by all agencies. The only changes made to the schedules were renumbering and reformatting.
- Office of the Secretary of State. The existing schedule was repealed and replaced with a new one. Only one modification regarding the maintenance system of one of the record groups was made to the schedule.
- State Treasurer's Office. This schedule was reformatted and renumbered to reflect the current NMAC format. Only one substantial change concerning the participant confirmation letters was included in the presentation of this schedule.
- Office of the State Engineer. The existing schedule was repealed and replaced with a new one. Fifty-five new program records were added, and 51 amendments were made to existing record entries.
- New Mexico Department of Health. This schedule was amended. Eighty-two new sections were added to accommodate the Children's Medical Services' Medical Management program and the Family, Infant and Toddler program.
- New Mexico Department of Education. This schedule was amended to reflect six new program records to the Curriculum, Instruction, and Learning Technology Unit of the Learning Services Division.
- New Mexico Department of Public Safety. Modifications to this schedule were done to comply with the new criminal justice information systems changes.

In addition to developing and maintaining RRDS, the staff of the RMD provides training, consultation, and information on records and information management. During this period eight liaison-training sessions were conducted, and 219 State government employees attended these sessions. Records liaisons received training in records storage, destruction, and indexing. During this same period staff provided three fee-generating workshops - basic records and information management, record appraisal, and project management. A total of 74 people from local and state government and private repositories attended. The Division intends to expand the training in the coming fiscal year to include discussion and instruction on records and information topics and issues that have yet to be covered or that were not covered extensively enough.

This year a new workshop on records appraisal was added to the existing basic records and information management workshop and the training workshops for records liaisons. Appraisal is undertaken at many different stages during the life of a record. Those attending the workshop included records creators, records managers, and county historical society staff. The goal of the workshop was to develop records appraisal skills by analyzing records and determining their value and ultimate disposition, whether that be immediate destruction, short-term retention, permanent retention by the creating agency, or placement in an archives.

Staff of the Division also did a presentation for the New Mexico Historical Advisory Board at one of their regular meetings. The presentation consisted of a discussion of current records and information issues including the use of records retention and disposition schedules, the distinction between support and program records, and records in electronic media. The SRCA is not only trying to develop a knowledgeable government body but is also striving to raise the level of understanding of those decision makers that make funds available for the preservation of New Mexico's historical record.

As part of the agency's initiative to develop a well-informed government body that is concerned with the management of public records and information, the Division proposes to develop and publish, not later than 2004, a records and information management manual detailing proper RIM practices. The identification of topics, the development of an outline, and the research and gathering of data to be used in preparing the manual were scheduled for FY01. By the end of the year all RIM topics to be covered in the manual were

identified. An outline was also developed; it includes eight parts ranging from introduction to the various elements of records and information management including records retention and disposition, the life-cycle of records, records inventory and evaluation, RRDS, records creation and control, and machine readable records media. All definitions and approximately ten percent of the text have been incorporated into a draft. The objective of manual is to provide comprehensive records and information management information for the agencies of the legislative, judicial, and executive branches. It is also intended to encourage State agencies to act responsibly in creating, maintaining, preserving, and disposing of New Mexico's public records.

Consultation on records and information issues was also provided to 26 State government agencies and to 13 local governmental entities. Division staff responded to 3,509 requests from State government, and 625 requests from local government entities for information on records and information management. Over 800 hours of staff time were spent on providing information ranging from how to fill out storage and disposition forms to questions on the management of electronic records.

It is hoped that the development of RRDS for State and local governmental entities, along with the time spent in consultation and responding to RIM questions, will encourage and enable those entities to act responsibly in creating, maintaining, preserving, and disposing of New Mexico's public records. These efforts are also intended to assist agencies in cleaning out their file cabinets, storage areas, and databases by regularly disposing of records and information that have met their legal retention. The Division encourages offices to contact it for any specific questions about this publication or for assistance with other records and information management problems.

Although New Mexico State government is yet far from the "paperless" office, it is moving – rapidly in some areas - toward an environment where electronic documents replace paper as the medium for State government documentation. With this shift comes a potentially explosive dictate to maintain these records in their electronic form. Unlike paper records, electronic mail, word processing files and other digital records cannot simply be passed along to an agency's file room or conveniently boxed up and sent to the State Records Center for storage when employees are finished with them. To maintain and preserve these files means government must rethink how it uses and stores information. Electronic record keeping is a challenge, and there is little disagreement that work on developing a standard or guideline for the management of electronic records needs to be done. Otherwise, agencies risk losing forever the evidence of their work, depriving future policy makers, and the public, of valuable history as well as possibly placing themselves in jeopardy should a legal demand for those records be made.

