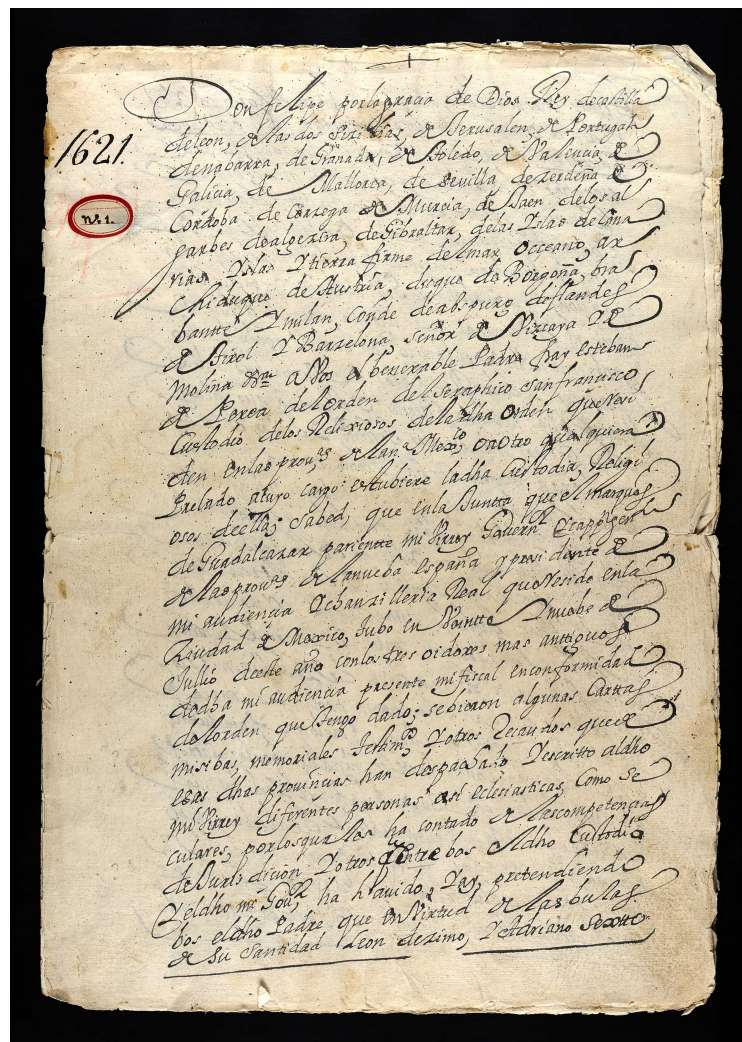


# STRATEGIC PLAN ~ FISCAL YEARS 2019 - 2023

## FY 2021 Annual Performance Measures



January 9, 1621, Royal Audiencia, Mexico City,  
Instructions to Fray Esteban de Perea concerning  
conversion of New Mexico Indians. Spanish Archives of  
New Mexico II: 1, roll 1, frame 1.

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## COMMISSION OF PUBLIC RECORDS SERVICES

The statutory duty of the Commission of Public Records (CPR) is to employ a state records administrator to assist with the administration of the Public Records Act [Section 14-3-1 NMSA 1978 et seq.]. The state records administrator is the official custodian and trustee for the state of all public records and archives of whatever kind that are transferred to the SRCA from any public office of the state or from any other source. To accomplish this, the administrator is responsible for establishing a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of official records.

The act also provides for the establishment of a records center in Santa Fe, which is commonly known as the State Records Center and Archives (SRCA).

In addition to records management and preservation, the state records administrator is statutorily required to administer the State Rules Act (Section 14-4-1 NMSA 1978 et seq.). This act governs the official filing and publication of rules developed by executive agencies of New Mexico state government.

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

- Administrative Services Division
- State Archives of New Mexico
- Records Management Division
- Administrative Law Division
- Office of the State Historian
- Information Technology Management Division

## VALUES, VISION, MISSION, AND GOALS

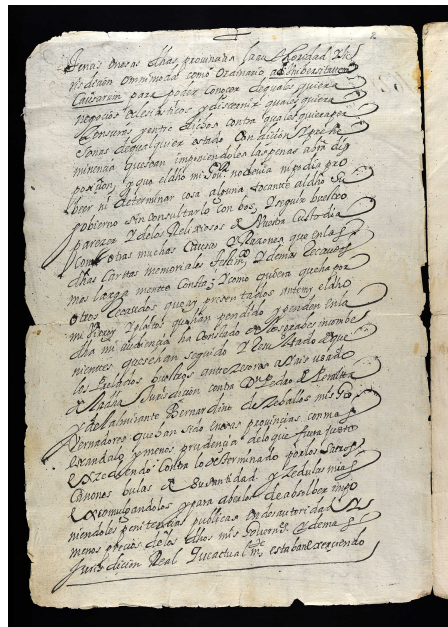
Our **VALUES** reflect the staff's long-standing commitment to public service, openness, and protection of the records we hold in trust.

