

This is an amendment to 1.14.2 NMAC, Sections 7, 10 and 12.

**1.14.2.7 DEFINITIONS.**

A. "Administrator" means the state records administrator and the individual responsible for carrying out the purposes of the Public Records Act, specifically Section 14-3-15 NMSA 1978.

B. "Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, including district courts. See Sections 14-3-2 and 14-3-15 NMSA 1978.

C. "Approved microphotography system" means a microphotography system that has been approved in writing by the administrator under the provisions of Section 14-3-15 NMSA 1978.

D. "CD-ROM mastering process" means the creation of the first recording (the master) in the compact disk-read only memory replication process.

E. "CD-ROM premastering" see premastering.

F. "Compact disk" means read-only optical disk available in formats for audio, data and other information.

G. "Compact disk-read only memory" means optical disk that is created by a mastering process and used for reading.

H. "Compact disk-write once read many" means an optical disk that is written and then available for reading.

I. "Density" means the light-absorbing or light-reflecting characteristics of a photographic image, filter, etc.; or the number of pixels per square inch.

J. "Document accountability" means the process whereby original documents are compared against the images produced, so that the film ensures the validity and integrity of the images.

[J.]K. "Dots per inch" means the measurement of output device resolution and quality, e.g., number of pixels per inch on display device. Measures the number of dots horizontally and vertically.

[K.]L. "Enhancement algorithms" means the set of techniques for processing an image so that the result is visually clearer than the original image.

[L.]M. "JPEG" means the specific compressed image file format specified by ISO. [See JPEG acronym]

[M.]N. "Master" (noun) means:

(1) in micrographics, the original microform produced from which duplicates or intermediates can be obtained (ISO); and

(2) in electronic imaging, the first recording, one from which duplicates can be obtained.

[N.]O. "Master" (verb) means creating the first recording.

[O.]P. "Microphotography" means the transfer of images onto storage media including but not limited to film, tape, disk, or other information storage techniques that meet the Performance Guidelines for Legal Acceptance of Public Records produced by information technology system technologies pursuant to regulations adopted by the commission of public records. See Section 14-3-2 NMSA 1978.

[P.]Q. "Microphotography program manager" means the person responsible for the microphotography system program in a state agency.

[Q.]R. "Microphotography system" means all microphotography equipment, services, policies, procedures and supplies that together create, store and reproduce public records.

[R.]S. "Open system" means a system that implements sufficient open specifications for interfaces, services, and supporting formats to enable properly engineered image processing applications that can be ported with minimal changes across a wide range of systems; can inter-operate with other applications on local and remote systems; and can interact with users in a manner that facilitates access and maintenance of public records on such systems.

[S.]T. "Open system environment" means the comprehensive set of interfaces, services, and supporting formats, plus user aspects, for portability or interoperability of applications and data.

[T.]U. "Optical disk" means the medium that will accept and retain information in the form of marks in a recording layer that can be read with an optical beam. See also compact disk-read only memory, rewritable optical disk and write-once read many optical disk.

[U.]V. "Pixel" means the smallest element of a display surface that can be independently assigned color or intensity.

[V.]W. "Premaster" means the intermediate recording from which a master will be created.

[W.]X. "Premastering"

(1) includes the conversion to digital code, the addition of error correction codes and the intelligent preprocessing of the data records; and

(2) the phase of CD-ROM production in which machine-readable and bit-stream data are converted to optical disk.

**[X.]Y.** "Records" means information preserved by any technique in any medium, now known, or later developed, that can be recognized by ordinary human sensory capabilities either directly or with the aid of technology.

**[Y.]Z.** "Records custodian" means the statutory head of an agency which creates or maintains the records that are being microphotographed, or his designee.

**[Z.]AA.** "Resolution" means the ability of a system to record fine detail, or the measure of that fine detail.

**[AA.]BB.** "Scanner" means a device that converts a document into binary (digital) code by detecting and measuring the intensity of light reflected from paper or transmitted through microfilm.

**[BB.]CC.** "Tag image file format" means the standardized format for storage of digitalized images, which contains a header or tag that defines the exact data structure of the associated image.

[7-29-96; 1-12-98; 1.14.2.1.7 NMAC - Rn, 1 NMAC 3.2.60.1.7 & A, 12-29-00; A, 04/30/02]

**1.14.2.10 STANDARD FOR MICROFILM.** To maintain the integrity of the original records and to ensure that the microfilm produced is an adequate substitute for the original record and serves the purpose for which such records were created and or maintained the following standard shall be adhered to:

A. Microphotography program manager shall successfully complete the microphotography and records and information management training provided by the state records center.