An important element of the Commission of Public Records' strategic plan is to develop a mechanism to effectively manage electronic records. During FY01 RMD staff researched and gathered data on best practices to prepare recommendations for managing the State's electronic records. An administrative rule on the management of those records on personal computers (hard drives), network computer, and e-mail was drafted. The Commission also established the Electronic Records Advisory Committee and appointed its members. The Committee consists of staff members from the Office of the Attorney General, the Office of the Secretary of State, the Information Technology Management Office, the General Services Department, Information Services Division (ISD), the Taxation and Revenue Department, the State Library, and the Environment Department. Given his involvement in the development of these and other standards, Commission member Thaddeus Bernard represents the New Mexico Commission of Public Records itself and also serves as chairman in order to reinforce the importance of the Committee's work. Donald Padilla, Director of the Records Management Division, and Sandra Jaramillo, Director of the Archives and Historical Services Division, were also appointed to the Committee. Although information on the management of electronic records, along with a preliminary draft of a rule was circulated to committee members, no further action was taken in FY2001.

In conjunction to this, the Division has sought to develop staff expertise in the management of electronic records. Staff has been encouraged to read materials related to the management of electronic records and published in professional journals that the agency subscribes to such as the *Information Management*

Journal, Infopro, Inform, and E-doc. The chief of the Agency Analysis Bureau continues to identify selected readings for the staff of the records management division.

In October 2000, three records management staff attended the international ARMA conference held in Las Vegas, Nevada. Staff attended sessions specifically designed for librarians, archivists, and records managers. These sessions were intended to facilitate and deepen the understanding of the terms, acronyms, and concepts that arise when documents are stored, preserved, transmitted, presented, and printed in digital form. In the spring of 2001 division staff attended the annual conference presented by Albuquerque's Rio Grande Chapter of ARMA. Some of these sessions dealt with designing web pages, managing electronic records, and managing projects. These sessions enabled staff to understand the issues confronting records and information management today and to develop solutions and standards for those issues and problems.

Through the development and use 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. In FY01 the microphotography standards were completely modified. In the fall of 2000 the Records Management Division Director, Donald Padilla, presented the modified *Microphotography Standards - 1.14.2 NMAC* to the Commission of Public Records. The standards were open for public comment through November 30, 2000. A public hearing was held December 6, 2000, at the SRCA, and all comments were later reported to the Commission. The rule became effective on December 29, 2000. Mr. Thaddeus Bernard was also involved in the drafting of the standard.

Through its film inspection program, the Microphotography 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 standards that have been approved by the Commission of Public Records. During the fiscal year, 2,762 rolls of microfilm were inspected. Film production compliance with 1.14.2 *NMAC - Microphotography Standards* has resulted in a rejection rate of less than one percent. During FY01 7,179 rolls of microfilm were accepted for off-site security storage. Additionally, 7,137 rolls of microfilm were destroyed, bringing the total number of microform units (roll film, microfiche, com) stored to 158,458 rolls. At approximately 2,400 images per roll, this represents 380,299,200 images stored. This was almost a 1.2 percent increase over the previous fiscal year's holdings. The following table lists the microfilm holdings and activity by agency. Units are reported as rolls.

Agency Name	Rolls of film Inspected	Microforms Accepted into Storage	Microforms Destroyed	Microforms Permanently Withdrawn	Ending Inventory
Corrections, Dept. of			4		403
Educational Retirement Board					710
Energy, Minerals, & Natural Resources					1231
Engineer's Office					10463
Environment Dept.	1	1			223
Finance & Administration, Dept. of	9	19	840		5637
Game & Fish, Dept. of					17
General Services Department					87
Health, Dept. of	24	23			975
Highway & Transportation Dept.	242	242	1112		7313
Human Services, Dept. of	137	135	2639		1622
Labor, Dept. of	8	4			4981
Land Office	6	5			1851
Livestock Board			37		60
Nursing Board					1
Office of Cultural Affairs					851

