

## **COMMISSION OF PUBLIC RECORDS**

### **STATE RECORDS CENTER AND ARCHIVES**

The Commission of Public Records is the governing body of the State Records Center and Archives. Its membership is established by law and is composed of both elected and appointed officials. In Fiscal Year (FY) 2003 the members of the **COMMISSION OF PUBLIC RECORDS and their designees** were:

<b>Historian</b>	<b>Stanley M. Hordes, Ph.D., Chair</b>
<b>Secretary of State</b>	<b>The Honorable Rebecca Vigil-Giron</b>
<b>State Auditor</b>	<b>The Honorable Domingo Martinez</b>
<b>Attorney General</b>	<b>The Honorable Patricia Madrid</b> , represented by <b>Al Lama</b> , Director, Civil Division, Office of the Attorney General
<b>Supreme Court Law Librarian</b>	<b>Thaddeus P. Bejnar</b>
<b>Secretary, General Services Department</b>	<b>Steven Beffort</b> (July through September) and <b>Dave Davis</b> (acting Secretary, October through December), represented by <b>George Marquez</b> , Office of the Secretary  <b>Edward J. Lopez Jr.</b> (January through June), represented by <b>Deborah Moll</b> , Office of the Secretary
<b>Director, Museum of New Mexico</b>	<b>Tom Wilson, Ph.D.</b> (July through January)  Position vacant - represented by <b>Bergit Salazar</b> , Deputy Secretary, Department of Cultural Affairs (February through June)

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). On November 1, 2003, Sandra Jaramillo was appointed State Records Administrator. The former State Records Administrator, Ms. Elaine Olah, retired from State government on October 31, 2003. Ms. Jaramillo directs a staff of 37 (36.5 FTE) using a management team approach and a strategic plan to guide the activities of the agency. Ms. Jaramillo made two organizational changes: the New Mexico Historical Records Advisory Board Grants Administrator was placed under the Archives and Historical Services Division and the Office of the State Historian was placed directly under the supervision of the State Records Administrator.

## THE 2003 MANAGEMENT TEAM

**Sandra Jaramillo, C.A.**, State Records Administrator

**Daphne Arnaiz-DeLeon, C.A.**, Archives and Historical Services Division Director

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

**Don Padilla**, Records Management Division Director

**Estevan Rael-Gálvez**, Ph.D., State Historian

**John Martinez**, Administrative Law Division Director

## 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.*

## ADMINISTRATIVE SERVICES DIVISION AND AGENCY MANAGEMENT

The Administrative Services Division (ASD) provides support services to the program divisions of the agency. Those services include fiscal, personnel, facility management coordination and security administration, and information systems. Agency management comprises the State Records Administrator and the Deputy Administrator, who also serves as the ASD Director, and an Administrative Assistant. In FY03, the ASD and agency management had eight full-time equivalents (FTEs).

## ADMINISTRATIVE LAW DIVISION

The Administrative Law Division (ALD) 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 SRCA and published in the *New Mexico Register*. The ALD publishes rules, as well as notices of intended rule making 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. Interstate compacts and county sub-division regulations also must be filed with the SRCA in order to be valid and enforceable. In FY03 the Division had four FTEs.

## ARCHIVES AND HISTORICAL SERVICES DIVISION

The Archives and Historical Services Division (AHSD) 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 governmental 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. Eight regular and one term FTE staffed the Archives Bureau. As a result of a re-organization the Historical Records Advisory Board Grants Administrator, a part-time FTE (supported by federal grant and general fund) was placed under the AHSD. A second part-time, temporary employee, supported through a federal grant, was employed from July 1, 2002 through March 31, 2003 to conduct assessments of local governmental and tribal historical records repositories.

## 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

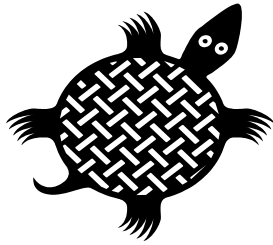
systematic records management program has been developed by the Records Management Division (RMD). Records management deals with the management and control of State agencies' records - their use, storage, and transfer, from their creation to their final disposition. Efficient and economical management involves the description of records used by State agencies. Records retention and disposition schedules provide this description and become the basic tools of agencies' records and information management programs. The RMD also offers warehouse management of inactive records as well as records disposition and records management consultation. In FY03 the Division was organized into three bureaus and had a total of 13.5 FTEs.

### **OFFICE OF THE STATE HISTORIAN**

The State Historian sits as a statutory member of the Cultural Properties Review Committee, the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. He also assists the State Historic Preservation Office by providing historical consultation on culturally significant sites and structures. One of the principal functions of the State Historian is to promote throughout the state a greater awareness of, and appreciation for New Mexico history. The State Historian offers consultation to State, federal and local governments, provides lectures to various organizations interested in New Mexico history, responds to requests for historical information, and undertakes research projects of benefit to the scholarly community and the people of New Mexico. In FY03 the Office of the State Historian was staffed by one FTE.

### **NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD**

The New Mexico Historical Records Advisory Board (NMHRAB) 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 NMHRAB has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. Seven members of the Board are appointed by the Governor and include historians, records managers, and archivists representing public and private interests throughout the state. The State Records Administrator is also a member and chairs the Board. The Grants Administrator, who reports directly to the AHSD Director, provides staff support for the Board.



## EXECUTIVE SUMMARY

In its commitment to preserve, protect and facilitate the use of records that document the rights and history of New Mexicans, the SRCA continues to serve as lead advisor to state agencies, local governments, and historical repositories on issues pertaining to the management, appraisal, and preservation of public records and historical documents. Highlights summarized in this annual report are the results of a dedicated and talented staff.

Fiscal Year (FY) 03 brought changes in administration for the agency. Ms. Elaine Olah, who served as State Records Administrator from November 22, 1994 through October 31, 2002, retired from State government after twenty-five years of service. The Commission of Public Records appointed Sandra Jaramillo as State Records Administrator effective November 1, 2002. Ms. Daphne Arnaiz-DeLeon was hired to replace Ms. Jaramillo as the Archives and Historical Services Division Director and assumed her duties in December 2002.

The agency continued to publish the *New Mexico Register* and the *New Mexico Administrative Code* (NMAC). Improvements were made to the on-line version of the *New Mexico Register* to include a cumulative index, containing lists of notices of rulemaking and of adopted rules filed with the SRCA. The NMAC web site was also improved. The web site may now be read by programs that assist the visually impaired. Increases in the number of State employees participating in NMAC training were also noted; the number of participants rose from 66 in FY02 to 76 in FY03. Mr. John Martinez, Administrative Law Division Director, along with the Deputy State Records Administrator, attended the National Association of Secretary of States (NASS) Conference at which Mr. Martinez presented a session on the agency's experience bringing publication of the *New Mexico Register* and NMAC in-house.

The Records Management Division, charged with promoting efficiency in state government record keeping practices by developing records and information management programs, produced ten record retention and disposition schedules in FY03. Along with the development of these records retention and disposition schedules, the staff of the Records Management Division provided training and consultation on records and information management to State and local government entities. The Records Center accepted over 12,230 cubic feet of records into storage, and disposed of 16,721 cubic feet. The Santa Fe and Albuquerque records centers stored 90,120 cubic feet of records, an increase of more than 9 percent over the previous year-end holdings. A total of 2,076 cubic feet of records was transferred from storage to the Archives for appraisal and final disposition. This was a dramatic increase over the previous fiscal year's transfers of 52 cubic feet. Effective information control, essential to the operation of any government, resulted in the development of a rule for managing electronic records (1.13.3 NMAC, *Management of Electronic Records*).

The SRCA experienced a setback in its acquisition of a records management inventory application. In the General Appropriation Act of 2001, money was appropriated for the acquisition of a replacement system. A Request for Proposals (RFP) was issued during the first half of FY 02, with the contract awarded later in the year. Resomax Inc., the company awarded the contract, notified the SRCA in June 2002 that the owner of the company had died unexpectedly. In November 2002 the agency received a letter stating the company would not be able to fulfill the contract. The agency was unable to recoup funds expended on the project because a performance bond was not required from Resomax Inc. The Commission was able to obtain a new \$70,000 appropriation in the General Appropriation Act of 2003 for the acquisition of a records management inventory application. The SRCA will begin the process for Request for Proposal (RFP) again in FY04.

As a part of the ongoing Office of the State Historian's Humanities Forums - *Perspectives in New Mexico History and Culture*, the State Historian, Estevan Rael-Gálvez, Ph.D., successfully organized and presented a forum entitled, "Women's History and Culture in New Mexico." He also provided consultations

on New Mexico history to over 100 government entities, schools, organizations, and academic institutions. During FY03 the State Historian also served as chair of the New Mexico Cultural Properties Review Committee and, as a continuing member, helped to provide continuity and institutional reference during the transition in membership that occurred with the in-coming gubernatorial administration.

The Archives and Historical Services Division was successful in obtaining grants funds to continue work on the preservation of several historical films - a priority identified in the 2003 update to the agency's *Strategic Plan, 2001 – 2005*. It also advanced public access by continuing its archival imaging project, placing digital images of historical photographs on-line and providing on-line access through the agency's web site to other archival collections. Governor Johnson proclaimed the week of October 6 through 12, 2002 as Archives Week. The event was marked by an opening reception at the New Mexico State Library, Archives, and Records Center. A series of lectures, held throughout the week, followed.

A National Historical Publications and Records Commission (NHPRC) grant was awarded to the New Mexico Historical Records Advisory Board to fund assessments of local and tribal governmental records and to create an on-line database of State repositories. An archivist was hired to conduct the assessments, which included a pre-assessment survey, an on-site visit, and written observations and recommendations. A total of 50 local and tribal governmental offices and one diocese participated. Work on the project began January 2002 and will terminate in September 2003 (FY04). The second part of the NHPRC grant, providing funding for the on-line resource of historical records repositories, resulted in the *Historical Information Network Tracking System* (HINTS) that became available on-line in FY03. It describes the types of collections in the custody of participating repositories around New Mexico.

Faced with the dilemma of expending resources on the storage and maintenance of permanent, confidential records that under New Mexico confidentiality provisions would never be accessible to the public, the agency sought to find a solution to this problem. The outcome was the enactment of House Joint Memorial 54 (HJM54) by the 2003 Legislature. The memorial requested the Commission of Public Records to establish a multi-agency task force to study the issues of confidentiality and access with respect to permanent records. A multi-agency task force was organized pursuant to HJM54 and began its work in June 2003. The task force is scheduled to complete its work in September 2003 and submit a report to the Legislative Council by October 31, 2003.



"Governor's Mansion decorated for Christmas, 1946." New Mexico Dept. of Tourism Photograph Collection. Image # 1363.