- Honesty
- Excellence
- Accountability
- Respect
- Teamwork
- Safety

Our **VISION** is to continue as New Mexico's foremost resource in interpreting, managing, preserving, and providing access to the state's public records and archival collections.

Our **MISSION** is to strengthen democracy, protect citizens' rights, and promote government accountability by:

- Preserving, protecting, and providing access to public records that are held in trust for the people of New Mexico;
- Ensuring state agency rules are promulgated, filed, and published as prescribed by law to promote public access;
- Increasing the public's knowledge of and appreciation for New Mexico's history and cultural resources; and
- Developing records and information management programs for governmental agencies as prescribed by law.



SANM II: 1, roll 1, frame 2.

Our **GOALS** express the staff's dedication to fulfilling the agency vision and mission to:

- Manage, preserve, and provide access to records and information;
- Enhance effectiveness of the agency; and
- Build positive awareness of agency resources and services.

## MESSAGE FROM THE STATE RECORDS ADMINISTRATOR

The State Records Center and Archives (SRCA) serves New Mexico by ensuring the proper management and protection of public records. This mandate includes making the records accessible to the public for legal and historical purposes. This responsibility is considerable given that our democracy relies on public records to document and defend the rights of its people.

Through the administration of the Public Records Act, the State Rules Act, and through participation in the Cultural Properties Act, the agency and its staff provide the following key services to the public:

- Develop efficient and effective records management programs and assist with the proper disposition of public records;
- Collect, preserve, and make available to the public and all branches of government, permanent public records, historical manuscripts, photographs and other materials that contribute to an understanding of New Mexico history;
- Serve as filing point for rules promulgated by executive-branch agencies, for interstate compacts, and for county subdivision regulations;
- Manage, preserve, and make available to the public filed rules, notices, and other instruments;
- Advance an understanding and appreciation of New Mexico's history and culture through interpretive research, outreach, educational programming, presentations, and publication; and
- Serve on the Cultural Properties Review Committee, reviewing proposals for the preservation of cultural properties to protect and enhance structures, sites, and objects of historical significance within the state.

In fulfilling our statutory obligations to New Mexico's citizenry, it is our goal to provide quality customer service in a timely and professional manner. To accomplish this task, the staff and commission chair worked collaboratively to develop the following five-year strategic plan for fiscal years 2019-2023 and annual performance measures for fiscal year 2021.

Rick Hendricks, PhD  
State Records Administrator





## STRATEGIC PLANNING PROCESS

In 1996 the Commission of Public Records-State Records Center and Archives developed and implemented its first five-year (1996-2000) strategic plan. The plan served as a guide to move the agency toward achieving its stated mission: to protect, preserve, provide access, and promote the use of the public records that document the rights and history of the people of New Mexico. That original plan defined a number of programs including preservation of public records, documenting government, access to public records, and New Mexico history and administration. It also established specific goals, action steps, and responsibilities for each.

In Fiscal Year 1999, the agency's management team began the strategic planning process for the next five years with an assessment of internal and external environments. In 2000 a new five-year plan was adopted. *Understanding New Mexico through Its Public Record, a Strategic Plan for Fiscal Years 2001-2005* drew on the experience gained under the previous plan. The language and format were revised somewhat to conform to more current strategic planning models. Six major strategic initiatives were identified: (1) to increase knowledge of records, information, and archival management (RIAM) practices; (2) to have public records managed properly, in accordance with RIAM principles, throughout their life cycle; (3) to have a comprehensive, authoritative locator service for all public records; (4) to improve efficiency and accountability in state government through RIAM; (5) to ensure that adequate resources were available to meet statutory obligations; and (6) to advocate for understanding and appreciation of New Mexico history.

The 2001-2005 plan was updated each year to reflect the experience of the prior year and to make adjustments driven by resource availability. Early in the five-year cycle the original six strategic initiatives were reshaped and reduced to five. They included the following: (1) increase the knowledge of records, information and archival management (RIAM) practices; (2) have public records managed properly, in accordance with RIAM principles, throughout their life cycle; (3) promote open access to public records; (4) ensure that adequate resources are available to meet statutory obligations; and (5) cultivate recognition of the importance of New Mexico's historical records and appreciation of New Mexico history.