B. A microfilm system will be determined to meet the minimum standard of the New Mexico Commission of Public Records if the combined results of the consumable (i.e. film, chemicals, etc.) and equipment producing microfilm meet the standards developed and/or approved by the American National Standards Institute. (see 1.14.2.17 NMAC). The requirements of the most current revisions of said standard shall prevail unless otherwise specified in this rule.

C. The microfilm shall be complete and contain all information shown on the original records.

D. Documents from different record series may be filmed on a single roll provided destruction dates coincide.

E. State agencies shall maintain an index for the purpose of tracking all records microfilmed.

F. Methylene blue test.

(1) Methylene blue test shall be conducted monthly.

(2) Systems producing more than 10 rolls per week, shall maintain proof of biweekly test results.

(3) Residual thiosulphate ion shall not exceed 1.4 micrograms per square centimeter as tested by the methylene blue test.

(4) Test results shall be maintained for the retention period of the records on microfilm produced (until film is eligible for destruction).

(5) Annual proof of methylene blue testing shall be submitted to the state records center and archives.

G. Resolution. The required resolution for source document microfilm is based on filming a microcopy Test Chart.

(1) Rotary cameras. A minimum resolving power of 2.5 shall be read on the required test chart.

(2) Planetary cameras. A minimum resolving power of 4.0 shall be read on the required test chart.

(3) Resolution readings shall be determined by following the procedures for determining microfilm resolution as set forth in ANSI/AIIM MS23.

(4) The required test chart shall appear at the beginning and end of each roll.

H. Density maximum (Dmax). The required background transmission density (relative Dmax) for source document microfilm is based on filming a target consisting of a blank sheet of 20 lb white bond paper.

(1) Paper records dated prior to 1960, the relative Dmax shall read between .9 and 1.19.

(2) Paper records dated 1960 and after, the relative Dmax shall read between .85 and 1.29.

(3) Density targets shall appear at the beginning and end of each roll.

I. Density minimum (Dmin). The required base plus fog density (relative Dmin) for unexposed processed microfilms must not exceed 0.10.

**J.** Splicing and erasures. Roll form master negative microfilm shall have no splicing or erasures between certification statements, unless expungement of a particular image or images is authorized in writing by the custodial agency.

**K.** Statement of intent and purpose. A certification statement shall be filmed as the first and last document on the roll of film. For roll form microfilm, a statement of intent and purpose shall be filmed at the beginning and end of each roll of film.

**L.** Certification plaque for filmstrip form microfilm:

(1) A certification plaque shall be filmed at the beginning and end of each filmstrip.

(2) No splicing or erasures are allowed between the certification plaques, unless expungement of a particular image or images is authorized in writing by the custodial agency.

**M.** Each roll of source document microfilm shall be identified by a start of roll target and an end of roll target.

**N.** Master negative microfilm shall be submitted inspected by state agencies or by vendors filming for agencies [to the state records center for film inspection]. Inspection shall consist of verification of the following:

(1) targets;

(2) indexing;

(3) labeling;

(4) [status of program manager] document accountability;

(5) density;

(6) resolution; and

(7) visual observation of major defects and errors.

**O.** [Agencies may elect to have inspections performed by entities other than SRCA staff. If alternate inspection services are used, agencies shall have the prior written approval of the administrator. Inspections by alternate service] Master microforms stored at the state records center are subject to audit by the state records center and archives staff at any time and shall comply with the standards set out in Subsection N of 1.14.2.10 NMAC. [Noncompliance with standards shall result in the revocation of approval of the use of an alternate inspection service. Alternative services shall calibrate their densitometers to correspond to readings obtained by densitometers at the state records center.]

**P.** Agencies shall inspect duplicate film for the following:

(1) major defects and errors;

(2) indexing accuracy;

(3) document accountability; and

(4) legibility.

**Q.** Microforms failing to pass inspection by [the SRCA, alternate inspection service, or] the agency or the vendor filming for the agency shall be refilmed.

**R.** Disposition of originals.

(1) Prior to the final disposition of any microfilmed paper records, all requirements of this rule shall be met.

(2) Agencies shall submit a request for destruction which includes the following information:

(a) a statement that the records for destruction have been microfilmed;

(b) that the microfilm has been filmed in accordance to NM microphotography standards;

(c) roll numbers;

(d) record series; and

(e) shall be signed by the records custodian for destruction approval.

(3) Agencies not required to submit a request for destruction to the NM state records center shall maintain a certificate of record destruction, which meets the requirements of the Public Records Act. This certificate shall include:

(a) a statement that the records for destruction have been microfilmed;

(b) that the microfilm has been filmed in accordance to NM microphotography standards;

(c) roll numbers;

(d) record series; and

(e) shall be signed by the records custodian for destruction approval.