## ADMINISTRATIVE LAW DIVISION

### PRIMARY RESPONSIBILITIES

The Administrative Law Division (ALD) is the filing point for rules promulgated by executive-branch agencies, for interstate compacts, and for county subdivision regulations. Agencies proposing to enter into rule making must also submit and have published in the *New Mexico Register* notices of their intent to do so. Rules 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 and enforceable, they must be filed with the State Records Center and Archives (SRCA) and be published in the *New Mexico Register*.

The mission of the ALD is to file, effectively and efficiently, the rules and other instruments it receives; to manage and preserve those rules and instruments; and to make the rules, notices, and other instruments filed with it accessible to the public and other users. To fulfill this mission, Division staff monitor compliance with statutes and rules affecting the rule-filing and publishing processes. To guide State agencies, they provide training and consultation with respect to the requirements for filing and publishing and answer questions from individuals and groups interested in regulatory material filed with the Division. Monthly training in the style and format, filing, and publishing requirements is offered to individuals involved in the rule-making process. Finally, Division staff maintain and preserve all regulatory material filed with the Division until the material is repealed or otherwise determined no longer valid (at which time it is transferred to the State Archives) and assure open and public access to the material is provided.

### ***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 rule making must be published in the *New Mexico Register* before an executive agency can proceed with the rule-making process. As noted earlier, a rule is neither valid nor enforceable until it is filed with the SRCA and published in the *New Mexico Register*. Generally, the full text of rules or their amendments are published. However, in some instances when publication of the full text would be economically infeasible or overly cumbersome or when a summary would be more informative, a synopsis of the full text is published, if the State Records Administrator approves. In addition, proposed rules are sometimes published in the *New Mexico Register* to afford the maximum opportunity for informing the public and 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 *New Mexico Register* activity over the past years.

<b><i>New Mexico Register</i> Activity</b>	<b>FY99</b>	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY03</b>
Notices of rulemaking published	217	227	182	175	180
Adopted rule filing published	714	824	695	795	521
Proposed rules published	27	23	6	2	3
Synopses published in place of full text of adopted rules	13	15	9	8	2
<b>TOTAL ACTIVITY</b>	<b>971</b>	<b>1089</b>	<b>892</b>	<b>980</b>	<b>706</b>

### ***New Mexico Administrative Code (NMAC)***

The *New Mexico Administrative Code (NMAC)* is a compilation of current, active rules promulgated by agencies of the executive branch and some portions of the judiciary. The *NMAC*, available only in electronic format, provides a topically organized view of rules, enabling the user to read related rules in context.

The structure and format for the *NMAC* reflects the structure and format prescribed by the SRCA for rules filed under the State Rules Act. The structure ensures that all relevant information for any given rule is available with the rule and that the rule can be included in an easily searchable electronic format.

### **In-house Publication of the *New Mexico Register* and the *NMAC***

The SRCA continues to publish both electronic and print versions of the *New Mexico Register*. The electronic editions are available free, on-line on the day of publication through the agency's web site. The text is available in both html and pdf formats, and readers can download copies of individual notices or rules or of the entire issue in the same format as the printed version. The paper version is available through paid subscription and is mailed to subscribers as close to publication day as possible. With each issue, the cumulative index, which contains a list of notices of rulemaking and another list of adopted rules, is updated.

The rates for publication are established in rule and have remained the same as when the *New Mexico Register* was published externally – the only difference is that now publishing entities pay the SRCA, rather than the outside publisher. The Division developed a database to track the charges for publication and for subscriptions to the paper version. The database records charges, prints invoices and affidavits, and generates statistics. The money received directly supports the costs of producing the publication in-house.

The SRCA compiles the *NMAC* and makes it available from a web site linked to the agency's main page. Like the *New Mexico Register*, rule text in the *NMAC* is available in both html and pdf formats. The html documents are searchable through a search engine purchased from an independent provider. It searches the actual text of the rules and is capable of using complex Boolean logic.

During late FY02 and much of FY03, contractors and temporary employees assisted with the proofing of the rules reformatted for the *NMAC* web site. One proofer read aloud the text of the original, filed rule while the other proofer followed along in the text of the reformatted rule on the web site. By doing this, they ensured that none of the text had been changed and that the reformatting had not inadvertently altered the meaning or scope of the rule. Fortunately only a few textual problems surfaced. However, because of the extreme time constraints encountered during the initial reformatting, the SRCA could not correct all of the capitalization and punctuation to comply with the new formatting requirements. It was decided that the proofers would take the time to mark these changes in addition to any textual errors or other style and formatting mistakes they encountered. By the end of FY03, the proofing was completed. The next step is to enter and verify all corrections. The SRCA plans to have all of the changes suggested through the proofing process posted to the web site by the end of FY04.

The SRCA continued its efforts to inform the public that the *NMAC* was available on-line. As part of this effort, a presentation was given to the Administrative Codes and Registers conference (an affiliate of the National Association of Secretaries of State) early in FY03. On the whole, the comments received about both web sites have been very positive. It appears many in State government and the general population have found their way to the sites and use them regularly.

### ***NMAC* Training**

As mentioned earlier, to assist agencies in producing rules that meet the prescribed style and format requirements, the SRCA 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 content of the course has also been expanded to include information on rule making in New Mexico State government in general and advice on how to use the prescribed word processing application more effectively in formatting rules.

The following table compares training offered over the past fiscal years.

Training Activity	FY99	FY00	FY01	FY02	FY03
<i>NMAC</i> training sessions	4	7	10	11	9
Employees trained in <i>NMAC</i> sessions	62	145	89	66	76
Requested training sessions	Unknown	4	1	1	0
Employees trained in requested sessions	N/A	39	6	2	0

Although overall attendance has dropped since the high of FY00 (when the new style and format requirements were implemented), the need for regular training continues since those employees engaged in rule-related processes in the agencies change frequently. Further, employees of agencies that engage in rule making only infrequently may need to attend more than once.

### Subdivision Regulations and Interstate Compacts

The ALD is the central filing point for more than rules. Other instruments - specifically, county subdivision regulations and interstate compacts - must be filed with the Division before they can become effective. The ALD maintains databases of the filed material and makes lists of them available on-line. The following table shows the number of county subdivision regulations and interstate compacts filed over the past several fiscal years.

Type of Instrument Filed	FY99	FY00	FY01	FY02	FY03
County Subdivision Regulations	13	14	15	15	16
Interstate Compacts	10	17	10	10	11

### FY03 ALD COST-BENEFIT ANALYSIS

The Administrative Law Division publishes, as mandated by statute, the *New Mexico Register* (the official publication for notices of rule making and adopted rules) and the *NMAC* (a compilation of current rules). Both are available on-line without charge to State agencies and the general public. Operating costs are paid from the general fund and are supplemented by revolving fund revenues derived from the sale of subscriptions to the *New Mexico Register*.

The rules issued by State agencies constitute administrative law. Administrative law, while it must be promulgated with statutory parameters, carries the effect of law. Accordingly, rules often have profound impact upon New Mexicans and the way they conduct their lives and their businesses. Also, rules issued by one State agency may also affect the way other agencies and other governmental bodies carry out certain operations. Among other things, rules dictate the steps one must follow in securing a professional license and in keeping that license. They specify how one must qualify for various types of public assistance. They impose health, safety, and operational standards that businesses must meet. They instruct governmental entities and audit firms in how financial audits must be conducted. And they govern many other aspects of the daily lives of New Mexicans. Consequently, access to those rules and to information about intended changes in them is critical if those whose lives and businesses are impacted are to be aware of the conditions with which they are supposed to comply and are to have the opportunity to have a say in the imposition of new rules or changes in existing ones.

### Centralized Rule Filing

As the central location for rule material, the SRCA saves the government and the people of New Mexico time and money. Instead of going from agency to agency looking for copies of rules, anyone can visit the ALD to look at the official copy of any current rule. If the rule is no longer current, it can be found in the same building with the Archives and Historical Services Division. The ALD maintains a database that tracks the rules, both current and repealed, which assists patrons find the material they seek.

The SRCA has also established uniform style and formatting requirements that aid in the research of rules. Standard descriptive information is contained in the first seven sections of a rule. Similar internal



organization allows uniform citation methods and permits the user to become accustomed to the way a rule looks and is structured.

The two staff analysts in the ALD provide assistance to rule-making agencies, review in-coming rules for compliance with style and format requirements, and proof filed rules to assure that paper and electronic copies are identical. They also help proof the *New Mexico Register* and the updates to the *NMAC* to assure accuracy.

### ***New Mexico Register***

As noted above, the *New Mexico Register* is the official publication in which executive-branch agencies must, by law, publish notices of intended rule making and final rules and amendments, and repeals thereto. Accordingly, it provides a single, authoritative source for rule-making activity within the executive branch. People do not need to go from agency to agency to learn if and when and where rule hearings are to be held, or to see the text of adopted rules. The one publication affords readers access to information they need to participate in the rule-making process and to avail themselves of the actual text of adopted rule actions.

The SRCA decided when it took the publication in-house in August of 2001 to make the *New Mexico Register* available on-line and free of charge. However, the agency still offers a paper version for those who prefer, and subscriptions are available at \$270 per year. At the end of the 2003 fiscal year, there were 18 paying subscribers, only a few of which were State agencies. The on-line version of the *New Mexico Register* has greatly expanded the availability of the publication and has eliminated subscription costs for the majority of State agencies. The cost to agencies publishing in the *New Mexico Register* is \$1.50 per columnar inch, and that revenue is used to support the position of publication editor and other publication-related expenses.

Also, the SRCA produces a cumulative index to the *New Mexico Register*. This listing documents all notices of rule making and adopted rule text throughout the year and is updated with each issue. It facilitates access by providing a research tool that saves users time in determining the rule activities of State agencies. The index is organized alphabetically by agency, which enables easy review of all the hearings and rule changes of an agency during the calendar year.

### ***New Mexico Administrative Code***

The *NMAC* is a compilation of the current rules of executive-branch agencies (and of a few judicial agencies that voluntarily file with the SRCA), organized by subject. Each rule is assigned a unique number so that it can be found easily. The *NMAC* web site has improved the ability to locate rules. If the *NMAC* number is known, one can quickly click through the appropriate links and find the text of the rule. If the *NMAC* number is not known, one can use the search engine on the web site. The SRCA has heard from other agencies, most notably the State Library, that the web site, especially the search engine, has saved them time. The reference librarians are able to find rules within a few minutes while in the past it would have taken much longer.

The *NMAC* web site was designed so that others can link to whatever level, down to the part, of the *NMAC* works best for them. For example, one can link to the front page; to the list of the 22 titles; or to an individual title, chapter, or part. The *NMAC* site is updated once a month, when the new rules, amendments, and repeals that went into effect the previous month are added to the web site. The SRCA retains the same web addresses for the titles, chapters, and parts so that links to the web site will work even after rules are amended. That means web designers who link to the *NMAC* web site will not have to worry about updating their sites with each amendment. A number of agencies have stopped mailing their rules to affected parties or placing their rules on their web sites and just link to the *NMAC* web site. They find it is easier to disseminate their regulations using the *NMAC* web site. One agency says it has saved money by referring regulated parties to the *NMAC* web site. In the past it had to mail out copies

of new rules and amendments to users all over the state. The SRCA itself has saved money by referring people to the retention schedules (filed as rules) instead of mailing copies of those rules.