In 2004 a variety of factors led to a decision to conclude the 2001-2005 plan a year early and initiate a new planning cycle. The agency produced a more tightly constructed plan that would still move the agency forward but would be more realistically aligned with limited resources. The result was *Preserving the Past of the the Future, Strategic Plan Fiscal Years 2005-2009*. This plan sought to identify and direct efforts toward key issues related to records, information, and archival management that were having a significant impact on state, local, and tribal governments. As with the previous plan, it emphasized the significance of electronic records and the role of the SRCA.

In April 2008 agency management and commission members began to prepare the 2010-2014 plan. Working with a facilitator, the participants evaluated where the agency stood in achieving its strategic goals, its resources, and where it should go over the coming five years and how it should get there. The plan that emerged was submitted as a draft with the agency's

FY 2009 update and then honed during FY 2009. That action plan that was incorporated in the agency's FY 2010 update. That action plan was updated for FYs 2011 and 2012. During these fiscal years, some of the measures and targets were adjusted in recognition of the agency's severe limitation on operational funds and its continued high vacancy rate.

On November 30, 2011, State Records Administrator Sandra Jaramillo retired. The Commission appointed John Hyrum Martinez as her replacement. He initiated a new *Strategic Plan, Fiscal Years 2013-2018*, which included annual performance measures for FY 2013. It is important to note that during FY 2012 New Mexico's economy began to improve as the the national economy. Consequently, the NM Legislature passed and Governor Susana Martinez signed a budget for FY 2013 that increased the SRCA's operational funds by five percent. The SRCA was also granted \$450k for further implementation of the Central Electronic Records Repository (CERR) project. An additional \$822,400 for CERR was approved for FY 2014.

During this time, the agency established three principal goals that remain current today: (1) to manage, preserve, and provide access to records and information; (2) to enhance effectiveness of the agency; and (3) to build positive awareness of agency resources and services. In pursuit of these objectives, the agency updates its performance measures annually. During FY 2018, for example, the agency established 40 performance measures. It completed 95 percent of its measures, which included those identified by the Department of Finance and Administration and the Legislature for purposes of performance-based budgeting. The agency fulfilled 100 percent of requests for access to public records in its custody, provided training to 560 individuals on the proper management of public records in compliance with the public records act, provided 70 educational activities to the public, and provided access to 32,884 folders and 4,818 boxes in its care or custody. Because of staff shortages the State Archives division was unable to describe and publish the 20,000 contemporary DWI and domestic violence case files identified as a target. With limited staffing, the division completed the description and publication of 8,611. Continued budget reductions have prevented the agency from filling positions necessary to accomplish this important work.

For twenty-two years, strategic planning has provided, and continues to provide, the agency with the direction required to fulfill the CPR's statutory responsibilities and business objectives and to address the internal needs of the SRCA. The strategic goals, objectives, and related performance measures, in a very real sense, guide daily operations and longer-term activities and projects. They are also incorporated in employee evaluation plans.

With FY 2019 just on the horizon, State Records Administrator Melissa Salazar scheduled strategic planning meetings in May and April of 2018. Division directors met first with agency staff to generate ideas and discuss issues unique to each program unit. Planning concluded with a two-day retreat with Commission Chair Robert J. Tórréz and the agency's management team. The following is *Strategic Plan, Fiscal Years 2019-2023* and includes the updated performance measures for FY 2021. The plan defines what the agency hopes to accomplish over the next 5 years. As the year progresses, the agency will monitor its progress and review the performance measures and targets set in the plan.

## MONITORING PLAN

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

Division directors and others responsible for measures must report progress by the 20<sup>th</sup> day of the month following the end of a quarter. Measures are considered to be on schedule during the year if they have been completed in conformance with the target or if sufficient progress has been made or sufficient time is remaining to assume that the target can reasonably be expected to be achieved.

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

### FISCAL YEAR 2021 LEGISLATIVE PERFORMANCE MEASURES

Number of state employee trainings on filing and publishing a notice of rulemaking and rules in compliance with the State Rules Act. Target: 24

#### Additional FY 2021 Performance Measures Required

Number of trainings offered to state employees on the proper management of public records in compliance with the Public Records Act. Target: 24

Number of records described and made available online via a descriptive finding aid to support law enforcement, attorneys, the courts and the public. Target 15,000.