Agency Name	Rolls of film Inspected	Microforms Accepted into Storage	Microforms Destroyed	Microforms Permanently Withdrawn	Ending Inventory
Profess. Engineers & Land Surveyors					346
Public Employee's Retirement Assoc.					136
Public Regulation Commission	102	93	188		17479
Public Safety, Dept. of				14	63
Real Estate Commission	21	21			0
Regulation & Licensing, Dept. of			383		659
Secretary of State	25	22	187		502
State Auditor					218
State Investment Council					6
State Personnel	28	28	710		1549
State Records Center & Archives	65	634			2481
State Treasurer	445	375			4101
Taxation & Revenue, Dept. of	5	4031	1137		51278
Veterans' Service Commission	2	2			65
Workers' Compensation Administration	59	59			1305
TOTAL EXECUTIVE AGENCIES	1179	5694	7237	14	116613
NON-EXECUTIVE AGENCIES:					
Albuquerque Technical-Vocational Institute				97	135
Carrie Tingley Hosp.					42
Colleges & Universities					154
Counties	204	244			11301
Court of Appeals					1356
District Courts	1218	1111			23208
Judicial Standards Commission	9	9			47
Municipalities	61	52			2099
School Districts	56	35			1360
Supreme Court	35	34			2143
TOTAL NON-EXECUTIVE AGENCIES	1583	1485	0	97	41845
GRAND TOTAL	2762	7179	7237	111	158458

The Micrographics Bureau also completed the transfer of all microforms (film, fiche) that were located in the uncontrolled environment of the Records Center into the micrographics vault. These microforms that were once stored (40) rolls to a box now reside in a controlled environment and are accounted for as individual entries in the automated inventory system. This task was completed one year ahead of schedule.

Filming of archival collections by the Bureau was limited to Spanish Archives of New Mexico (SANM) II Translations and 33 percent of the records brought in from the New Mexico State Land Office. Nevertheless, the Bureau did initiate a new microfilm-scanning project of archival collections to allow for the conversion of archival collections from microfilm to an electronic format.

The Micrographics Bureau also recommended to the Administrator the approval of following imaging system plans per 1.14.2 *NMAC - Microphotography Standards*:

- NM State University. This new imaging system is intended to systematically digitize and index select human resource, institutions research, and executive level records. The aim of the system is to restrict search and view capabilities through the University's computing and networking infrastructure.

- Office of the Secretary of State. The purpose of this new imaging system is to allow agency staff and the general public to access original documents on-line rather than via microfiche or original paper documents. The system is meant to provide access to the Uniform Commercial Code documents, trademarks-service marks, partnership registrations, and notary applications.
- New Mexico Tech. The objective of this new imaging system is to store digitized images of original long-term retention records as a backup to the agency's record retention plan. The records identified for this project include student academic files, student transcripts, and instructor's grade sheets.
- NM Judicial Standards Commission. This was an approval of a modification to an existing microfilm program. The modification was to include the filming of all cases filed in the New Mexico Supreme Court that are now closed. These are permanent records for the Commission.
- First Judicial District Court. This was a post-facto approval of an existing microfilm system. The specific goal of the system is to reduce space required to maintain permanent court cases in a paper format. The system is also meant to facilitate the reproduction of these records when requested by government agencies or the general public.
- Fifth Judicial District Court. This too was a post-facto approval of an existing microfilm system. The specific goals are to reduce the space requirements of paper records, to facilitate access and use, and to preserve permanent court records.
- Twelfth Judicial District Court. This too was a post-facto approval of an existing microfilm system.
- Workers' Compensation Administration. Again, this was a post-facto approval of an existing microfilm system. The goals of the system are to ensure the preservation of long-term records, dispose of the original paper documents, reduce filing space, eliminate misplaced or lost documents, and improve retrieval turn around time. All records being microfilmed are associated with the claims for workers' compensation benefits.

The Records Center Services Bureau provides State agencies cost-effective storage of records in hard copy, electronic, and microform formats. Inactive and infrequently used hard copy paper records are stored in warehouse facilities specially designed for compact and economical storage of records. These warehouse facilities are in two geographical locations, Santa Fe and Albuquerque. Electronic and microform records are stored in climate-controlled vaults specifically designed to protect these media. Storage services in these climate-controlled vaults are provided in the Santa Fe facility only.

Although inactive records are stored at the Records Center, agencies maintain custody of their records and are provided controlled access to them. At any time agencies may request to withdraw their records or view them onsite. The SRCA staff will pull records requested within twenty-four hours. In emergency situations, staff will pull records immediately. The Records Center also offers disaster recovery services, which include storage of backup computer media and storage of media masters for SRCA-approved microphotography systems (microform, electronic imaging). While it not mandatory that State agencies use the services of the State Records Center, it is the most cost-effective way to manage their inactive records.

