

**STATE COMMISSION OF PUBLIC
RECORDS
STATE RECORDS CENTER AND ARCHIVES
2010 – 2014 STRATEGIC PLAN

FISCAL YEARS 2011 – 2012 UPDATE**

EXECUTIVE SUMMARY

The Commission of Public Records – State Records Center and Archives (SRCA) has been using a detailed strategic plan to guide its operations since the mid-1990s. In 1996 the SRCA developed and implemented its first five-year (1996 - 2000) strategic plan. The plan served as a map to guide the agency as it worked toward achieving its mission as stated in the plan - *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, New Mexico history and administration. It also established specific goals and action steps and responsibilities for each. In Fiscal Year (FY) 1999, the agency’s management team began the strategic planning process for the next five years with an assessment of the 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: to increase knowledge of records, information and archival management (RIAM) practices; to have public records managed properly, in accordance with RIAM principles, throughout their life cycle; to have a comprehensive, authoritative locator service for all public records; to improve efficiency and accountability in State government through RIAM; to ensure that adequate resources were available to meet statutory obligations; and to advocate 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 (or lack thereof). Early in the five-year cycle the original six strategic initiatives were reshaped and reduced to five. These were to: increase the knowledge of records, information and archival management (RIAM) practices; have public records managed properly, in accordance with RIAM principles, throughout their life cycle; promote open access to public records; ensure that adequate resources are available to meet statutory obligations; and cultivate recognition of the importance of New Mexico’s historical records and appreciation for New Mexico history. In 2004, various factors discussed below led to a decision to move to a new five-year plan a year earlier than anticipated, and the result was a strategic plan for FYs 2004 – 2009. In late April, 2008, the agency’s management team along with managers of the New Mexico Historical Records Advisory Board grant and scholarship program and the agency’s for-fee training program and three members of the Commission met in Taos to review the existing plan and begin construction of a new five-year plan for FYs 2010 through 2014. 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 new action plan for FYs 2010 and 2011 that emerged from that meeting was submitted as a draft with the agency's FY 2009 update and then honed during FY 2009. It was that action plan that was incorporated in the agency's FY 2010 update. That action plan has again been revised for FY 2011 and 2012. Some of the FY 2011 measures and targets have been adjusted in recognition of the agency's severe limitation on operational funds and its continued high vacancy rate (itself a product of budgetary restrictions). The FY 2012 measures and targets likewise reflect an expectation that the agency's appropriations will continue at a suppressed level. Should the state's economy and state government's revenues rebound and the agency funding levels rise, then the action plan can be revisited.

Strategic planning has provided, and continues to provide, the agency with the direction required to fulfill the Commission of Public Records' statutory responsibilities and business objectives and to address the internal needs of the State Records Center and Archives. The strategic initiatives, strategies, action steps and related performance measures and targets, in a very real sense, guide both daily operations and longer-term activities and projects. They are even incorporated in employee evaluation plans.

One of the frustrations, however, in applying strategic planning to the real world is the inability to achieve stated goals because of insufficient resources; plans are developed based on hoped-for resource levels and when those resources do not materialize, targets are not met and some action steps and performance measures are abandoned altogether. Some of this is inevitable; new positions are frequently not authorized on the first try, and appropriation requests are rarely if ever fully funded - and adjustments in the strategic plan follow. However, in 2004, the Commission of Public Records, while receiving authorization for 2.2 much-needed additional, full-time equivalent positions, also suffered a severe reduction in its operating fund appropriation in the *Other* budget category, which comprises the majority of non-personnel, operating expense items - an action that was unfortunately repeated in the 2005 General Appropriations Act. The under-funding begun in 2004 has continued since. In 2006, one 0.7 FTE was converted to full-time and the agency received authorization for two additional positions - Management Analysts to work in the growing area of electronic records. However, once again, those gains were undercut by continuing under-funding in the agency's operating fund, especially in the *Other* category. The pattern persisted in 2007. The legislature authorized one new position - a Management Analyst for the Administrative Law Division. Additionally, the agency received two special appropriations - \$25.0 for the agency's Office of the State Historian's scholarship program and \$75.0 for the agency to formalize an internship program in that division. Money for operating expenses, however, again did not keep pace. The 2008 session of the legislature authorized the conversion of a half-time position to full-time; however, the agency received less than needed for FY 2009 operations in both the *Personal Services and Benefits* and *Other* categories. That shortfall, coupled with the 50 percent expenditure rule (2008 was an election year and an agency must restrict expenditures to 50 percent of budget in the

first six months), appeared to present a difficult, if manageable budgetary challenge for the agency in the first half of FY 2009. The second half of the fiscal year brought legislatively-imposed reductions in both general fund support and certain special appropriations.

Budgetary problems intensified in FY 2010 as the economy continued its slide. Although not subject to an Executive Order issued by the Governor mandating budgetary reductions and furloughs, the SRCA voluntarily reduced expenditures by four percent, a percentage point more than asked to consider in the Executive Order. The agency carried six vacancies, including two division directors, for most of the first half of the year. The division directorships were held open, despite exemptions from the hiring freeze, to meet the four percent reduction commitment and to assure the agency could meet its operating requirements. The final reversion for FY 2010 was higher than the four percent, however; the vacancies noted above plus an additional division directorship late in the year coupled with the restriction on BARs out of *Personal Services and Benefits* led to a greater unexpended balance in that category.