Number of agency educational, research, preservation and community outreach activities that foster and facilitate an appreciation and understanding of New Mexico history and culture. Target: 25

Number of days to compile and post all rules onto the New Mexico Administrative Code website from their effective date. Target: 30

Percent of requests by records custodians to access public records stored in the records center within 24 business hours and percent of requests to access archival holdings within two hours of on-site request, adhering to any applicable laws. Target: 100%

## ADMINISTRATIVE SERVICES DIVISION

### RESPONSIBILITY

The Administrative Services Division (ASD) provides support services to the program divisions of the agency. Division services include budget, personnel, procurement, accounting, facilities management, security coordination, and federal grant reporting. The state records administrator (SRA) is the head of the agency and provides overall direction for and management of the agency. The SRA is responsible for the administration of the Public Records Act and the State Rules Act, as well as portions of other statutes. The deputy serves in the absence of the SRA. The deputy oversees the Administrative Services Division and the director of the Information Technology Management Division. The chief financial officer manages all funds allocated to the agency and strives for maximum accountability of those funds. The bureau chief administers the agency's personnel services.

### CUSTOMERS

Customers include the CPR, the agency's other five divisions and those they serve, the New Mexico Historical Records Advisory Board, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

- Administration of agency;
- Manage and coordinate security and building services;
- Strategic planning;
- Reporting;
- Adopt and enforce rules;
- Approve donations and loans;
- Outreach; and
- Serve on advisory boards.

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

- Administer the Public Records Act and State Rules Act.
- Chair the New Mexico Historical Records Advisory Board.
- Assist with grant management.
- Seek additional funding for expansion and renovation of SRCA building.

### Goal #2: ENHANCE EFFECTIVENESS OF AGENCY

- Familiarize employees with strategic plan to ensure its implementation.
- Maintain and develop a highly trained and motivated workforce.
- Ensure fiscal responsibility for transparency and accountability.
- Update agency rules and policies as necessary.

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

- Develop and implement an annual legislative strategy.
- Continue to develop an agency marketing plan.
- Identify stakeholders and develop relationships.
- Improve agency's website.

### PERFORMANCE MEASURES

- Meet all contractual NHPRC grant requirements.
- Complete and submit the fiscal year budget appropriation request by deadline.
- Satisfy all financial control and reporting requirements.
- Develop an agency outreach plan.



### RESPONSIBILITY

The State Archives is the central archives of New Mexico state government. The division is mandated by law to collect, preserve, and make available to the public and all branches of government, permanent public records, historical manuscripts, photographs, and other materials that contribute to the understanding of New Mexico history. Finding aids that describe collections and some digital images are available via HERITAGE, the on-line catalog. The division offers reference assistance on-site, by telephone, mail, or e-mail.

### CUSTOMERS

Customers include the CPR, the agency's other five divisions and those they serve, the New Mexico Historical Records Advisory Board, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

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

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

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

### Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Improve internal performance and delivery of service to customers.
- Ensure division rules and policies are complete and current.
- Identify and seek funding to support program functions.

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

- Provide public outreach.
- Use agency branding material to increase the division's presence, visibility and public knowledge of services available.
- Identify stakeholders and develop relationships.

### PERFORMANCE MEASURES

- Describe and publish 15,000 records available online via a descriptive finding aid to support law enforcement, attorneys, the courts and the public.
- Monitor, remediate, and report on environmental conditions of archival holdings to ensure the long-term preservation of historical records.
- Organize and promote annual archives event to increase public awareness.
- Track the number of on-site visitors and the number of off-site requests.
- Complete an annual inventory of archival

## RECORDS MANAGEMENT DIVISION

### RESPONSIBILITY

The Records Management Division assists government agencies with the development of efficient and effective records management programs by:

- Recommending rules for records management;
- Requiring state agencies to appoint a chief records officer and records liaison officers;
- Providing quality training on basic and intermediate records management topics;
- Handling the transfer and storage of records at two records center facilities;
- Reviewing microphotography plans to ensure microphotography systems produce legible images;
- Inspecting microfilm for government entities;
- Establishing rules for electronic records management;
- Assisting agencies with the proper disposition of records; and
- Serving as a resource on records management.

### CUSTOMERS

Customers include the CPR, the agency's other five divisions and those they serve, the New Mexico Historical Records Advisory Board, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

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

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

- Improve operational procedures.
- Address challenges of managing electronic records.
- Update Functional Records Retention and Disposition Schedules (FRRDS).

### Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Evaluate quality of customer service.
- Promote team building within the division.
- Ensure division rules, policies, and procedures are complete and current.

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

- Improve agency website.
- Offer effective records management training.
- Identify stakeholders and develop relationships.

### PERFORMANCE MEASURES

- Manage the Central Electronic Records Repository (CERR).
- Provide a minimum of 24 trainings related to proper records and information management.
- Validate and process 100% of public records boxes that have met their legal retention.
- Identify grants for RIM training for employees.