The Records Center Services Bureau in conjunction with the Micrographics Bureau currently monitors and tracks the lifecycle status, history, series identification, and physical location of over 240,000 items. With the use of the RRDS, the Records Center staff calculates and applies the appropriate retention to the records brought in for storage. They process the storage tickets and disposition requests that have been reviewed and approved by the staff of the Agency Analysis Bureau. They then process the transfer, receipt, storage, and withdrawal of inactive public records and disposition (archival transfer, destruction) of those public records that have met their legal retention. Over 10,100 cubic boxes of records were accepted into storage in FY01. This was an increase of better than 15 percent over the previous year. During this same period, 9,544 cubic feet of records were destroyed. Of these, 3,193 were located and purged from the Records Center. New storage less in-house destruction processed brought the records in storage at the SRCA to 79,016 cubic feet, an increase of over 9,000 cubic feet of storage from the previous year.

FY 2001 Annual Activity of the Records Center

Agency Name	Boxes Received for Storage	Permanently Withdrawn	Boxes ferred to Archives	Destroyed in the Records Center	Boxes Brought in for Destruction	Withdrawn	Files Returned (re-filed)	Reviewed	End Inventory 6/30/01
Executive Agencies									
Architects Board	5					7		38	48
Attorney General					3	82	19	106	3441
Children, Youth & Families Dept.	794				409	834	811		5110
Commission for the Blind				1	14	3	1		23
Commission on Higher Education	35			8	30	127	127	68	339
Commission on Status of Women									3
Corp/Comm Public Reg	388			204	199	413	296		1310
Corrections, Dept. of	1583	1	24	117	1056	2014	1131	351	7101
Crime Victims Reparation	11			23	1	71	22		490
Economic Development Dept.				2	20				23
Education, Dept. of	400				85	54	51		1708
Educational Retirement Board	58				73	26	25		564
Energy, Minerals, & Natural Resources	739			37	193	56	66	22	1605
Engineer's Office	36				8	12	1	8	235
Environment Dept.	142			1	11	24	22		1333
Finance & Administration, Dept. of	60			86	30	6	8		845
Game & Fish, Dept. of				27	47	3	3		354
General Services Department	298			43	56	60	27	61	2408
Governor's Office	53				8	1			279
Health, Dept. of	651			169	326	368	96	3	9061
Health Policy Commission	47				2				20
Highway & Transportation Dept.	8	6	15		80	2	2		533
Human Services, Dept. of	344			485	497	356	5	1	4901
Juvenile Parole Board	19			10	11	13	2		80
Labor, Dept. of	1071			827	240	196	218		6286
Land Office	168		24		127	14	6		394

Agency Name	Boxes Received for Storage	Boxes Permanently Withdrawn	Boxes transferred to Archives	Boxes Destroyed in the Records Center	Boxes Brought in for Destruction	Files Withdrawn	Files Returned (re-filed)	Files Reviewed	End Inventory 6/30/01
Lieutenant Governor's Office									1
Livestock Board	60			87	4	191	187		1024
Medical Board	47				11	28	1		135
Nursing Board					45	62	591		276
Office of Cultural Affairs				9	39	12	5		161
Office of Indian Affairs									3
Office of Military Affairs	9					324	307		1668
Adult Parole Board					32	272	56	11	499
Professional Engineers & Land Surveyors						13			48
Public Defender's Dept.	186			628		113	123		3607
Public Employee's Retirement Association	124				84	87	26	40	1221
Public Safety, Dept. of	82		1	3	38	155	102	153	1050
Public Schools Insurance Authority					14				51
Regulation & Licensing, Dept. of	298			248	92	103	75	37	3910
School for the Deaf	30					26	28		51
Secretary of State	63		53	26		7	6		878
State Auditor	12				4	3	3	18	227
State Investment Council	33				15				166
State Personnel				52	318	2			258
State Records Center	4			3	353	1	1		68
State Treasurer	946				219	6			2065
Taxation & Revenue, Dept. of	304			70	12	9	8		3299
Tourism Dept.	53			4	31	1	5		1
Veterans' Service Commission									32
Vocational Rehabilitation Division	38				16	236	180		1388
Workers Compensation Administration	24				120	3	3		172
Youth Conservation Corps	11								11
Total Executive Agencies	9234	7	117	3170	4973	6396	4646	917	70764