The budgetary constraints of FY 2010 pale in comparison to those of FY 2011 and, presumably absent a marked improvement in the state's economic picture, FY 2012. A radical decrease in FY 2011 funding in its operating fund - especially in the *Other* category - means that the agency is unable to meet basic operational costs through that fund. The majority of costs covered by general fund in the *Other* category are fixed - expenditures the agency has no discretion in making. These include: the DoIT, GSD and audit costs; the costs to operate the Albuquerque records center, including lease, maintenance and utilities; legal advertising costs; rent of the postage meter; etc. For FY 2011 those costs are almost \$147.0 of the \$165.5 available. In FY 2012, due primarily to the fine arts and property insurance and increases in the lease, they shoot up to about \$210.0.

For comparison, the FY 2010 general fund actuals in the *Other* category were \$394.1 (plus \$3.2 in other state grants); the FY 2011 operating budget as originally approved was only \$171.1 - a reduction of \$223.0; and that amount was further decreased to \$165.5 by the September 2010 reductions. Those September reductions, which affect every category, compound an obviously, already severe budgetary challenge. The agency has shifted some operating expenses to its revolving fund; however, that presents two problems. First, many of the items that support revenue generation as well as replacements for more expensive equipment historically acquired through the fund cannot be purchased. Second, if revenues do not materialize as projected, it may well not be possible to fund all the operational items shifted from general fund support. The revenue concern is that the agency's primary customers are other state agencies and local governments that are facing the same budgetary shortfalls as the SRCA.

What the latest budgetary constraints mean with respect to strategic planning is that little or no progress can be expected. The FY 2011 - 12 action plan reflects what the agency must do to meet statutory mandates within a restricted budgetary environment. The action plan restructures initiatives, strategies and measures based on an assessment by the management team of past achievements and failures and the ever-evolving governmental and records, information and archival management arenas in which the agency operates. Some performance measures have been deleted, some have been reshaped, some have been added, but for continuing measures, many targets have been maintained at previous levels or performance expectations decreased in recognition of the reality of limited financial and human resources.

The action plan for FY 2011 and FY 2012 contained in this document still defines where the agency hopes to go and what it hopes to achieve; however, it recognizes that it may not be possible, with existing and expected resources, to meet targets. As the year progresses and as appropriations for FY 2012 are established, the agency will monitor its progress and review the performance measures and targets set in the plan

VISION STATEMENT

The **vision** of the Commission of Public Records - State Records Center and Archives is to be the state's leading resource on matters pertaining to the preservation of historical documents, records, information and archival management issues, administrative law and New Mexico public history programs.

MISSION STATEMENT

The **mission** of the Commission of Public Records - State Records Center and Archives is to:

- preserve, protect and facilitate access to public records that are held in trust for the people of New Mexico;
- ensure rules promulgated by State agencies are published as prescribed in law and are accessible;
- advocate an understanding and appreciation of New Mexico history; and
- develop records management programs for State agencies.

AGENCY OVERVIEW

The members of the COMMISSION OF PUBLIC RECORDS in FY 2010 were:

<i>Historian, specializing in NM history</i>	Stanley Hordes, Ph.D. (Chair) – appointed, six-year term
<i>Secretary of State</i>	The Honorable Mary Herrera
<i>Attorney General</i>	The Honorable Gary King
<i>State Auditor</i>	The Honorable Hector Balderas
<i>State Law Librarian</i>	Robert Mead

Secretary, General Services Department
Director, Museum of New Mexico

Arturo Jaramillo
Frances Levine, Ph.D.

In 1959 the recently enacted Public Records Act provided that the Commission of Public Records appoint a State Records Administrator; it further stipulated that the State Records Administrator establish 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 provided for the establishment of a records center in Santa Fe. The facility created to fulfill that statutory responsibility is commonly known as the State Records Center and Archives. While its official name is the Commission of Public Records, the agency is perhaps more frequently referred to by the name of the facility, the SRCA. **Throughout this plan, the terms Commission of Public Records and State Records Center and Archives (or its abbreviation, SRCA) are used interchangeably in referring to the agency.**

The Commission of Public Records is responsible for the administration of the Public Records Act [Chapter 14, Article 3, NMSA 1978] and the State Rules Act [Chapter 14, Article 4, NMSA 1978], as well as portions of other statutes. In both Acts, the Commission and the State Records Administrator are charged with specific duties and responsibilities [please see *Functional Assessment*, below]. To carry out these statutory responsibilities, the SRCA is organized into six divisions and the Office of the State Records Administrator. The divisions are Administrative Law, Administrative Services, Archives and Historical Services, Information Technology Management, Records Management and Office of the State Historian. The directors of these divisions, along with the Administrator and Deputy Administrator, serve as the management team of the agency. The Deputy State Records Administrator also serves as Administrative Services Division Director and Chief Financial Officer (CFO). In addition, the agency provides staff and administrative support for the New Mexico Historical Records Advisory Board. Following are brief descriptions of the functions of these organizational units.