## ADMINISTRATIVE LAW DIVISION

### RESPONSIBILITY

The Administrative Law Division (ALD) is responsible for filing rules and other instruments received; managing and preserving those rules and instruments; and making the rules, notices, and other instruments filed with ALD accessible to the public and other users. This includes, monitoring compliance with statutes and rules affecting the rule-filing and publishing processes.

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

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

### CUSTOMERS

Customers include the CPR, the agency's five divisions and those they serve, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

- File rules;
- Establish and enforce rule standards;
- Provide rule style and format training;
- Produce the New Mexico Register and the New Mexico Administrative Code (NMAC);
- Maintain active rules collection;
- Maintain interstate compacts and county subdivision regulations;
- Assist state agencies with all aspects of the rulemaking process.

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

- Assist the state records administrator with the administration of the State Rules Act.
- Increase access to records and information.

### Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Improve rule filing process.
- Ensure division rules, policies, and procedures are complete and current.
- Publish current rules on website.

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

- Assist state agencies with all aspects of rulemaking to conform to current NMAC style and format.
- Identify stakeholders and develop relationships.

### PERFORMANCE MEASURES

- File rules, county subdivision regulations, and interstate compacts within two days of receipt.
- Publish the submittal deadlines and publication dates for the *New Mexico Register* by the established January deadline.
- Publish the *New Mexico Register* 24 times per year as required by law.
- Prepare and proof annual index by the third issue of the *New Mexico Register*.
- Compile and post all rules onto the NMAC website within 30 days of their effective date.

## OFFICE OF THE STATE HISTORIAN

### RESPONSIBILITY

The Office of the State Historian promotes an understanding and appreciation of New Mexico's history and culture through interpretive research, outreach, educational programming, presentations, and publication.

### CUSTOMERS

Customers include the CPR, the agency's other five divisions and those they serve, the New Mexico Historical Records Advisory Board, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

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

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

- Conduct and disseminate original research on New Mexico history.
- Provide professional consultation, research reports, and educational activities.
- Improve agency website.

### Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

- Collaborate with historical societies and associations.
- Ensure division rules, policies, and procedures are complete and current.
- Identify and seek funding to support program functions.

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

- Increase awareness of agency resources.
- Offer outstanding public programming.
- Identify stakeholders and develop relationships.

### PERFORMANCE MEASURES

- Serve on and provide support to the Cultural Properties Review Committee.
- Acknowledge research inquiries within 2 business days of receipt and provide full response within 14 days.
- Provide at least 25 educational activities on New Mexico history and culture, including lectures, publications, and original articles posted to NewMexicoHistory.org.
- Participate in National History Day.
- Serve as deputy chair and provide support to the New Mexico Historical Records Advisory Board and administer its regrant and educational programs.
- Administer the Scholars' Program and ensure scholars present their research findings.
- Apply for one grant supporting the preservation of history.



## INFORMATION TECHNOLOGY MANAGEMENT DIVISION

### RESPONSIBILITY

The Information Technology Management Division provides a stable, innovative, and cost effective information technology environment that is customer focused and user friendly.

### CUSTOMERS

Customers include the agency's other five divisions and the customers they serve, other state agencies, the governor and legislature, the citizens of New Mexico, local and tribal governments, and historical record repositories.

### SERVICES

The Information Technology Management Division manages all IT operations. This includes:

- Plan, budget preparation and oversight;
- Purchasing and procurement;
- Inventory control;
- Website management;
- LAN/WAN management;
- Application management;
- Database development and management;and
- IT support and maintenance including hardware and software installation, help

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

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

### Goal #2: ENHANCE EFFECTIVENESS OF THE AGENCY

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

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

- Increase awareness of agency resources.
- Offer technical guidance to agency staff.

### PERFORMANCE MEASURES

- Provide on-going support for agency websites and applications.
- Assist with digital archives repository storage solution.
- Provide hardware, software, licensing, and administrative support for all HP Records Manager installations.
- Support the Centralized Electronic Records Repository.
- Update IT plan for inclusion in the budget appropriation request.
- Review help desk requests hourly and respond by e-mail, assign request to staff within two hours of request, and review requests quarterly to identify systemic areas of improvement.
- Collaborate with program division to identify and apply for grant funding.