Agency Name	Boxes Received for Storage	Boxes Permanently Withdrawn	Boxes transferred to Archives	Boxes Destroyed in the Records Center	Boxes Brought in for Destruction	Files Withdrawn	Files Returned (re-filed)	Files Reviewed	End Inventory 6/30/01
NON-EXECUTIVE AGENCIES									
Administrative Office of the Courts					48				392
Chaparral						48	53		30
Counties					46				
Court of Appeals	35				13				103
District Attorney, Administrative Office of	174						1		27
District Attorney Offices	400			3		8	2		2270
District Courts				10	839	1	2		324
Judicial Selection Committee		25							25
Judicial Standards Commission					30	2	5		1
Legislative Council	48					38	60	1	1841
Legislative Ed Study Committee									25
Legislative Finance Committee	33						1		276
Legislative Maintenance	3								18
Metro Court (Bernalillo)	208			10	297	624	602		
Municipal Courts					43				1618
Municipalities					12				
School Districts					50				
Senate									5
UNM (including UNMH)		429				11			1297
Total Non-Executive Agencies	901	429	0	23	1378	732	726	1	8252
GRAND TOTAL	10135	436	117	3193	6351	7128	5372	918	79016

The number of record groups that have a permanent value is quite small. These records are appraised for their archival (historical) value and are scheduled as permanent in the schedules. During FY01, 117 cubic feet of records were transferred from Records Center storage to Archives for permanent storage or for review and final disposition. This was a 70 percent increase over the transfers in the last fiscal year. The increase was due to the development of a procedures draft for transferring permanent records in the Records Center and those stored by State agencies into the State Archives. During the first quarter a test agency was used for developing procedures for transferring permanent records already in storage at SRCA to Archives. By using the Office of the Secretary of State as the test agency, the Agency Analysis Bureau was able to create workflow and paper-flow charts that will be used for creating procedures for the transfer to Archives of permanent records located both at SRCA and at the custodial agency.

The Records Center Services Bureau monitors the flow of traffic into and out of the electronic media vault. Thirty-one State agencies have been assigned locker space in the electronic media vault for storage of their electronic backup, with access during regular work hours. The Information Services Division of the General Services Department, through which the major portion of mainframe data processing is done, has around-the-clock access to its electronic backups. The SRCA encourages State agencies to use this service and avoid serious disaster recovery problems.

FY01 RMD COST-BENEFIT SUMMARY

State government creates and maintains large numbers of records containing information that agency staff must be able to access and disseminate promptly. A well designed records and information management program works best when all staff is confident that what should be in the files will be there. A good records and information program is one that:

- contains complete and comprehensive records, thereby enabling effective decision-making;
- provides integrity and continuity regardless of changes in personnel;
- facilitates protection and preservation of records;
- provides low-cost and efficient maintenance of records;
- reduces the possibility of misfiling and reduces duplication; and ultimately
- means less time spent searching for records.

An effective program is one that is designed to - and does - improve office productivity, eliminate errors, reduce liability, preserve vital records, and facilitate the exchange of information within government, and, accordingly, one that 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; a decentralized location; or a combination system utilizing both centralized and decentralized locations. If a State agency chooses to store its inactive records in a 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 of the 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 money from a statutory revolving fund that derives revenue, in part, 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, governmental or commercial.

RMD-1: Records Center Services 1998 - 2001

	FY98	FY99	FY00	FY01
Year end total number of boxes in storage	79,768	67,541	69,423	79,016
Year-end total number of cubic feet in storage (1 box = 1.2 cu.ft.)	95,722	81,049	83,307	94,819
Total number of transactions (withdrawals)	7,144	9,007	7,751	8,046
Number of regular transactions (record withdrawals)	6,400	8,200	7,054	7,128
Number of emergency transactions (record withdrawals)	744	807	697	918
Number of transactions (record re-files)	7,898	6,911	3,754	5,372
In-house destruction (cubic feet)	9,228	5,841	6,329	3,193
Number of storage boxes brought in for destruction	8,196	8,951	10,761	6,351

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). The figures reflected in RMD-2 show the average fees charged by commercial storage facilities. The

commercial costs include the fees for setting up and closing an account, transaction fees (retrieval, re-file), and fees for destroying records in facility storage. Those in RMD-3 show commercial costs applied to the combined annual activity reported for both Record Centers (RMD-1, above) to calculate the privatized costs of these activities.