**S.** Labeling of all master microfilm roll containers shall include the following information:

(1) name and address of the custodial agency;

- (2) date filmed;
- (3) identification of the first and last document on the roll of film;
- (4) records series names and corresponding records retention and disposition schedule item number;
- (5) disposition trigger dates (i.e. date file closed, date contract terminated, etc.);
- (6) name and address of the entity producing the roll of film; and
- (7) roll number.

T. Microfilm targets. The following targets shall be used to be in compliance with this rule:

- (1) Statement of intent and purpose. Statement of intent and purpose contains the following information:
  - (a) authority under which microfilming is being done;
  - (b) name of the agency for which the microfilming is being done;
  - (c) statement that the records microfilmed are the actual records of the agency, and that the records were created as part of the normal course of business;
  - (d) statement that it is the policy of the agency to microfilm specified records as part of the normal course of business, and (when applicable) that the backlog will be microfilmed as part of a conversion process to maintain a valid and cost efficient record keeping program;
  - (e) statement that it is the policy of the agency to microfilm specified records to maintain as the legal copy of record in lieu of paper, and that the paper records are destroyed after microfilming in accordance with all requirements of the Public Records Act; and
  - (f) name, title, and signature of records custodian or microphotography program manager.
- (2) Certification plaque:
  - (a) certification plaque A will be filmed on the first and last image of a filmstrip; and
  - (b) certification plaque B will be filmed on single image filmstrips, such as aperture cards
- (3) Resolution target. An original chart shall be utilized for filming.
- (4) Density target. A 20lb. bond sheet of paper shall be utilized for filming.

~~(4)~~ ~~(5)~~ Start of roll target. Start of roll target shall contain the following information:

- (a) roll number;
- (b) name of agency and office to which the records belong;
- (c) record(s) or file(s) being microfilmed;
- (d) date of filming;
- (e) name of camera operator; and
- (f) description of first record image on the roll of film.

~~(5)~~ ~~(6)~~ End of roll target. End of roll target shall contain the following information:

- (a) roll number;
- (b) name of agency and office to which the records belong;
- (c) record(s) or file(s) being microfilmed;
- (d) date of filming and name of camera operator; and
- (e) description of last record image on the roll of film.

U. Microfilm image sequence and spacing. The following image sequence and spacing shall be used:

- (1) Start of roll:
  - (a) film leader;
  - (b) statement of intent and purpose;
  - (c) resolution target;
  - (d) density target;
  - (e) start of roll target; and
  - (f) four spaces.
- (2) Record images. Source documents are to be filmed between the start and end of roll targets.
- (3) End of roll:
  - (a) four spaces;
  - (b) end of roll target;
  - (c) density target;
  - (d) resolution target;
  - (e) statement of intent and purpose; and
  - (f) film trailer.

**V.** The agency shall maintain an index for the purpose of tracking all microphotography records. The index shall identify individual records by relevant use and criteria.

(1) Indexing requirements will vary from agency to agency, and, within an agency document type by document type. An indexing schema shall take into consideration compliance with freedom of information laws. Indexing requirements include:

(a) Data elements required for search and retrieval shall be defined by each submitting agency for each record series. Access requirements of current and future end-users shall be considered.

(b) Objective coding elements are those identifiers that do not require subjective assessment. Examples of objective coding elements include document date, document type, author, recipient, etc.

(2) Indexing retrieval software. Where an automated index is selected, the software used to search the index and to display index records found shall address user interface issues.

**W.** All master negative microfilm shall be stored off-site (for security purposes) for the full period prescribed by the agency's records retention and disposition schedule.

**X.** An agency shall produce a minimum of one working copy of microfilm.

[9-8-77, 5-27-79, 1-7-81, 1-13-82, 3-29-92, 4-6-92, 7-29-96, 8-24-96, 1-12-98; 1.14.2.10 NMAC - Rn, 1 NMAC 3.2.60.1.9& A, 12-29-00; A, 4/30/02]

**1.14.2.12 STANDARD FOR COMPUTER OUTPUT MICROFILM (COM).** To maintain the integrity of the original records and to ensure that the COM produced is an adequate substitute for the original record and serves the purpose for which such records were created and or maintained, the following standard shall be adhered to:

**A.** A COM system will be determined to meet the minimum standards of the New Mexico commission of public records if the combined results of the consumable (i.e. film, chemicals, etc.) and equipment producing COM meet the standards developed and or approved by the american national standard institute (see 1.14.2.17 NMAC). The requirements of the most current revision of the standard shall prevail, unless otherwise specified in this rule.