## COMMISSION OF PUBLIC RECORDS AND STATE RECORDS ADMINISTRATOR

### STATUTES: *Commission of Public Records*

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

### STATUTES: *State Records Administrator*

<b><u>NMSA 1978</u></b>	<b><u>Provisions</u></b>
12-1-2 NMSA	Serve on the New Mexico Compilation Commission as one of the commission's seven members.
14-1-7 NMSA	Review and act on notices from county officials of their intent to destroy county records; claim the records if they are to be preserved.
14-3 NMSA	Carry out the Public Records Act.
14-4 NMSA	Carry out the State Rules Act.
14-3-6 NMSA	Adopt and publish rules to carry out the purposes of the Public Records Act.
14-3-6 NMSA	Report on activities of the agency to the Commission of Public Records, including ongoing operations; projected operations; and records transferred, destroyed, or processed during the year.

## RULES

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

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

## ACTIVITIES AND TASKS

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

# STATE ARCHIVES OF NEW MEXICO

## STATUTES

### NMSA 1978

### Provisions

1-22-17 NMSA	Maintain and preserve results of canvass of elections defined as permanent records and filed with the records center.
14-3-6 NMSA	Establish a records management program for the efficient and economical management of public records - e.g., creation, utilization, maintenance, preservation, and destruction.
14-3-7 NMSA	Inspect and survey public records of state agencies.
14-3-8 NMSA	Establish and operate a records center in Santa Fe that receives, stores and disposes of the inactive or infrequently used records of present and former state agencies.
14-3-9 NMSA	Dispose of public records by agreement of the agency head, the official in charge of the records, the administrator, and the attorney general; disposition may include transfer to the records center (archives).
14-3-13 NMSA	Protect public records by prescribing paper, ink, and other materials to be used for permanent records to ensure durability.
14-4-4 NMSA	File copies of State agency publications, pamphlets, reports, notices, proclamations and similar instruments.

## FEDERAL REGULATIONS

### Law

### Provisions

36 CFR 1253	Location of NARA Facilities and Hours of Use
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## RULES

### NMAC No.

### Name

1.13.2 NMAC	Fees
1.13.3 NMAC	Management of Electronic Records
1.13.11 NMAC	Access to Public Records, Research in the New Mexico Archives
1.13.40 NMAC	Private Collection Development Policy



## ACTIVITIES AND TASKS

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### Activity

### Tasks

Identify archival records

- Review FRRDS
- Appraise records for possible accession
- Process accessioned records
- Accrete agency publications into State Publications Collection

*Recover permanent records of state government*

- Identify state records held by organizations outside state government and request replevin of the records by the attorney general

*Accept donations of collections that fit within the commission's collection policy*

- Appraise proposed donations for fit
- Recommend approval or disapproval by the commission
- Accession donated material

*Preserve permanent records transferred or donated to the commission*

- Assure appropriate environmental storage conditions
- Secure collections
- Maintain collections
- Inventory archival collections annually

*Provide access to collections*

- Organize collections
- Create finding aids to collections
- Provide on-line access to collections
- Provide research room and reference assistance

*Effectively manage the state's permanent public records*

- Develop appropriate policies and procedures
- Oversee archival operations in state agencies

*Provide advice to local governments and non-profit historical record repositories*

- Provide advice on proper methods and techniques for preserving and facilitating access to permanent or historically significant records
- Consult with entities to resolve archival management problems

*Provide training in archival management methods and techniques*

- Train staff of archival repositories in state agencies
- Train local government employees
- Train staff of historical record repositories

*Serve as an affiliated archive for federal records*

- Maintain and provide access to surveyor general records
- Maintain and provide access to the records of the Court of Private Land Claims
- Maintain facilities according to standards issued by NARA

*Sell archival supplies, reproductions, and compilations*

- Sell containers
- Sell calendars and publications
- Sell duplicate photographs, maps and documents
- Sell microfilm copies of collections