RMD-2: Commercial Facility Costs

	FY98	FY99	FY00	FY01
Storage access charges				
Account set up fee (cost/box)	\$ 2.15	2.15	2.29	2.45
Retrieval, refile, computer inquiry fee	2.15	2.15	2.29	2.45
Special (emergency) rush retrieval fee	4.50	4.50	4.59	4.82
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	3.85
Destruction cost per box	2.65	2.65	2.70	2.83
Account closeout fee (cost per cubic foot)	5.75	5.75	5.86	6.15
Account set up fee (cost/box)	171,501.20	145,213.15	158,978.67	193,589.00
Retrieval, refile, computer inquiry fee	13,760.00	17,630.00	16,153.66	17,464.00
Special (emergency) rush retrieval fee	\$ 3,348.00	3,631.50	3,199.23	4,425.00

RMD-3: Annualized Commercial Facility Costs

	FY98	FY99	FY00	
Yearly storage fee per cubic foot (1 box = 1.2 cu.ft.)	\$ 344,599.20	291,776.40	305,736.69	335,053.00
Yearly destruction cost	21,719.40	23,720.15	29,054.70	17,973.00
Account closeout fee (cost per cubic foot)	458,666.00	388,360.75	406,818.78	485,948.00
TOTAL ANNUAL COMMERCIAL COSTS	\$1,013,593.80	870,331.95	919,941.73	1,084,452.00

Annual SRCA costs were \$226,633.00 in FY 2001. These costs included: records center staff salaries, employee benefits, supplies, and the lease of the Albuquerque Records Center, including utilities and maintenance.

RMD-4: SRCA Costs

	FY98	FY99		FY01
TOTAL SRCA COSTS	\$ 228,092.00	229,748.00	337,524.00	226,633.00

For FY01 cost savings, calculated from the above figures and as shown below in RMD-5, resulting from operating the SRCA Records Centers was \$857,819.00.

RMD-5: Annual Cost Savings

	FY98	FY99		FY01
Total commercial costs	\$1,013,593.80	870,331.95	919,941.73	1,084,452.00
Total SRCA costs	228,092.00	229,748.00	337,524.00	226,633.00
State Savings	\$ 785,501.80	640,583.95	582,417.73	857,819.00

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 determined 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 the SRCA were 79,016 cubic feet

of records. With a four-drawer file cabinet holding six cubic feet of records, 13,169 cabinets would have had to be purchased to contain the inactive records. At a cost of \$170 per cabinet, \$2,238,787 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 \$19,754 for FY01. 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 square feet occupied space, pullout space, and standing room per cabinet. The additional floor space needed to house 13,169 cabinets would be 118,524 square feet. The cost of office space ranges from \$20 to \$30 per square foot in downtown Santa Fe, \$18 to \$24 in the area surrounding the downtown Santa Fe area, and \$16 to \$18 outside the Santa Fe downtown and surrounding areas. The cost of office space in the Albuquerque area runs approximately \$2 less than Santa Fe. Using an average cost of \$25 per square foot, the cost for the additional office floor space would be \$2,963,100.

An automated records management system is something that not all agencies would consider or purchase. The cost of software ranges from \$60,000 to over \$86,000 for a software application with minimal licenses (excluding data migration). Based on less than half of the agencies storing in the SRCA (30) purchasing software at a mid-price of \$73,000, 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 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 \$14,222,880 plus ten percent of labor that is normally accepted as supervisory cost. This adds an additional \$1,422,288 bringing the total management cost to \$15,645,168.00.

The cost of the SRCA providing the services of records storage, record withdrawal and return, record disposition, records inventory, and records tracking was \$226,633. The total cost for State agencies to maintain their inactive records in their offices would have been \$22,830,176. The savings of having SRCA provide all warehouse services over agencies maintaining their inactive records within their own offices total \$22,830,176. The savings for this fiscal year appear higher than those of the previous year, due in great part to the staff turnover experienced throughout this period in both Records Centers.

The costs and savings cited above are predicated on agencies that chose not to use the facilities and services of the SRCA actually taking the steps necessary to maintain their records in a proper environment. In fact it is unlikely that more than a few, if any, agencies would take the steps necessary to provide that environment. The agency expenditures shown here would not ensue because agencies would not invest in additional equipment, supplies, software, and personnel required to manage these records appropriately. 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 - storage conditions can easily result in the loss of records through misfiling, vermin, flooding, or theft. Not being able to produce public records when requested by the public or other governmental agencies not only prohibits agencies from complying with the Inspection of Public Records Act 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.