### **Costs**

Obviously, the open access and ease of use provided through the standardization of style and format and the enforcement of those requirements, the centralized filing and continuing maintenance of rules, and the publication of the *New Mexico Register* and the *NMAC* carry a price tag. The direct costs incurred by the ALD in performing its responsibilities were \$234,316 for FY03. These costs included salaries and benefits for the four employees and temporary workers hired to help in the conversion process; contractual costs for additional assistance in the conversion and proofing of the *NMAC*, and supplies, equipment maintenance, and other miscellaneous goods and services. If the indirect costs of management and administrative services allocated to the ALD are added, the total costs for FY03 rise to \$310,794. These costs were offset by \$41,930 in revenue generated through fees charged for publishing in the *New Mexico Register* and the few remaining subscriptions for paper copies, reducing the total to \$268,864.

Of the FY03 costs, by the far the majority were those associated with the long-established functions involved with the filing of rules with the Division - the review and proofing of those rules for style and format compliance and for consistency between electronic, paper, and published versions; the assistance and training provided filing agencies; the maintenance of software applications; and the actual filing and maintenance of the rules themselves. The only significant, added general fund expenditures in FY03 were those made for temporary and contractual help in the conversion and proofing processes – and these were expenditures that were needed regardless of publisher if the compilation was to be complete and reliable. However, once the corrections made during the conversion proofing process are entered - a process expected to be completed during FY04 - operational costs should drop since the need for contractors and temporary employees should be eliminated or greatly reduced.

The search engine for the *NMAC* that the agency acquired in FY01 has proven extremely cost-effective. Since the costs associated with providing search capabilities for on-line publications in some other states were prohibitively high, the SRCA was concerned that it would be unable to offer effective search functions, which would significantly reduce the utility of the *NMAC*. Fortunately, after thorough research, the agency obtained license to a search engine that, as noted previously, searches the full text of the rules and is capable of using complex Boolean logic - and the price was approximately \$150. To this point updates have been free.

It is important to note that the additional, recurring costs associated with assuming responsibility for publishing the *New Mexico Register* and the *NMAC* in-house – and with the major strides that produced in opening access to the State's administrative laws and law making processes – are covered by the revenue generated by the \$1.50 per columnar inch fee charged agencies publishing in the *New Mexico Register*, the same fee previously paid by those agencies to an outside publisher.



## ARCHIVES AND HISTORICAL SERVICES DIVISION

The Archives and Historical Services Division (AHSD) is charged with preserving and providing access to the permanent records of New Mexico State government that are entrusted to the care of the SRCA. By fulfilling this mission, the Division maintains an authentic and accessible record of the actions of State government. The Division also works to educate the public on the value and potential uses of historical records through quality reference assistance and various outreach programs such as tours, exhibits, and presentations.

A re-organization in 2003 by the new State Records Administrator resulted in the establishment of the Office of the State Historian under the direct supervision of the State Records Administrator and the placement of the New Mexico Historical Records Advisory Board Grants Administrator in the Historical Services Bureau.

### ARCHIVES BUREAU

The Archives Bureau performs a full range of archival tasks in order to manage collections efficiently and provide access to New Mexico's unique records.

#### FY03 High Points

##### Historic Films

Preservation of the motion picture film collections was identified as a priority in the agency's *Strategic Plan, 2001-2005*. Building upon successful efforts in FY02 to attain alternative funding for laboratory preservation, the Bureau was able to coordinate several well-attended and well-received screenings of the following restored films: *Los Alamos Ranch School and Summer Camp* (1929-1930), from the Fermor Church Collection; *San Ildefonso-Buffalo and Cloud Dances* (1929), filmed by Virginia Adams; and *Indian Portraits-CCC* (1939), a film from the Robert and Evelyn B. Measles Collection. The Bureau was also invited to screen the restored films plus *Agueda Martinez - Our People, Our Country* at the Taos Talking Pictures Festival. The Taos screening, which was entitled *Made in New Mexico: Treasures from the Archives*, was a unique opportunity to promote the richness of New Mexico's past and the significance of the agency's collections.

Through the continued diligence of Brian Graney, Senior Archivist, the agency received an \$11,800 award from the National Film Preservation Foundation to restore the Amelia White Home Movies. These films document early twentieth century Santa Fe and include an example of the first color process in the United States – Kodak Kodachrome.

##### Archival Records Management

Effective management of public records in accord with archival principles of original order and provenance helps to ensure that these records are accessible and their value maintained or increased. The existence of a consistent set of procedures preserves the authenticity and reliability of such records. Without reliable and accessible records, accurate documentation of the actions of government is lost and accountability to the public compromised, and without accountability, democracy is jeopardized. In FY03, in support of the Commission of Public Records strategic objective to "*have public records managed properly, in accordance with Records Information and Archival Management principles, throughout their lifecycle*," the staff of the Archives Bureau selected, appraised, accessioned, processed, and preserved records of evidential, informational, and research value. Records for appraisal and permanent retention are identified in the records retention and disposition schedules of State agencies, and records for permanent retention are transferred from the Records Center and from select agencies directly to the Archives. Collections are also obtained through private donations, but these must fall within the scope of

the SRCA collection policy in order to be considered for acceptance. Donations of significant research value acquired in FY03 included the Jose Patricio Chaves Family Papers and others listed in the second table below.

### FY03 Accessions

Public Records Accessioned	Linear Feet
Arts Division (Cultural Affairs, Department of)	4
Auditor, State	221
Bernalillo County Metropolitan Court	8
Boundary Commission	2
Corrections Department	19.5
Crime Victims Reparation Commission	1
Cultural Affairs, Office of	40
Economic Development, Department of	17
Education, Department of	163
Educational Retirement Board	41
Energy, Minerals, and Natural Resources Department	128
Energy Research and Development Institute (abolished 1991 - duties transferred to Economic Development Department)	1
Engineer, State	201.25
Engineers and Surveyors, Board of Registration for Professional	2
Environment Department	22
Fair Commission, State	29
Finance and Administration, Department of	127
Game and Fish, Department of	2
General Services Department	1
Governor Gary Johnson	794
Health Policy Commission	15
Higher Education, Commission on	23
Human Services Department	39
Labor, Department of	40
Land Office, State	1
Legislative Council Services	21
Legislative Education Study Committee	17
Legislative Finance Committee	50
Library, State (Cultural Affairs, Department of)	34.5
Lieutenant Governor Walter Bradley	6
Livestock Board	5
Military Affairs, Department of	2
Personnel Office, State	25
Public Employees Labor Relations Board	1
Public Records, Commission of	13
Public Safety, Department of	6
Racing Commission	2
Regulation and Licensing Department	2
Secretary of State	160
Taxation and Revenue Department	2

<b>Public Records Accessioned</b>	<b>Linear Feet</b>
Treasurer, State	2
University, New Mexico State	2
Women, Commission on the Status of	3
Subtotal	2,295.25

	<b># of Publications</b>
State Publications	1,021

<b>Private Records Accessioned</b>	<b>Linear Feet</b>
Albuquerque Museum Collection of Hubbell Family Papers	7
Justice Joseph Baca Papers	116
Robert Patton Collection	2.5
Merced de Juan Bautista Valdez Records	0.25
New Mexico Jewish Historical Society Records	0.25
Don Cline Collection	0.25
Jose Patricio Chavez Family Papers	1
New Mexico Women's Golf Association Records	12
Subtotal	139.25

### **Accessibility**

The Bureau continued to support the agency's strategic initiative #3, *have a comprehensive, authoritative locator service for public records*, by enhancing the on-line catalog. Approximately 1,000 digital images from the Department of Tourism Photograph Collection and all encoded finding aids completed as part of the National Endowment for the Humanities grant-funded *Online Archive of New Mexico* project (FY01) were added to the on-line catalog. The public can now access a total of approximately 2,000 digital images and descriptive information about the majority of the Archives' collections. Searching the catalog is achieved by entering a simple query. All records that fit the query parameters are displayed, regardless of the collection in which they reside. On-line capabilities have greatly expanded access to Archives' collections, both beyond the operating hours of the SRCA and for audiences previously unreachable.

### **Outreach**

In support of the agency's strategic initiative #1, *increase knowledge of records, information and archival management practices*, the Division during FY03 conducted 21 tours and reached 387 people. Tours included presentations on the historical significance and potential uses of the Archives' collections. Several educational institutions received tours, including the Santa Fe Community College, the New Mexico Academy of Math and Science, OASIS (life-long learning organization), DeVargas Middle School, Delta Kappa Gamma Society, and the University of New Mexico Teacher Institute.

Additionally, the Division:

- assisted thousands of individuals trace their families' genealogies;
- used exhibits, tours, and presentations as opportunities to teach the public about New Mexico history and its original documents;
- assisted numerous researchers locate information and illustrations for books, articles, films, and television documentaries;
- helped, through its work on records appraisal, processing, and preservation, ensure that future New Mexicans will be able to find the records they need;
- helped grantee heirs, scholars, students, and legal experts locate Land Grant documents; and

- enabled teachers, students, and researchers to access information regarding the agency's holdings through their computers at school, at home, and at work.

### Comparisons of Statistics for Reference Activities for FY02 and FY03

Activity	FY02	FY03	%
Visitors	5334	3404	-36%
Correspondence	294	409	+12%
E-mail	489	517	+4%

### Records Processed in FY03

Public Records Processed	Linear Feet
Governor Anaya	46
Public Employees Retirement Association	5
Land Office, State	0.25
Education, Department of	2
	<b># of images</b>
Racing Commission	1848
	<b># of publications</b>
State Publications	1021
Spanish Colonial Research Center	4
	<b># of microfilm reels</b>
Santa Fe County Deed Books	102
Spanish Colonial Research Center	1
	<b># of motion picture film reels</b>
Historical Film Collection	563

Private Records Processed	Linear Feet
Albuquerque Museum Collection of Hubbell Family Papers	6.75
Justice Joseph Baca Papers	116
Jose Patricio Chavez Family Papers	1

### Archives Week FY03: Family and Community

Governor Richardson proclaimed October 5 through 11, 2002 "New Mexico Archives Week." Archives Week is an opportunity for archival repositories to showcase their collections and invite the public in for various collection-centered events. This year the theme for the Week was *Family and Community*. Events included an opening reception, panel discussions, open hours on Saturday for research, a film screening, and a preservation fair that provided experts to evaluate, for historical value and preservation condition, documents brought in by participants.

### HISTORICAL SERVICES BUREAU

As discussed earlier, in FY03, in a reorganization by the new State Records Administrator, the position of State Historian was moved to report to the Administrator and in its stead the New Mexico Historical Records Advisory Board (NMHRAB) and its programs were placed within the Bureau.