## RECORDS MANAGEMENT DIVISION

### STATUTES

#### NMSA 1978

#### Provisions

14-3-6 NMSA	Establish standards, procedures, and techniques for the effective management of public records, which may include: improvements to current records management practices, use of space, use of equipment, and use of supplies.
14-3-6 NMSA	Establish a records management program for the efficient and economical management of public records - e.g., creation, utilization, maintenance, preservation, and destruction.
14-3-7 NMSA	Inspect and survey public records of state agencies.
14-3-8 NMSA	Establish and operate a records center in Santa Fe to receive, store, and dispose of the inactive or infrequently used records of present and former state agencies.
14-3-9 NMSA	Dispose of public records by agreement of the agency head, the official in charge of the records, the administrator and the attorney general. Disposition may include retention by the agency on-site or in private facility, transfer to the records center (and for permanent records from there to the archives) or destruction.
14-3-11 NMSA	Properly destroy public records.
14-3-12 NMSA	All public records of any agency, upon the termination of the existence and functions of that agency, shall be checked by the administrator and the attorney general and either transferred to the custody of another agency having a use for the records, or to the custody of the administrator at the center in accordance with the procedure of the Public Records Act.
14-3-15.1 NMSA	Recommend procedures, schedules, and technical standards for the retention of computer databases and rules governing the access to database information or adoption by the commission.
14-3-15.2 NMSA	Recommend standards for electronic signatures on public records for adoption by the commission.
14-3-15.B NMSA	Review and approve purchases of new microphotography systems purchased by state agencies.
14-3-15.C NMSA	Recommend minimum standards for microfilming public records for adoption by the commission.
14-3-15.D NMSA	Establish and maintain an inventory of all microfilm equipment owned or leased by state agencies and arrange the transfer of equipment between agencies.
14-3-17 NMSA	Review and approve existing microphotography systems used by state agencies.

14-3-18.A NMSA	The administrator may advise and assist county and municipal officials in the formulation of programs for the disposition of public records maintained in county and municipal offices.
14-3-18.D NMSA	The administrator may advise and assist county and municipal officials with the procedures, schedules and technical standards for the retention of computer databases.
14-3-19 NMSA	Establish a revolving fund for the sale of microfilm supplies necessary for providing microfilm services.

## **RULES**

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<b><u>NMAC No.</u></b>	<b><u>Name</u></b>
1.13.2 NMAC	Fees
1.13.3 NMAC	Management of Electronic Records
1.13.4 NMAC	Records Management Requirements for Electronic Messaging
1.13.10 NMAC	Records Custody, Access, Storage and Disposition
1.13.12 NMAC	Designation of Records Management Personnel
1.13.20 NMAC	Storage of Disaster Recovery Backup Files at the State Commission of Public Records—State Records Center and Archives
1.13.30 NMAC	Destruction of Public Records and Non-records
1.14.2 NMAC	Microphotography Systems, Microphotography Standards
1.14.3 NMAC	Microphotography Equipment: Inventory and Transfer
1.21.2 NMAC	Retention and Disposition of Public Records
1.21.3 NMAC	Local Government Records Management Guidance

## ACTIVITIES AND TASKS

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### Activity

### Tasks

*Establish standards for efficient management of state agency records*

- Develop rules for implementing a records management program for state government.
- Develop Records Retention and Disposition Schedules (RRDS)
- Review agency compliance with rules
- Develop rules for implementing a records management program for state government.
- Review agency compliance with rules

*Dispose of public records and non-records*

- Review destruction notices and recommend action
- Transfer records to archives for permanent preservation
- Destroy records according to approved methods

*Advise local governments and historical record repositories*

- Advise entities of proper records management methods and techniques
- Consult with entity staff to solve records management problems

*Accept records into warehouse*

- Accept records for storage at state agency's request
- Inventory stored records

*Provide access to stored records*

- Control access to records
- Retrieve stored records
- Maintain chain of custody for records accessed while in storage

*Provide safe and secure storage for inactive records*

- Restrict handling
- Provide physical security for records (systems and procedures)
- Monitor temperature and humidity
- Establish the Centralized Electronic Records Repository (CERR)

*Sell storage supplies*

- Sell cubic foot, plan, and microfilm boxes

*Establish minimum standards for microfilming (film and image) public records*

- Issue microphotography standards
- Inspect film for compliance with standards
- Re-inspect film for degradation

*Review and recommend approval of microphotography systems*

- Review and recommend approval of microform systems
- Review and recommend approval of imaging systems

*Provide records and information management training*

- Train record liaison officers
- Train state employees, record keepers, and custodians
- Train local government officials and employees
- Train microphotography program managers
- Train camera operators
- Train historical records repository staff



## NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

### FEDERAL LAW

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<u>Law</u>	<u>Provisions</u>
36 CFR 1206.38	National Archives and Records Administration, National Historic Publications and Records Commission (NHPRC) requires the appointment of a state board for participation in NHPRC's grant program and prescribes some of the activities of the board.