Ultimately, it is the objective of the SRCA to provide the proper tools and services that will enable State agencies to implement legal and cost-effective records and information management programs. With such programs, there are a number of issues to consider.

- Where are records stored? Are they stored in utility closets or basements? Who has access to these storage locations? Do they provide climate-controlled environments? Are they at least dry and secure? Are inactive records stored at the State Records Center or are they stored in commercial facilities? Is the agency paying for commercial off-site storage?
- What records are stored? Are storage boxes and file cabinets filled with documents that could actually be disposed? Are these records accounted for in the State's retention and disposition schedules for support records or in the agency's retention and disposition schedule for program records?
- How are the records stored? Are storage boxes and office files crammed so tightly that access is almost impossible? Are storage boxes piled so high that the bottom boxes are being crushed?
- What has to be done to locate records? Is records retrieval an easy job or one that everyone dreads? Once found, are records re-filed in an easy and timely manner?
- How many copies are there? Are multiple copies of documents stashed all over the place? Who maintains the official copy of record?
- Who owns the records? Do employees take records home? Do they think the records they produce are personal property?
- How efficient is records management? Are there constant searches for files that can't be found?
- What kind of legal exposure does the agency have? Is the agency keeping records longer than necessary, or destroying them out prematurely?
- Can the records support financial audits? Are records kept long enough and in usable form to substantiate expenditures and other financial transactions if challenged?
- How much space do records consume? Is there so much record material in the office that usable work areas are cramped?

Knowing what records to destroy, to keep in the office, and to transfer to off-site storage adds to employee productivity and job satisfaction. Transferring records off-site that aren't needed for day-to-day operations provides a more effective use of office space. So in the end, why invest in records and information management? Because records and information management makes government efficient, reduces liability, and, ultimately, lowers the cost of doing business.



New Mexico State Capitol Building, 1938.
New Mexico Department of Tourism
Photograph Collection,

ADMINISTRATIVE LAW DIVISION

The Administrative Law Division (formerly the State Rules Division) is the filing point for rules and other specified instruments in New Mexico. Rules, sometimes called regulations or standards, are promulgated by State agencies to execute and support New Mexico statutes. Pursuant to the State Rules Act (Chapter 14, Article 4 NMSA 1978), for rules to be valid or enforceable, they must be filed with the State Records Center and Archives and be published in the *New Mexico Register*.

The mission of the Administrative Law 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 consultation to agencies that file regulatory material and answers questions from all individuals and groups interested in regulatory material filed in accordance with State law. Monthly training in the style and format, filing, and publishing requirements is offered to individuals involved in the State rule-making process. 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 semi-monthly publication where notices of intended rule making, newly promulgated rules, and amendments and repeals of existing rules are officially published. Notices of proposed rulemaking must be published in the *New Mexico Register* before an executive agency can proceed with the rule-making process. Further, as noted earlier, before a rule can become enforceable, it must be published in the *New Mexico Register*. Additionally, the effective date of the rule cannot precede its publication date, unless the rule qualifies as an emergency rule. Generally, the full text of rules or their amendments are published. However, in some instances (when economically infeasible or when more informative) a synopsis of the full text, if approved by the State Records Administrator, is published. In addition, proposed rules are sometimes published in the *New Mexico Register* to afford the public maximum opportunity for informing the regulated community of intended regulatory action. After publication in the *New Mexico Register*, rules are compiled into the *New Mexico Administrative Code (NMAC)*. The following table shows the Division's activity in producing 24 issues of the *New Mexico Register* in FY01.

New Mexico Register Activity

Notices of rulemaking published	182
Adopted rule filing published	695
Proposed rules published	6
Synopses published in place of full text of adopted rules	9

New Mexico Administrative Code

The *New Mexico Administrative Code (NMAC)* is a compilation of current, active rules promulgated by State agencies. The *NMAC*, available only in electronic format, 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 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. The structure ensures that all relevant information for any given rule is available within the rule and that the rule can be included in an easily searchable electronic format.

Although the *NMAC* standards were officially adopted in 1995, rules were not immediately converted to the prescribed style and format. 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 fulfill their conversion responsibilities. Consequently, at mid-

FY00, some 800 rules had yet to be converted, thus delaying the completion of the *NMAC*. In FY01 these rules were reformatted by the State Records Center and Archives and sent to the issuing agencies for approval.

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 enhances the facility for automated access and retrieval as well as improves the SRCA's ability to maintain the electronic files into future generations of software.