### New Mexico Historical Records Advisory Board

The New Mexico Historical Records Advisory Board (NMHRAB) was established to serve as the local advisory board for reviewing all New Mexico records preservation and access or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission (NHPRC).

Since its establishment, the Board has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. Seven members of the Board are appointed by the Governor and include historians, records managers, archivists and others representing public and private interests from throughout the state. The State Records Administrator is an ex officio member and serves as chair of the Board. A term, part-time Line Manager position provides staff support to the Board and manages the re-grant and scholarship programs. Beginning in April of 2002, a federally funded, part-time, temporary position was added to assist in the Board's assessment project. That position ended when funding expired in March of 2003.

Governor Johnson appointed six new Board members during the fall of FY03. Dr. Tessie Naranjo remained on the Board and was joined by:

Shirley Clark, City Clerk, City of Las Cruces;  
Geoffrey Brown, Director of the Navajo Nation Museum;  
Jolane Culhane, Ph.D., Professor, Western New Mexico University;  
Carlos Vasquez, Ph.D., Literary Arts and Culture Division Director, National Hispanic Cultural Center;  
Seth MacFarlane, Librarian, Philmont-Seaton Museum; and  
Lisa Johnston, Assistant City Clerk, City of Artesia.

In March 2003, following the change in gubernatorial administrations, Governor Richardson appointed an entirely new Board, comprised of the following:

Diane Bird, C.A., Archivist, New Mexico Museum of Anthropology;  
Angela Robbins, Architectural Historian;  
Orlando Romero, Librarian/Archivist (retired);  
Terry Ortega, Historian (independent);  
Julie Miller, Ph.D, Professor, Western New Mexico University;  
Robin Martin, Editor, *Santa Fe New Mexican*; and  
Veronica Tiller, Research Consultant.

### **FY03 Highlights**

#### **Assessment Project**

The Board recognizes the significance of records created by local governments. These local repositories are responsible for preserving and providing access to records dating, in some cases, to the United States occupation of New Mexico in 1846. Due to personnel changes and financial issues, these records are often not managed in a manner to ensure their preservation for future generations. In an effort to assist local governments begin to address records preservation and access issues, the Board pursued grant funds to offer free assessments to these repositories.

A grant of \$58,979 from the NHPRC was awarded to the Board to conduct assessments of local and tribal governments, and a temporary employee was hired to conduct a majority of the assessments. A total of 50 local and tribal governmental offices and one diocese participated. Efforts to promote the importance of records preservation among tribal entities resulted in the participation of five tribal governments in the project. Assessments included a pre-assessment survey, an on-site visit, and written observations and recommendations. Work began in January of 2002 (FY02) and will end in December of 2003 (FY04).

Participants in this on-going project are:

Catron County  
Colfax County  
Diocese of Las Cruces  
Dona Ana County

Eddy County  
Harding County  
Hidalgo County  
Lea County

Lincoln County  
Los Alamos County  
Luna County  
McKinley County

Mescalero Nation  
Mora County  
Nambe Pueblo  
Otero County  
Quay County  
Roosevelt County

Sandoval County  
San Juan County  
San Miguel County  
Santa Clara Pueblo  
Santo Domingo Pueblo  
Taos County

Union County  
Valencia County  
Zuni Pueblo

### **Historical Information Network Tracking System (HINTS)**

A second part of the assessment grant provided partial funding for the creation of an on-line resource of New Mexico historical records repositories. With additional State funding, the Historical Information Network Tracking System (HINTS) was created and made available on-line in FY03 (web site: [http://www.nmcpr.state.nm.us/nmhrab/nmhrab\\_hints.htm](http://www.nmcpr.state.nm.us/nmhrab/nmhrab_hints.htm)). The HINTS is intended to provide researchers and other users information about participating repositories and their collections and, hopefully, foster the growth of local networks among repositories.

The HINTS is a dynamic resource that allows the public and other repositories to view and search the following repository information: organizational name, location, holdings, contact person, and organizational type. For repositories already in the HINTS, entries can be updated by sending an e-mail request to the Grants Administrator. For repositories not represented in HINTS, a request to be added can be e-mailed to the Grants Administrator.

### **Re-grant and Scholarship Programs**

The Board promotes preservation of and access to New Mexico historical records by funding re-grant projects (the Board "re-grants" money from federal grants or State appropriations made to the SRCA and designated for the program) and providing scholarships to eligible applicants to attend records and archival management training. The Board awards funds according to the established funding priorities, which include:

- training;
- assessment and archival and records management programs;
- archival and records management programs for tribal organizations;
- identification and preservation of at-risk historical records;
- collection preservation;
- access to historical records; and
- documentation of New Mexico history.

In order to facilitate the application process, re-grant and scholarship applications, guidelines, and calendars of deadlines are available on-line. Resource documents were developed and are available to provide re-grant applicants information regarding consultants and vendors (consultant list, vendor list, and professional services contract).

Re-grants in process during FY03 included both those awarded in late FY02 (since the grant period is one year) and in FY03. Likewise, some scholarships crossed fiscal years. These are discussed below under the fiscal year in which the award was made.

#### FY02

Re-grant proposals in FY02 were ranked and funds awarded at the March, 2002 meeting. The grant period was from April 2002 through March 2003. A total of \$28,500 was awarded to ten repositories as noted below.

<b>Repository</b>	<b>Project</b>	<b>Amount Awarded</b>
New Mexico State Records Center and Archive	Preservation of historical film collection.	\$4,000



<b>Repository</b>	<b>Project</b>	<b>Amount Awarded</b>
Farmington Museum	Preservation of historical newspaper photograph collection.	3,500
New Mexico Jewish Historical Society	Documentation of pioneer families via oral history interviews.	4,000
Los Alamos Historical Society and Museum	Transcription of oral history tapes.	1,000
Indigenous Language Institute	Survey of indigenous language materials at other repositories and tribal organizations.	4,000
Ghost Ranch	Description and creation of finding aids for organization's administrative records.	4,000
Indian Pueblo Cultural Center	Assessment of collections and purchase of archival quality enclosures to implement assessment recommendations.	2,500
Menaul Historical Library of the Southwest	Processing of collection.	2,500
County of San Miguel	Preservation of historical records via microfilming.	1,000
TREX Museum of New Mexico	Development of archival report on museum program collections.	2,000
	<b>Total</b>	<b>\$28,500</b>

Scholarship applications were ranked and funds awarded at the May 2002 Board meeting. A total of \$1,500 was awarded to eight applicants from three repositories. Applicants used scholarship awards to attend training sessions sponsored by the New Mexico Commission of Public Records.

<b>Repository</b>	<b>Training</b>
Bernalillo County	Basic Records Management and Implementation of an Archival Preservation Program
Roswell Museum and Art Center	Arrangement and Description and Finding Aids
Union County Historical Society	Basic Records Management and Arrangement and Description

#### FY03

Re-grant proposals in FY03 were ranked and funds awarded at the October 2002 meeting. The grant period was from October 2002 through September 2003. A total of \$25,000 was awarded to six repositories.

<b>Repository</b>	<b>Project</b>	<b>Amount Awarded</b>
Semos Unlimited	Creation of educational CDs via scanning of original educational materials and distribution to New Mexico schools and libraries.	\$6,000
New Mexico State Records Center and Archives	Preservation of historical film collection via re-canning films into plastic cans.	2,000
Sandoval County	Scanning of historical records.	5,000
City of Bloomfield	Preservation of original resolutions and ordinances.	4,000
Santa Domingo Pueblo	Preservation of veteran photographs and creation of facsimiles for exhibit.	4,000

Repository	Project	Amount Awarded
Elephant Butte Irrigation District	Processing of original records.	4,000
	Total	\$25,000

At the October meeting, the Board also awarded scholarships. A total of \$7,978.45 was awarded to 49 individuals from six repositories. Applicants used scholarship awards to attend training sessions sponsored by the New Mexico Commission of Public Records and two national training sessions (the annual conference of the National Association of Government Archives and Records Administrators and the Western Archives Institute).

Repository	Training
City of Las Cruces	Arrangement and Description National Association of Government Archivists and Records Administrators annual conference
Town of Hurley	Arrangement and Description Basic Records Management Filing Systems
Lincoln County Clerk	Arrangement and Description Implementing an Archival Preservation Program
City of Bloomfield	Basic Records Management
Zuni Pueblo	Western Archives Institute
Sandoval County	Arrangement and Description Finding Aids Basic Records Management Filing Systems Electronic Records Disaster Preparedness

### FY03 AHSD COST-BENEFIT ANALYSIS

The purpose of the cost-benefit analysis is to ensure the appropriateness of future public policy decisions by providing program-based information. For the Division, the benefits measured are the preservation of the irreplaceable permanent and historical records held in the State Archives as well as those held by historical records repositories throughout New Mexico and the ability of the public to access those records.

#### Archives Bureau

All Bureau functions are aligned with the agency's strategic initiatives as discussed below.

*Strategic Initiative #1: Increase knowledge of records, information, and archival management practices.*

In direct support of this initiative, the Division has participated in the agency "for-fee" training program. Staff has developed and taught five workshops pertaining to various aspects of archival management. Workshops provide participants with current archival best practices and theory.

*Strategic Initiative #2: Have public records managed properly, in accordance with RIAM principles, throughout their lifecycle.*

The Division preserves public records for present and future generations by maintaining an appropriate environment in all storage areas, re-housing records in archival quality enclosures, reformatting fragile documents, and increasing the acquisition of permanent State records. By employing strategies for preventative preservation, the Division eliminates, or greatly reduces, the need for expensive conservation treatments.

<b>Activity</b>	<b>% Staff Resources</b>	<b>Hours Worked</b>	<b>Cost</b>	<b>Output Measurement</b>	<b>Benefits</b>
Accessions	3.4%	315.5	\$17,461.65	2,486.25 linear feet	Public records are preserved for present and future users.
Processing	3.8%	352.6	\$19,515.96	176 linear feet - 1,848 photos - 103 microfilm reels - 563 films - 1,025 publications	Public records are accessible to the public.
Preservation	10.2%	946.6	\$52,384.96	1,657 folders - 632 linear feet - three audio tapes - 563 films	Life of public records is extended through implementation of archival procedures.

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

The Bureau provides access to public records in the agency's custody through the Internet and on-site at the State Library, Archives, and Records Center Building. Worldwide access is available to researchers via the on-line catalog and the *Online Archives of New Mexico* database. Providing effective access to materials involves several tasks, of which one of the most important but also most time-consuming is the creation of marked-up finding aids (Encoded Archival Descriptions).

<b>Activity</b>	<b>% Staff Resources</b>	<b>Hours Worked</b>	<b>Cost</b>	<b>Output Measurement</b>	<b>Benefits</b>
Imaging Project	7.4%	686.7	\$38,004.77	1,343 images	Images are accessible via computer 24 hours a day and images are preserved.
Description	2.6%	241.3	\$13,353.03	Four finding aids - five books - 85 maps	Public records are described and classified.
Reference	31.3%	2,904.6	\$160,749.01	6,529 requests	Patrons are satisfied.