**B.** An agency intending to place records on COM shall complete a COM statement of intent and purpose (form SRCA 2000-5) and submit it to the state records center for approval by the administrator.

**C.** The approved COM statement of intent and purpose shall be used as the target in producing COM. The records center will maintain a copy of the statement on file.

**D.** Methylene blue test.

(1) Residual thiosulphate ion shall not exceed 1.4 micrograms per square centimeter as tested by the methylene blue test.

(2) Annual proof of methylene blue testing shall be submitted to the state records center and archives.

(3) Test results shall be maintained for the retention period of the records on COM produced (until COM is eligible for destruction).

**E.** Master negative COM shall have a minimum resolution of 2.8 as read on the test chart prescribed in ANSI/AIIM MS 1-1996. The COM unit shall be tested for resolution adherence each day of operation.

**F.** The density of master negative COM shall be no less than 1.5. The COM unit shall be tested for density adherence each day of operation.

**G.** Each computer output microfiche shall have an identifier image as part of the microfiche index. The image shall include title of record being filmed, creating agency, and date filmed.

**H.** All master negative COM shall be stored off site (for security purposes) for the full period prescribed by the agency's records retention and disposition schedule.

**I.** An agency shall produce a minimum of one working copy of COM.

**J.** Master negative film shall be [submitted] inspected by state agencies or by vendors filming for agencies [to the state records center for film inspection]. Inspection shall consist of verification of the following:

- (1) targets;
- (2) indexing;
- (3) labeling;
- (4) [status of program manager] document accountability ;
- (5) density;
- (6) resolution; and

(7) visual observation of major defects and errors.

**K.** ~~[Agencies may elect to have inspections performed by entities other than SRCA staff. If alternate inspection services are used, agencies shall have the prior written approval of the administrator. Inspections by alternate service] Master microforms stored at the state records center are subject to audit by the state records center and archives staff at any time and shall comply with the standards set out in Subsection J of 1.14.2.12 NMAC. [Noncompliance with standards shall result in the revocation of approval of the use of an alternate inspection service.]~~

**L.** COM failing to pass inspection by ~~[the SRCA, alternate inspection service, or]~~ the agency or the vendor filming for the agency shall be remastered.

**M.** Agencies shall inspect duplicate COM for the following:

- (1) major defects and errors;
- (2) indexing accuracy;
- (3) document accountability; and
- (4) legibility.

**N.** Disposition of originals.

(1) Prior to the final disposition of any microphotographed paper records, all requirements of this rule shall be met.

(2) Agencies shall submit a request for destruction which includes the following information:

- (a) a statement that the records for destruction have been microphotographed;
- (b) that the COM has been mastered in accordance to NM microphotography standards;
- (c) envelope numbers;
- (d) record series; and
- (e) shall be signed by the records custodian for destruction approval.

(3) Agencies not required to submit a request for destruction to the NM state records center shall maintain a certificate of record destruction, which meets the requirements of the Public Records Act. This certificate shall include:

- (a) a statement that the records for destruction have been placed on COM;
- (b) that the COM has been mastered in accordance to NM microphotography standards;
- (c) envelope numbers;
- (d) record series; and
- (e) shall be signed by the records custodian for destruction approval.

**O.** Labeling of all master microfilm roll containers shall include the following information:

- (1) name and address of the custodial agency;
- (2) date created;
- (3) identification of the first and last document on the COM;
- (4) records series names and corresponding records retention and disposition schedule item number;
- (5) disposition trigger dates (i.e. date file closed, date contract terminated, etc.);
- (6) name and address of the entity producing the roll of film; and
- (7) envelope number.

**P.** The agency shall maintain an index for the purpose of tracking all microphotography records.

The index shall identify individual records by relevant use and criteria.

(1) Indexing requirements will vary from agency to agency, and, within an agency document type by document type. An indexing schema shall take into consideration compliance with freedom of information laws. Indexing requirements include:

(a) Data elements required for search and retrieval shall be defined by each submitting agency for each record series. Access requirements of current and future end-users shall be considered.

(b) Objective coding elements are those identifiers that do not require subjective assessment. Examples of objective coding elements include document date, document type, author, recipient, etc.

(2) Indexing retrieval software. Where an automated index is selected, the software used to search the index and to display index records found shall address user interface issues where microphotography images are stored on COM.

[11-16-82, 12-20-88, 1-19-89, 3-29-92, 7-29-92, 8-24-96; 1.14.2.12 NMAC - Rn, 1 NMAC 3.2.60.1.10 & A, 12-29-00; A, 4/30/02]