To achieve the goal of a consistent rule anatomy, it was necessary to reduce the amount of flexibility among agencies in structuring rules for filing in the *NMAC*. Agreement had to be reached on a new and simplified numbering hierarchy and other style and format standards. Those standards, once promulgated as rules, would guide agencies in preparing their rules for filing and publishing. After much evaluation of extant rules and receiving comment from interested parties, five new regulations governing the *NMAC* style and format and rule-filing and publication processes were promulgated, effective February 29, 2000.

The outside publisher of the *New Mexico Register* and the *New Mexico Administrative Code* agreed to convert rules already compiled in the *NMAC*. 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 2000. The agency hired temporary employees to convert those rules that had never been converted to the original *NMAC* style and format and thus never compiled in the *NMAC*.

Change of Publisher for the *New Mexico Register* and the *New Mexico Administrative Code*

Most recently publication of both the *New Mexico Register* and the *NMAC* was achieved through a contract with another agency, which then contracted with an external publisher. The arrangement carried certain advantages - primarily it both saved the SRCA the expense of publishing in-house and provided the user of the *NMAC* a convenience in that the *Code* was published in concert with the compilation of the New Mexico statutes. However, there were downsides. The *New Mexico Register* was available only through paid subscription. Although an Internet version of the *NMAC* existed, it was difficult to use; to access enhanced search functions, it was necessary again to subscribe – and at a significant cost. The material was updated only quarterly, at best. That updating schedule may work for statutory updates since the legislature meets only once a year, unless special sessions are called. It did not work well, however, for providing timely access to compiled rule material, since changes to rules can be filed twice monthly.

The conversion to the new *NMAC* style and format requirements created additional concerns. Early in FY01 it became increasingly apparent that the outside publisher was not going to complete the conversion of already compiled rules within the agreed-upon time frame. Additionally, other problems over compliance with the legally promulgated style and format requirements, relationships with issuing agencies, and provision of information arose. During the spring of 2001 it became apparent that the publication agreement could not continue – the interests of the parties was too disparate. In May, the SRCA received a termination of agreement notice with an effective date of July 1, 2001. The SRCA decided that agency would produce the *New Mexico Register* and the *NMAC* on its own; however, the July 1, 2001 date would not provide sufficient time to make the transition. The SRCA replied suggesting a September 1, 2001, and at the conclusion of the fiscal year was awaiting a response to the alternative date.

After the transition, the SRCA plans to publish the *New Mexico Register* in house, both in paper and electronic version. The charge for the paper copy will be the same as previously charged by the publisher –

as established by rule. The on-line version of the *New Mexico Register* will be free and will be available the day of publication. The on-line version will contain hypertext mark up language (html) and portable document format (pdf) versions of all the submissions to the *New Mexico Register*. A pdf copy of the three-column paper version will also be available on-line. The SRCA has conducted test versions of both formats and feels confident the transition can take place with minimal disruption to the production of the *New Mexico Register*.

The costs for publishing in the New Mexico Register will not change; the only difference will be that agencies will pay the SRCA, rather than the outside publisher. The Division is developing a database to track the charges for publication and for subscriptions to the paper version. The database will record charges and print invoices.

With the termination of the publishing agreement, the SRCA will also take over the compilation of the *NMAC*. The SRCA has decided to make the rules available from the agency's website and will provide them in html and pdf formats. The html documents will be searchable through a search engine purchased by the SRCA from an independent provider. It will be able to search the text of the rules using complex Boolean logic. To prepare for posting the *NMAC* on its website, the SRCA is reformatting the rules remaining in the original *NMAC* style and format to comply with the new requirements. The agency plans to make the first portion of the *NMAC* available in the fall of 2001. The hope is to post the *NMAC* in its entirety by then end of 2001.

NMAC Training

As mentioned earlier, in order to assist agencies in producing rules that meet the prescribed style and format requirements, the agency conducts monthly training. Previously offered only quarterly, training began to be offered, unless interest was insufficient, monthly with the adoption of the new style and format requirements in February of 2000. The Deputy State Records Administrative assumed responsibility for teaching the classes in FY01, given the vacancies in the ALD directorship. The following table compares training offered in fiscal years 1999, 2000, and 2001.

Training Activity	1999	2000	2001
NMAC training sessions	4	7	10
Employees trained in NMAC sessions	62	145	
Requested training sessions	Unknown	4	1
Employees trained in requested sessions	N/A	39	6