Strategic Initiative #4: *Ensure that adequate resources are available to meet statutory obligations.*

The ability of the Division to meet its statutory obligations of preserving and providing access to public records directly correlates to the quality and quantity of training available to staff. Archival best practices are dynamic and training is required to ensure that New Mexico's public records are being managed correctly.

Activity	% Staff Resources	Hours Worked	Cost	Output Measurement	Benefits
Staff Training	7.7%	714.6	\$39,545.51	15 conferences - 13 workshops - 31 lectures - 1 class and 53 in- house training sessions	Staff is appropriately trained.

#### **Historical Services Bureau - New Mexico Historical Records Advisory Board**

One of the SRCA's five strategic initiatives is to *cultivate recognition of the importance of New Mexico's historical records*. The activities of the Historical Services Bureau and the NMHRAB dovetail with this initiative. As noted previously, the NMHRAB advocates preservation of and access to New Mexico's historical records and actively supports these goals through the award of re-grant and scholarship funds to eligible applicants. The descriptions of the projects funded in FY02 and FY03 and provided earlier illustrate the types of needs that exist in repositories throughout New Mexico. Many of these repositories, although holding invaluable historical records, have little or no funding available to address issues of preservation and access. They also lack trained staff. The absence of funding and lack of qualified staff, coupled with often seriously inadequate storage facilities, mean that documents that are important or even vital to capturing a complete and accurate picture of New Mexico's rich history are in jeopardy of being lost. While the grant amounts are not large, they enable the recipients of these re-grants to undertake projects designed to identify, preserve, and provide access to historical records in their custody - projects that would, in many cases, likely have been foregone or significantly delayed without the assistance provided through the NMHRAB.

While the costs of its activities can be reported, it is difficult to quantify the benefits since the immediate beneficiaries are the State, local and tribal governments, and private non-profit repositories that receive funding, training, and other assistance through the NMHRAB. Only they can tally the impact of the NMHRAB on their programs. The ultimate beneficiaries, however, are the people of New Mexico, both those of today and future generations, who will be able to access those records that document their history.



Soldaderas mejicanas. Circa 1910.

## RECORDS MANAGEMENT DIVISION

The most important task of the Records Management Division (RMD) is to develop effective records and information management (RIM) programs for New Mexico's public records and information. These programs are based on the development of rules, policies, procedures, and guidelines for maintaining, accessing, and disposing of records created, received, or maintained by public entities. An effective RIM program is intended to: improve office productivity; eliminate errors; reduce liability; preserve vital records; facilitate the exchange of information within government; and make public records accessible to the public.

Records and information management is the orderly control of records and information from creation to final disposition. It is imperative to know what records to keep and what records to destroy, and RIM programs provide a timetable for maintaining and disposing of an agency's records and information.

### Agency Analysis Bureau

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 an agency. These schedules form the bases for the development and implementation of RIM programs that address the application of economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of the State's public records.

Through the inspection and survey of an agency's records and information, the staff of the Agency Analysis Bureau can determine the retention period or complete life cycle of records and information created and maintained. Through the development and promulgation of RRDS, the disposition of those records is set – destruction or transfer to the State Archives either as permanent records or as records for review and final disposition. Schedules developed, filed, and issued in this fiscal year include:

- 1.17.230 NMAC      Judicial Executive Records Retention and Disposition Schedule (JRRDS), New Mexico District Courts (new);
- 1.17.244 NMAC      JRRDS, Bernalillo Metropolitan Court (amendment);
- 1.18.605 NMAC      Executive Records Retention and Disposition Schedule (ERRDS), Martin Luther King Commission (new);
- 1.18.630 NMAC      ERRDS, Human Services Department (repeal and replace);
- 1.18.569 NMAC      ERRDS, New Mexico Organic Commodities Commission (new);
- 1.18.980 NMAC      ERRDS, Mexico Office of the Medical Investigator (new);
- 1.18.670 NMAC      ERRDS, New Mexico Veterans' Service Commission (amendment);
- 1.18.665 NMAC      ERRDS, Department of Health (amendment);
- 1.18.760 NMAC      ERRDS, Adult Parole Board (new); and
- 1.19.3 NMAC      Local Government Records Retention and Disposition Schedule (LGRDS), Office of the County Clerk (amendment).

Along with the development of these RRDS, the staff of the Agency Analysis Bureau provided training, consultation, and information on records and information management. During this period five liaison training sessions were conducted in records storage, destruction, and indexing. One hundred fifteen State government employees attended these sessions that covered the use of RRDS, the preparation of records for storage, and the destruction of public records.

In addition to providing records liaison training, the RMD Director and Agency Analysis staff delivered presentations on records and information management at the Fall Election School sponsored by the Secretary of State's Office; at the Municipal League Conference; and to the Santa Clara Pueblo tribal government staff. The Division Director also conducted two workshops on basic records management - one in Socorro and the other in Santa Fe.

### **Electronic Records Management Bureau**

Through its film inspection program, the Electronic Records 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 FY03, 7,790 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. The Bureau accepted 11,271 rolls of microfilm in FY03 for off-site security storage. Additionally, 4,574 rolls of microfilm were destroyed during the fiscal year, bringing the total number of microform units (roll film, microfiche, com) stored to 153,961. At approximately 2,400 images per unit, this represents some 369,506,400 images stored.

<b>Agency Name</b>	<b>Beginning Inventory 7/1/02</b>	<b>Microforms Inspected</b>	<b>Microforms accepted into storage</b>	<b>Microforms destroyed</b>	<b>Rolls of film permanently withdrawn</b>	<b>Ending Inventory for FY03 6/30/03</b>
Agriculture, Department of	4					4
Corrections, Dept. of *	406					401
Educational Retirement Board	710					710
Energy, Minerals, & Natural Res.	1,231					1,231
Engineer's Office	10,459	1	1			10,460
Environment Department	263	25	25			288
Finance & Administration, Dept. of	4,218	6	5	818		3,405
Game & Fish, Dept. of	17					17
General Services Department	87					87
Health, Dept. of	992	7	6			998
Highway & Transportation Dept.	6,734	417	478	539		6,673
Human Services, Dept. of	1,197	601	601	442		1,356
Labor, Dept. of	4,770	209	209	208		4,771
Land Office	1,859	3	3			1,862
Livestock Board	2					2
Nursing Board	1					1
Office of Cultural Affairs *	851					850
Prof. Engineers & Land Surveyors	346					346
Public Employee's Retirement Assoc.	136					136
Public Regulation Commission *	18,123					18,120
Public Safety, Dept. of	17					17
Regulation & Licensing, Dept. of	639	103	103	79		663
Secretary of State	384	6	6			390

Agency Name	Beginning Inventory 7/1/02	Microforms Inspected	Microforms accepted into storage	Microforms destroyed	Rolls of film permanently withdrawn	Ending Inventory for FY03 6/30/03
State Auditor	218					218
State Investment Council	6					6
State Personnel	1,389			187		1,202
State Records Center	1,661		335			1,996
State Treasurer	2,906			497		2,409
Taxation & Revenue, Dept. of	45,742		3,241	1,753		47,230
Veterans' Service Commission	66					66
Workers Compensation Admin	1,316	21	21			1,337
<b>TOTAL EXECUTIVE AGENCIES</b>	<b>106,746</b>	<b>1,399</b>	<b>5,034</b>	<b>4,523</b>	<b>0</b>	<b>107,257</b>

<b>NON-EXECUTIVE AGENCIES</b>						
Albuquerque-TVI	23				23	0
Carrie Tingley Hosp.	42				42	0
Colleges/Universities	154					154
Counties	9,739	3,601	3,576	51		13,264
Court of Appeals	1,356					1,356
District Courts	23,875	931	851			24,726
Judicial Standards Commission	54	5	5			59
Municipalities	256	1,606	1,558			1,814
School Districts	1,230	250	249			1,479
Supreme Court	2,152					2,152
<b>TOTAL NON-EXECUTIVE AGENCIES</b>	<b>38,881</b>	<b>6,393</b>	<b>6,239</b>	<b>51</b>	<b>65</b>	<b>45,004</b>
<b>GRAND TOTAL</b>	<b>145,627</b>	<b>7,792</b>	<b>11,273</b>	<b>4,574</b>	<b>65</b>	<b>152,261</b>

\*Coding error paper entered as microform.

During this fiscal year the Bureau filed 1.13.3 NMAC, *Management of Electronic Records*. The objective of this new rule was to establish an architecture for the management of public records on electronic media that: ensures proper records and information management practices are implemented and adhered to by state government entities; ensures uniformity and facilitates the accessibility of public records of government entities; maintains accountability and preserves electronic records; and provides guidance to users and managers of electronic systems. The rule provide direction on issues associated with managing electronic records - special record keeping and accountability concerns that arise in the context of electronic government; archival strategies for the identification, management and preservation of electronic records with enduring value; identification and appropriate disposition of electronic records with short-term value; and improving access to State government records.

Like the staff of the Agency Analysis Bureau, Electronic Records Management Bureau staff provide training. During FY03, the Bureau Chief provided consultation to the microphotography section of the State Personnel Office on electronic records and the basic structure for a records management system, including varying ways for document control when dealing with sensitive material or information. He also provided information on general records management for imaging systems - specifically the pros and cons of digital verses analog. The Electronic Records Management Bureau staff also met with the New Mexico Taxation and Revenue staff to discuss several topics ranging from what is involved with an imaging system to the review of the current records retention and disposition schedule for the

Department. Also discussed was the possibility of a pilot project for the creation of a SAN with Taxation and Revenue Department and perhaps another agency for the storage of electronic records (SAN).

In October 2002, the Electronic Records Bureau Chief attended the international ARMA conference. The ARMA sessions, which are specifically designed for librarians, archivists, and records managers, provided a deeper understanding of issues and concepts about records and information management, storage, preservation, and disposition regardless of record media. In the spring of 2003, Division staff attended the annual conference presented by Albuquerque's Rio Grande Chapter of ARMA. The sessions of the local ARMA chapter also dealt with records and information management along with web page design and the management of records in electronic media.

### **Records Center Services Bureau**

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 on-site. SRCA staff will pull records requested within a twenty-four hours. In emergency situations, SRCA 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). Whereas it is not mandatory for state agencies to use the services of the state records center, it is the most cost-effective way to manage the state's inactive records.