### RULES

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

### ACTIVITIES AND TASKS

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<u>Activity</u>	<u>Tasks</u>
<i>Strategic plan - improve the condition of historical records</i>	<ul style="list-style-type: none"><li>• Develop and monitor implementation of a five-year plan</li><li>• Update and review periodically</li></ul>
<i>Conduct public meetings of the board</i>	<ul style="list-style-type: none"><li>• Solicit public input for NMHRAB activities</li><li>• Hold majority of meetings outside Santa Fe</li></ul>
<i>Reach out to historical record repositories</i>	<ul style="list-style-type: none"><li>• Administer the New Mexico Historical Records Grant and Scholarship programs</li><li>• Recommend approval or disapproval of grant proposals to the NHPRC</li><li>• Assist repositories in applying for grant funds</li><li>• Identify needs of historical record repositories</li></ul>
<i>Promote history, archives, and records management programs</i>	<ul style="list-style-type: none"><li>• Fund training</li><li>• Fund projects to save, promote, or use historical records</li><li>• Fund projects that document history</li><li>• Promote archives and records management practices</li></ul>

## ADMINISTRATIVE LAW DIVISION

### STATUTES

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#### NMSA 1978

#### Provisions

14-3-20 NMSA	File interstate compacts with the records center; maintain the filing with an index.
14-3-21 NMSA	Recommend uniform standards for: manuals of procedures, state agency rules (except session laws), and official reports (except budget) for adoption by the commission.
14-3-23 NMSA	Review and order published manuals of policies and procedures; Develop standards.
14-4-3 and 14-4-7.1 NMSA	Adopt rules prescribing style, format, and publication standards for rule promulgated by state agencies and accept for filing all rules and concise explanatory statements. Give written notification of any minor, non-substantive corrections to any rule in spelling, grammar and format in filed rules.
14-4-5 NMSA	File rules adopted by state agencies and publish all filed rules as soon as practicable after filing and no later than 90 days after date of adoption of proposed rule.
14-4-5.2	Timely publish all notices of proposed rulemaking.
14-4-5.6	File and publish all emergency rules adopted by state agencies.
14-4-7 NMSA	Prepare and publish a list and index of current rules.
14-4-7.1 NMSA	Publish the <i>New Mexico Register</i> to include official publication of notices of rule making and adopted rules, summary of the text of executive orders or other material related to administrative law and practice.
14-4-7.2 NMSA	Create and have published an administrative code.
14-4-10 NMSA	Prepare and publish list of publications for sale or issue by state agencies.
14-5-5.6 NMSA	Accept for filing any emergency rules and publish same.
47-6-10.K-L NMSA	File county subdivision ordinance or their amendments with the records center.

## RULES

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<u>NMAC No.</u>	<u>Name</u>
1.24.1 NMAC	General Provisions
1.24.10 NMAC	New Mexico Administrative Code (NMAC)
1.24.11 NMAC	New Mexico Administrative Code Revisions
1.24.15 NMAC	New Mexico Register
1.24.25 NMAC	Default Procedural Rule for Rulemaking
1.25.10 NMAC	Publications: Filing, Distribution, Format and Style

## ACTIVITIES AND TASKS

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

## OFFICE OF THE STATE HISTORIAN

### STATUTES

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#### NMSA 1978

#### Provisions

18-6-4.A	Serve on the Cultural Properties Review Committee as one of the committee's seven members.
18-6-5	Take necessary (as a member of the Cultural Properties Review Committee) action to identify, protect, and preserve cultural properties.
18-6-14	Serve as the state historian for purposes of the Cultural Properties Act.

### RULES

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#### NMAC No.

#### Name

1.13.7 NMAC	New Mexico Office of the State Historian Scholars Program
1.13.5 NMAC	New Mexico Historical Records Grant Program Guidelines

### ACTIVITIES AND TASKS

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#### Activity

#### Tasks

<i>Serve as the authority on New Mexico history</i>	<ul style="list-style-type: none"> <li>• Prepare history section of the <i>New Mexico Blue Book</i> published by the secretary of state</li> <li>• Serve on task forces or committees requiring historical authority</li> <li>• Conduct classes on New Mexico history</li> <li>• Consult with government agencies on topics related to New Mexico history</li> <li>• Provide reference assistance to patrons of the archives</li> </ul>
<i>Serve on Cultural Properties Review Committee</i>	<ul style="list-style-type: none"> <li>• Attend meetings of the committee</li> <li>• Prepare text for historical markers</li> <li>• Review nominations to state and federal registers of historical sites</li> </ul>
<i>Conduct outreach</i>	<ul style="list-style-type: none"> <li>• Conduct lectures</li> <li>• Conduct structured educational workshops</li> <li>• Participate in panel discussions</li> <li>• Make presentations</li> <li>• Participate in the Historical Society of New Mexico</li> </ul>
<i>Contribute to the public's understanding of New Mexico history</i>	<ul style="list-style-type: none"> <li>• Conduct scholarly research</li> <li>• Participate in professional conferences</li> <li>• Administer the New Mexico History Scholars Program.</li> </ul>



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