The Records Center Services Bureau in conjunction with the Electronic Records Bureau currently monitors and tracks the lifecycle status, history, series identification, and physical location of over 239,100 items. With the use of the records retention and disposition schedules, the records center staff calculates and applies the appropriate retention to the records brought in for storage. Records Center Services Bureau staff process the storage tickets and disposition requests that have been reviewed and approved by the staff of the Agency Analysis Bureau. The Records Center Bureau staff then process 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 12,230 cubic boxes of records were accepted into storage in FY03. During this same period, 16,721 cubic feet of records were destroyed. Of these, 7,772 were located and purged from the records center, the rest were delivered to SRCA for destruction. An additional 2,113 cubic feet of public records were also reported destroyed on-site by State and local government entities. New storage less in-house destruction processed brought the records in storage at SRCA to 90,120 cubic feet, an increase of more than nine percent over the previous year-end holdings.

<b>Agency Name</b>	<b>Beginning inventory 7/01/02</b>	<b>Boxes brought in for storage</b>	<b>Boxes permanently withdrawn</b>	<b>Boxes transferred to Archives</b>	<b>Boxes destroyed in the Records Center (zapped)</b>	<b>End inventory 6/30/03</b>
Architects Board	50	4				54
Attorney General	3,946	590				4,536
Children, Youth & Families Dept.	5,444	334				5,778



<b>Agency Name</b>	<b>Beginning inventory 7/01/02</b>	<b>Boxes brought in for storage</b>	<b>Boxes permanently withdrawn</b>	<b>Boxes transferred to Archives</b>	<b>Boxes destroyed in the Records Center (zapped)</b>	<b>End inventory 6/30/03</b>
Commission for the Blind	69	51			36	84
Commission on Higher Education	349	21		23	32	315
Commission on Status of Women	3			3		0
Corp/Comm Public Reg	1,251	475				1,726
Corrections, Dept. of	7,643	690		16	277	8,040
Crime Victims Reparation	516	41		1		556
Economic Development Dept.	23			17		6
Education, Dept. of	2,051	376		140		2,287
Educational Retirement Board	871	307		41	4	1,133
Energy Research & Development Institute*	0			1		0
Energy, Minerals, & Natural Resources	1,587	242	36	132	250	1,411
Engineer's Office	232	9		5		236
Environment Dept.	1,562	246	18	22		1,768
Finance & Administration, Dept. of	1,502	887		75	225	2,089
Game & Fish, Dept. of	442	88		2		528
General Services Department	2,854	448		1	550	2,751
Governor's Office*	279			800		0
Health, Dept. of	10,199	1,139			1,498	9,840
Health Policy Commission	28	11		16		23
Highway & Transportation Dept.	514	29			37	506
Human Services, Dept. of	5,804	905		39	47	6,623
Indian Affairs Commission	2					2
Juvenile Parole Board	71	22			11	82
Labor, Dept. of	5,453	1,007	38	97	595	5,730
Land Office	393			2		391
Lieutenant Governor's Office	1				1	0
Livestock Board (NM Dept. of Agriculture)	1,081	57	2	5	51	1,080
Medical Board	393	259				652
Nursing Board	316	40				356
Office of Cultural Affairs	196	66		38	42	182
Office of Military Affairs	1,716	74		2		1,788

Agency Name	Beginning inventory 7/01/02	Boxes brought in for storage	Boxes permanently withdrawn	Boxes transferred to Archives	Boxes destroyed in the Records Center (zapped)	End inventory 6/30/03
Parole Board, Adult	540	42		5		577
Professional Engineers & Land Surveyors	48			2	5	41
Public Defender's Dept.	2,917	286			155	3,048
Public Employee's Retirement Association	1,417	295			942	770
Public Safety, Dept. of	1,134	181		8	362	945
Public Schools Insurance Authority	83	32			38	77
Public Utility Commission						0
Racing Commission, State	62			2		60
Regulation & Licensing, Dept. of	4,306	401		2	1069	3,636
School for the Deaf	51					51
Secretary of State	973	237		161	132	917
State Auditor	251	24		221		54
State Investment Council	200	58		59		199
State Personnel	247			25	1	221
State Records Center	51	5		8		48
State Treasurer	1,882	61		2	329	1,612
Taxation & Revenue, Dept. of	3,940	828			290	4,478
Tourism Dept.	14	13				27
Veterans' Service Commission	32					32
Vocational Rehabilitation Division	853	78	14	28	262	627
Workers Compensation Administration	155	20	2		10	163
Youth Conservation Corps	8					8
<b>TOTAL EXECUTIVE AGENCIES</b>	<b>76,005</b>	<b>10,979</b>	<b>110</b>	<b>2,001</b>	<b>7,251</b>	<b>78,144</b>

<b>NON-EXECUTIVE AGENCIES</b>						
Administrative Office of the Courts	492	100			339	253
Albuquerque Technical-Vocational Institute	0					0
Chaparral	30					30
LL Community Program	0					0

Agency Name	Beginning inventory 7/01/02	Boxes brought in for storage	Boxes permanently withdrawn	Boxes transferred to Archives	Boxes destroyed in the Records Center (zapped)	End inventory 6/30/03
Counties	0					0
Court of Appeals	103					103
District Attorney, Administrative Office of	154	133				287
District Attorney Offices	2,307	49				2,356
District Courts	2,353	2,037	869			3,521
Judicial Selection Committee	25					25
Judicial Standards Commission	1					1
Legislative Council	1,924	83				2,007
Legislative Education Study Committee	25			17		8
Legislative Finance Committee	342	67		50		359
Senate	5					5
Legislative Maintenance	15					15
Magistrate Court	0					0
Metro Court (Bernalillo)	3	264	7	7		253
Municipal Courts	1,625	7				1,632
School Districts	0					0
UNM (including UNMH)	1,297			176		1,121
<b>TOTAL NON-EXECUTIVE AGENCIES</b>	<b>10,701</b>	<b>2,740</b>	<b>876</b>	<b>74</b>	<b>515</b>	<b>11,976</b>
<b>GRAND TOTAL</b>	<b>86,706</b>	<b>13,719</b>	<b>986</b>	<b>2,075</b>	<b>7,766</b>	<b>90,120</b>

\* Boxes transferred to Archives directly from the agency - not brought into storage.

### FY03 Annual Activity of the Records Center

The number of record groups that have a permanent value is relatively small compared to the overall record groups currently scheduled. These records are appraised for their archival (historical) value and are scheduled as permanent in the respective RRDS. This year 2,076 cubic feet of records were transferred from records center storage to Archives for permanent storage or for review and final disposition. This was a dramatic increase over the previous fiscal year's transfers of 52 cubic feet. Some of the larger transfers were for the following agencies: the Department of Education (140 cubic feet); Energy, Minerals and Natural Resources (132 cubic feet); Office of the Secretary of State (161 cubic feet); and Office of the State Auditor (221 cubic feet). Eight hundred cubic feet of Governor Gary Johnson's records were also transferred into Archives at the end of his administration.

The Records Center Services Bureau monitors the flow of traffic into and out of the electronic media vault. Thirty-two (32) 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 New Mexico General Services Department, through which a major portion of the State's 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.

## FY 2003 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 duplication; and ultimately
- means less time spent searching for records.

An effective program is one that is designed to improve office productivity, eliminate errors, reduce liability, preserve vital records, and facilitate the exchange of information within government, and, accordingly, cuts the cost of doing business. Ultimately it is the objective of the SRCA and of the Records Management Division in particular to provide the proper tools and services that will enable State agencies to implement legal and cost-effective records and information management programs. Knowing what records to keep in the office, transfer to off-site storage, destroy, or transfer to Archives adds to employee productivity and job satisfaction.

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

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

### RMD 1: Records Center Services 2000 - 2003

	FY00	FY01	FY02	FY03
Year end total number of boxes in storage	69,423	79,016	86,566	90,120
Year-end total number of cubic feet in storage (1 box = 1.2 cu. ft.)	83,307	94,819	103,879	108,144
Total number of transactions (withdrawals)	7,751	8,046	8,065	13,201
Number of regular transactions (record withdrawals)	7,054	7,128	7,259	7,267
Number of emergency transactions (record withdrawals)	697	918	806	12
Number of transactions (record re-files)	3,754	5,372	4,300	5,136
In-house destruction (cubic feet)	6,329	3,193	5,959	7,772

	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY03</b>
Number of storage boxes brought in for destruction	10,761	6,351	8,426	8,949

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 chart labeled RMD-2 shows the average fees charged by commercial storage facilities. The commercial costs included the fees for setting up and closing an account, transaction fees (retrieval, refile), and fees for destroying records in facility storage. The RMD-3 chart shows commercial costs applied to the combined annual activity reported for both record centers (RMD-1) to calculate the privatized costs of these activities.

#### **RMD-2: Commercial Facility Costs**

	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY 2003</b>
Storage access charges				
Account set up fee (cost/box)	\$ 2.29	\$ 2.45	\$ 2.57	\$ 2.69
Retrieval, refile, computer inquiry fee	2.29	2.45	2.57	2.69
Special (emergency) rush retrieval fee	4.59	4.82	5.00	5.00
Monthly storage fee per cubic foot (1 box = 1.2 cu.ft.) \$0.30 per box per month (\$3.60 per year)	3.67	3.85	4.00	4.00
Destruction cost per box	2.70	2.83	2.97	3.11
Account closeout fee (cost per cubic foot)	5.86	6.15	6.45	6.50
Account set up fee (cost/box)	158,978.67	193,589.00	222,474.60	242,422.80
Retrieval, refile, computer inquiry fee	16,153.66	17,464.00	18,655.63	19,548.23
Special (emergency) rush retrieval fee	3,199.23	4,425.00	4,030.00	60.00

#### **RMD-3: Annualized Commercial Facility Costs**

	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY03</b>
Yearly storage fee per cubic foot (1 box = 1.2 cu.ft.)	\$ 305,736.69	\$ 335,053.00	\$ 415,516.80	\$ 432,576.00
Yearly destruction cost	29,054.70	17,973.00	25,025.22	27,831.39
Account closeout fee (cost per cubic foot)	406,818.78	485,948.00	558,350.70	585,780.00
<b>TOTAL ANNUAL COMMERCIAL COSTS</b>	<b>919,941.73</b>	<b>1,084,452.00</b>	<b>1,244,052.17</b>	<b>1,308,218.42</b>

Annual SRCA costs were \$338,000.00 in FY 2003. 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**

	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY03</b>
<b>TOTAL SRCA COSTS</b>	<b>\$ 337,524.00</b>	<b>\$ 226,633.00</b>	<b>\$ 371,375.00</b>	<b>\$ 338,000.00</b>

Calculated cost savings that result from operating a records center in FY03 was \$772,677.17.

#### **RMD-5: Annual Cost Savings**

	<b>FY00</b>	<b>FY01</b>	<b>FY02</b>	<b>FY03</b>
Total commercial costs	\$ 919,941.73	\$1,084,452.00	\$1,244,052.17	\$1,308,218.00
Total SRCA costs	337,524.00	226,633.00	371,375.00	338,000.00
State savings	582,417.73	857,819.00	772,677.17	970,218.00

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 Electronic Records Bureau (i.e., film inspection, document filming). In its research, SRCA staff was able to determine that the costs involved in providing these additional SRCA services would radically enlarge the figures presented.

The costs of maintaining inactive records in an office environment are even more dramatic. Storing inactive records in an office environment presents additional considerations. These include: space; equipment; supplies; software, and personnel. The year-end totals of storage held at SRCA were 108,144 cubic feet of records. With a four-drawer file cabinet holding six cubic feet of records, 18,024 cabinets would have had to be purchased to contain the inactive records. At a cost of \$175 per cabinet, \$3,154,200 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 \$27,036 for FY03. 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 18,024 cabinets would be 162,216 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 in the outside the Santa Fe downtown area. The cost of office space in the Albuquerque area runs \$2 lower than Santa Fe. Using an average cost of \$25 per square foot, the cost for the additional office floor space would be \$4,055,400.

An automated records management system is something that not all agencies would consider or purchase. The cost of software ranges from \$75,000 to over \$100,000 for a software application with minimal licenses (excluding data migration). Based on less than half these agencies (30) purchasing software at a mid-price of \$90,000, the additional cost would be \$2,700,000.

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 \$9hourly 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 \$19,465,920 plus ten percent of labor that is normally accepted as supervisory cost. This adds another \$1,946,592, bringing the total management cost to \$21,412,512.

The FY03 cost of the SRCA providing the services of records storage, record withdrawal and return, record disposition, records inventory, and records tracking was \$338,000. The total cost for State agencies to maintain their inactive records in their offices would have been \$31,349,148. The saving of having SRCA provide all warehouse services over agencies maintaining inactive records within their own offices total \$31,011,148. It is unlikely that State agencies would want to maintain their inactive records

within the office environment. The agency expenditures shown here would not materialize because agencies would not invest in additional equipment, supplies, software, and personnel to manage these records. These inactive records would more than likely find their way into basements, closets, or sheds where they would be stored in less than ideal conditions. These storage conditions can result in the loss of records through misfiling, vermin, flooding, or theft. Not being able to produce public records when requested by the public or other government agencies not only prohibits agencies from complying with the Inspection of Public Records but also exposes the agency to fines and potential lawsuits. 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 this agency to provide the proper tools and services that will enable state agencies to implement legal and cost-effective records and information management programs. Knowing what records to destroy, keep in the office, and 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 records and information management? Because records and information management makes government efficient, lowers the liability of doing business, and in the end lowers the cost of doing business.



Dr. Rael-Gálvez and students from Albuquerque Public Schools, State Capital Rotunda, Santa Fe, NM.

## OFFICE OF THE STATE HISTORIAN

The State Historian is looked to as the State's expert on New Mexico history. The office is staffed by Estevan Rael-Gálvez, Ph.D. As noted earlier, in FY03, in an effort to strengthen the agency's efforts to promote an understanding and appreciation of New Mexico history and focus more attention on those efforts, the position of State Historian was moved from the Archives and Historical Services Division to report instead to the State Records Administrator.

The mission of the Office of the State Historian is:

*"Recognizing the collective history and memory in culture, community and consciousness, the New Mexico Office of the State Historian leads in advancing knowledge and advocating an understanding and appreciation of New Mexico's unique legacy and indelible multicultural heritage, through interpretive research, outreach, educational programming, presentation and publication."*

Four strategies have been developed to help achieve this mission. The first of these is *research and interpretation*, which is guided by the principle that advancing an understanding of New Mexico's history and culture is the fundamental objective of the Office of the State Historian. In this capacity, the State Historian is responsible for conducting comprehensive research and supporting scholarly and community-based research. The second strategy is *educational programming*, which is based upon the belief that, raising historical and cultural consciousness requires a sensitive and creative approach in introducing complex questions for public thought and debate. This is accomplished in part by cultivating relationships and facilitating dialogue among communities and individuals. It is also accomplished through establishing a programming agenda that emphasizes commitment to education and community outreach. The third strategy is *informational services* and is based upon making information on New Mexico history accessible, all-inclusive, and valuable. As the Office of the State Historian continues to develop a comprehensive research agenda that includes an understanding of New Mexico's past, a concomitant goal is to make this knowledge readily accessible to a larger public. Finally, the fourth strategy is *heritage preservation*. This not only includes conservation but also the preservation of a "collective memory." Specifically, it entails a commitment to participate in efforts to preserve the experiences of New Mexicans, their built environment, experiences, memories, and, in accord with the agency's mission, their written record. This strategy is also driven by the State Historian's statutory obligations as a member of the Cultural Properties Review Committee, the policy-making committee that oversees the Historic Preservation Division.

During FY03 the Office of the State Historian worked to accomplish the action steps and goals set forth in the agency's strategic plan, in particular strategic initiative #5, *"to cultivate a recognition of the importance of New Mexico's historical records."* The work accomplished in pursuit of this initiative is discussed below.

### Research, Interpretation and Presentation

Efforts here are centered on demonstrating the value of historical records in research and interpretation and advancing an appreciation for New Mexico's history through educational programming.

#### Community-based Presentations

The State Historian made numerous presentations to community-based organizations demonstrating the value of historical records at the State Records Center and Archives. These included:

- *The Sangre de Cristo Land Grant*, Rio Costilla Cooperative Livestock Association, Taos, N.M.;
- *Community Land Grants and the History of the Treaty of Guadalupe Hidalgo*, Oñate Center, Alcalde, N.M.;
- *Food Ways* at the Palace of the Governors in Santa Fe, N.M.;



- a *Narrative and Place*, Santa Fe Art Institute's *Uncommon Ground* Series; and
- *Slave Trade* and *The Development of Identity in New Mexico*, which were made to four separate organizations - the Old Spanish Trail Association in Santa Fe, N.M., the Rio Grande County Museum, Del Norte, CO, the New Mexico Genealogical Association in Albuquerque, N.M., and the Dominican Retreat House, Abiquiu, N.M.

#### Humanities Forum

As a part of the ongoing Office of the State Historian's Humanities Forums - *Perspectives in New Mexico History and Culture*, a forum entitled, "Women's History and Culture in New Mexico," was presented at the South Broadway Cultural Center in Albuquerque on May 13, 2003. The Forum began with a screening of three short films clips commemorating the lives of women in the history of New Mexico. The three were: *Salt of the Earth*, a powerful film that attempted to capture the story of the 15-month strike at the zinc mine in Bayard, New Mexico in 1950 and 1951 and the dignity and courage of the women of Grant County; *Kinaaldá*, a film commemorating the Navajo rite of passage of a young girl's ascent to womanhood; and *Luisa Torres*, a 1981 documentary of the life of Luisa Torres, an elderly Hispanic woman from Guadalupita, New Mexico. The screenings were followed by a lecture and panel discussion. The lecture was presented by the present State Historian, Estevan Rael-Gálvez, Ph.D., and addressed the importance of recognizing the contributions of women to New Mexico's history. The panel presentation included a noted writer, Ms. Lucy R. Lippard. and University of New Mexico professors Dr. Tey Diana Rebolledo and Dr. Jennifer Nez Denetdale. The forum concluded with a shared conversation with two native New Mexicans, New Mexico Supreme Court Chief Justice, Petra Jimenez Maes, the first Hispanic woman to serve in this role nationally, and former United States Ambassador to Honduras Dr. Mari Luci Jaramillo, the first Mexican-American woman ambassador to a Latin American nation and author of *Madam Ambassador: The Shoemaker's Daughter*.



#### Academic Presentations

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. Presentations by the State Historian included: 1) a presentation at the Western History Association's annual conference on the role of public history programs; 2) a presentation to the National Park Service's annual conference on the history of the Camino Real; 3) a presentation at the Smithsonian Institution in Washington D.C. on *Mestisaje and Identity in New Mexico*; 4) a presentation at the Southwest Salt of the Earth conference held in Santa Fe, N.M. on *The History of Labor, Politics and Discrimination*; and 5) a presentation at Trinity University, San Antonio Texas, also on *Mestisaje and Identity in New Mexico*.

#### Presentations for Government Agencies

At the request of the Legislative Council Service, the State Historian presented a historical overview on land use and settlement patterns in New Mexico for the Legislative Land Grant Task Force. The State Historian was also invited to make a presentation to President Bush's Advisory Board on the Humanities that met in Santa Fe, in May 2003. He addressed both Mexican cultural affairs officials and members of President Bush's advisory board on the *History of Camino Real*.

#### Public History Program

The agency, through the efforts of the State Historian, worked on developing partnerships in support of a public history program. Due to budget constraints, development of statewide educational programming was curtailed. However, partnerships were developed with State agencies and private entities such as the School of American Research, Lannan Institute, and the Santa Fe Art Institute. These focus on an educational plan for building a curriculum on the history and culture of New Mexico. The State Historian also worked with the University of New Mexico School of Law and the Departments of History and American Studies to develop a collaborative Public History Program through the establishment of an

internship program and collaborative research projects. Additionally, the 2003 legislature appropriated \$15,000 to the agency for the development of a history web page. The State Historian began gathering oral histories for presentation on the web site, a project that promises to help the agency "*cultivate recognition for the importance of New Mexico's Historical Records.*"

### **Preservation**

As noted previously, preservation activities are directed toward conserving the built environment and historical records and supporting the sustainability of cultural heritage.

#### Cultural Properties Review Committee (CPRC)

The State Historian serves as a statutory member of the Cultural Properties Review Committee, the policy-making committee that oversees the Historic Preservation Division. In FY03, the State Historian served as chair of the CPRC and, as a continuing member, helped to provide stability during the transition and training period for new members appointed by Governor Richardson. The workload of the CPRC increased by more than 50 percent during FY03, thereby requiring more of the State Historian's time. The CPRC saw a 30 percent increase in historical register nominations and tax credits nominations and had to deal with numerous permit and compliance issues - all of which created a need for additional meetings throughout the year. The State Historian also worked with staff from the State Historic Preservation Office in reviewing and updating text for all existing historic markers.

	<b>FY02</b>	<b>FY03</b>
Nominations reviewed for the Cultural Properties Register	53	41
Official scenic/historical marker text prepared and approved	167	16
Cultural Property Review Committee meetings attended	9	12

### **Advocating for History**

As an advocate for history, the Office of the State Historian works to raise historical inquiry through consultation and collaboration.

#### Consultation ~ Government Agencies

As an advocate and authority on matters relating to New Mexico history, the State Historian provided consultation services on various historical and cultural issues to several federal, state, and local governmental agencies. These included the Department of Cultural Affairs (the Museum of New Mexico, Historic Preservation Division, State Monuments Division, Arts Division and State Library), the State Transportation Department, the Children, Youth and Families Department, the Tourism Department, and the Department of Education. The Office of the State Historian is committed to raising historical inquiry through consultation and collaboration, and continually works at fostering relationships with State, local and federal agencies. The State Historian worked with the National Park Service to develop programming goals and ideas for the National Heritage Area in northern New Mexico. He also worked with the same federal agency in matters pertaining to the Navajo/Apache "Long Walk." The Office of the State Historian has also been consulted by a Congressional delegation about the creation of another National Heritage Area for southern Colorado.

At the request of Representatives Henry "Kiki" Savaadra and J. Paul Taylor, the State Historian prepared a report on New Mexico's current history and social studies standards and their implementation within classrooms. As a result of the report, a House Memorial was introduced in the 2003 legislative session accentuating the importance of teaching New Mexico history and calling for the formation of a task force to address a more comprehensive review of standards and curriculum development. Further, the State

Historian was appointed chairman of the History-Education Task Force established to review history standards and curriculum development.

#### Consultation ~ Scholars, General Public

The State Historian has continued to advise scholars, students, and colleagues on various topics. During FY03 he responded to over 1,000 requests for information from or about historical records at the State Records Center and Archives.

#### Boards and Committees

The State Historian serves on various boards and committees: the *Historical Society of New Mexico*, dedicated to increasing the knowledge of New Mexico history; *New Mexico Culture Net*, an organization committed to promoting the cultures of New Mexico by connecting people, ideas and resources; the *Guadalupe Hidalgo Task Force* created by the Attorney General's Office to review, monitor, and assist the United States General Accounting Office in its ongoing federal study of historical problems with the implementation of the Guadalupe Hidalgo Treaty protections of Spanish and Mexican community land grants in New Mexico; the *Padre Antonio Jose Martinez Memorial Committee*; and *Vecinos del Rio*, a community organization. He has also been asked to serve as a liaison for the Smithsonian Institution's Latino Scholars Program and on the 2004 Program Committee for the American Studies Association.

#### Collaborations and Partnerships

During FY03 the State Historian worked to foster partnerships and collaborations with various organizations. They included: the Historic Preservation Division, where he worked with staff in reviewing all existing historic markers in the State of New Mexico; the Museum of New Mexico and its Traveling Exhibitions Program, where he served as both participant and consultant for a grant proposal focused on literacy; SUBE Connects Education Firm of Taos, NM, where he developed an educational plan for curriculum building based on the history and culture of New Mexico; and the National Parks Service, where he helped plan the celebration of the anniversary of the Civilian Conservation Corps. The Office of the State Historian also collaborated with the Museo Cultural, the New Mexico Endowment for the Humanities, the Hispanic Cultural Center, and the Bureau of Land Management on several historical and cultural programs.

## PERFORMANCE BASED-BUDGETING

The Commission of Public Records - State Records Center and Archives 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 PADs. Performance is monitored through quarterly reports, and, although the agency in FY03 tracked progress on 102 action steps and their related performance measures, for performance-based budgeting purposes, it reported only on six measures. Again, for the purpose of performance-based budgeting, the agency identified one program, which encompasses all agency functions - ***records, information, and archival management***. Subprograms or activities are:

- Administration;
- administrative law;
- New Mexico history; and
- public records management.

The purpose of the 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; in order to facilitate their use and understanding by the public, thus protecting the interests of the State.***

### **FY03 PROGRAM MEASURES**

1. **Number of rules and notices of rulemaking filed with the Commission and published in the New Mexico Register in compliance with the State Rules Act.**

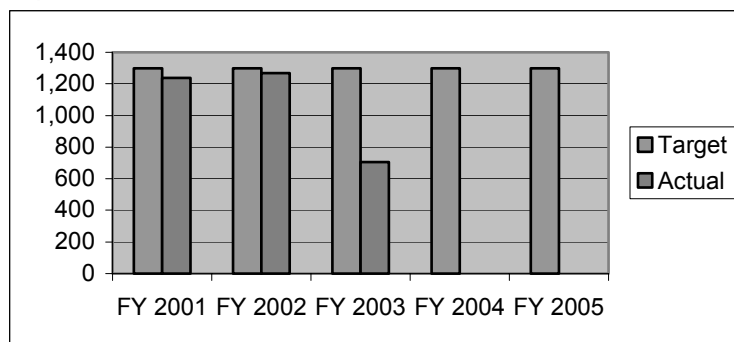
#### Baseline Data

FY01	1,239
FY02	1,269

**FY03 Target 1,300**

**FY03 Year-end Result**

**704**



This is an output measure showing the number of items submitted by agencies to the Administrative Law Division. The number is not within the control of the agency, rather it is dependent on the rule-making activities of agencies.

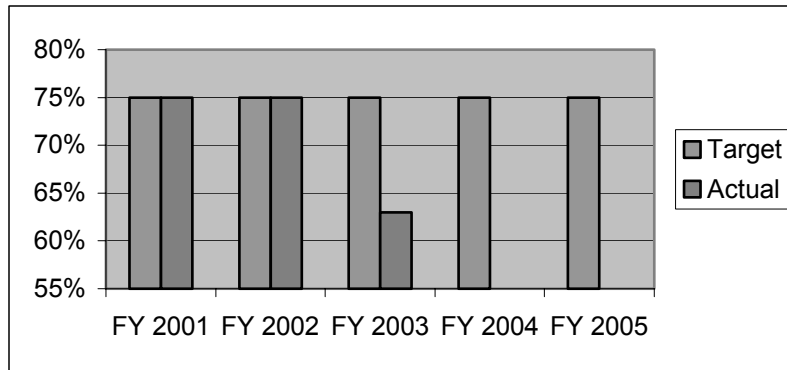
**2. Percentage of annual strategic action plan achieved or on schedule.**

Baseline Data

FY01 75%  
FY02 75%

**FY03 Target 75%**

**FY03 Year-end Result 63%**



In addition to the six performance measures reported to the Department of Finance and Administration, the agency tracked progress on some 96 other action steps, related measures and targets. A number of action steps that were on schedule at mid-year did not meet established targets at year-end, primarily due to budget and staffing constraints. For example, the Records Management Bureau was without a Bureau Chief for most of the year due to military leave and other staff vacancies that affected its ability to meet targets. Consequently, the percentage of the strategic plan achieved fell short of the target.

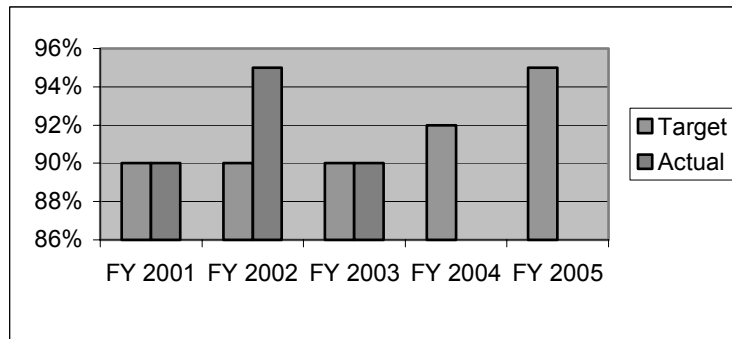
**3. Percentage of all projects for the New Mexico historical records grant program that are achieving stated objectives.**

Baseline Data

FY01 90%  
FY02 95%

**FY03 Target 90%**

**FY03 Year-end Result 90%**



There were a total of sixteen active grants awarded in 2003. All grants awarded were on schedule except for two. One grant was awarded an extension and completed 66 percent of stated objectives. The Sandoval County Assessor's office was unable to continue their project and declined the \$5000 grant awarded to them in October 2002.

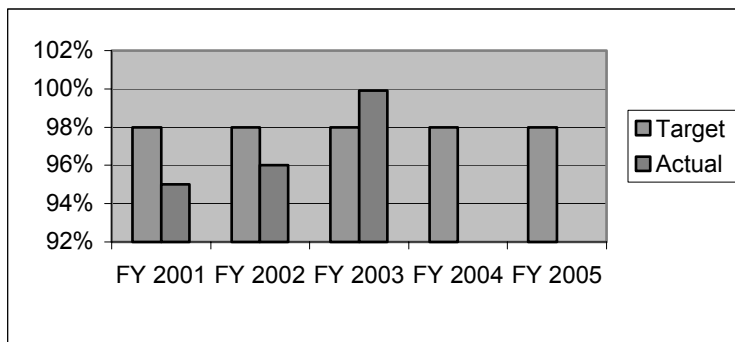
4. **Percentage of requests for access to public records that the agency is able to satisfy.**

Baseline Data

FY01 95%  
FY02 96%

**FY03 Target 98%**

**FY03 Year-end Result 99.9%**



The Archives Bureau received a total of 6,537 requests for access to public records; of these the agency was able to satisfy 6,529. Six of the eight requests were for photographs; the other two requests were for records not in the custody of the agency.

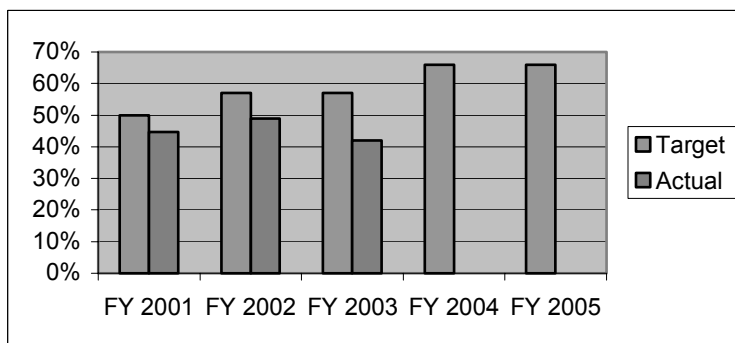
5. **Percentage of State agencies with current records retention and disposition schedules.**

Baseline Data

FY01 44.7%  
FY02 49%

**FY03 Target 57%**

**FY03 Year-end Result 42%**



The ability of the agency to meet the established target was adversely affected by staff turnover and the absence of the Bureau Chief for much of the year due to military leave.

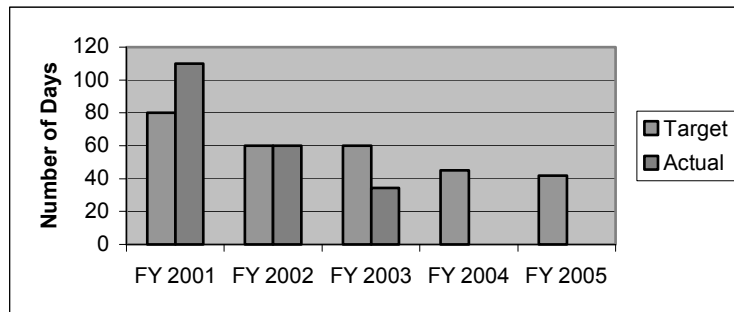
6. **Maximum number of days of lag time between rule effective date and online availability.**

Baseline Data

FY01 110 days  
FY02 60 days

**FY03 Target 60 days**

**FY03 Year-end Result 34.5 days**



At the year-end, the agency had exceeded its goal of a maximum of 60 days lag time between effective date of a rule and on-line availability by 25.5 days.