OFFICE OF THE STATE RECORDS ADMINISTRATOR

The State Records Administrator is the head of the agency and provides overall direction for and management of the agency. The Deputy State Records Administrator also serves as Director of the Administrative Services Division (please see below).

ADMINISTRATIVE LAW DIVISION (ALD)

The Administrative Law Division administers the State Rules Act that governs the official filing and publication of rules developed by executive agencies of New Mexico State government, as well as some judicial agencies that voluntarily file with the agency. Rules promulgated by State agencies are intended to support and implement the laws of New Mexico. For those rules to be valid, they must first be filed with the SRCA and published in the *New Mexico Register*. The Administrative Law Division publishes both

the rules filed with it as well as notices of intended rule making in the *New Mexico Register*, which is available both free on-line and by paid, hard-copy subscription. The Division also publishes the *New Mexico Administrative Code*, a free, searchable, on-line compilation of those rules. Other regulatory instruments - interstate compacts and county sub-division regulations - must also be filed with the SRCA.

ADMINISTRATIVE SERVICES DIVISION (ASD)

The Administrative Services Division provides support services to the program divisions of the agency. Those services include management, fiscal, personnel and building oversight. The Deputy State Records Administrator, as noted above, is also the ASD Director as well as the agency's CFO.

ARCHIVES AND HISTORICAL SERVICES DIVISION (AHSD)

The Archives and Historical Services Division maintains, preserves and makes available to the public the permanent and historical records of New Mexico. Consultation and research assistance are provided to State agencies, businesses and the public. Archival documents are used to support the operations of governmental agencies, social services and the judicial system. The records held in the State Archives help also support scholarly studies, document citizenship and family histories, and resolve land and water issues.

INFORMATION TECHNOLOGY MANAGEMENT DIVISION (ITMD)

This three-person division provides information technology services and support to the agency and develops the agency's annual Information Technology Plan. It was previously within the ASD but was split out in recognition of the growing importance of information technology in the delivery of SRCA services.

RECORDS MANAGEMENT DIVISION (RMD)

The Records Management Division is responsible for providing guidance and assistance to State and local governmental agencies in the establishment and continued maintenance of successful records and information management programs. Records management deals with the management and control of records throughout their life cycles - from their creation to their final disposition. Efficient and economical management involves the description of records in use by State agencies. Records retention and disposition schedules provide this description and become the basic tool of an agency's records and information management program. The Division is also responsible for developing standards for the management of electronic records and microphotography systems, including imaging applications (State statute defines microphotography to include electronic imaging and places the responsibility for approval of imaging plans with the State Records Administrator). This Division also offers warehouse management of inactive records as well as records disposition services and records management consultation.

OFFICE OF THE STATE HISTORIAN (OSH)

The State Historian sits as the statutory member of the Cultural Properties Review Committee, the body that provides advice to the Historical Preservation Division of the Cultural Affairs Department in 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 his principal functions is to promote throughout the state a greater awareness of, and appreciation for New Mexico history in conformance with the agency's stated mission. Like the ITMD, this division was split from another division. It was once a bureau within the AHSD. The current State Records Administrator moved the function out from the AHSD and created the division of the Office of the State Historian to provide greater emphasis on the New Mexico history component of the agency's mission.

NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD (NMHRAB)

The New Mexico Historical Records Advisory Board was established to serve as the local advisory body for reviewing all New Mexico records preservation and access, or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission. Since its establishment, the Board has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. Seven of the eight 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 eighth member, the State Records Administrator, serves ex officio and is the chair of the Board.

PERFORMANCE-BASED BUDGETING

For the purposes of performance-based budgeting, the Commission of Public Records identified one program, "**records, information and archival management,**" and four associated sub-programs or activities - **administrative law, administration, public records management** and **New Mexico history**. The purpose of the records, information and archival management program is to develop, implement, and provide tools, methodologies and services for the benefit of government agencies, historical records repositories and the public; effectively create, preserve, protect and properly dispose of records; facilitate the use and understanding of those records; and protect the interests of the citizens of New Mexico.

The agency reports to the State Budget Division on seven key performance measures that encompass all agency functions, although the number included in the General Appropriation Act has varied. A seventh measure was added for FY 2010 that addresses visits to the NM history web site.

As a part of its FY 2006 appropriation request, the agency proposed to substitute a new - and in the agency's opinion, more pertinent - output measure. The previous output

measure - *number of rules and notices of rule making filed with the Commission and published in the New Mexico Register in compliance with the State Rules Act* - measured the rule-related activity of other agencies and was not a measure the State Records Center and Archives could affect, other than through its own rule making. The new output measure proposed was *number of consultations, research reports and educational activities provided by the State Historian*, which the agency believed was a more pertinent measure and gave added recognition to its New Mexico history activity. The new measure was approved by the legislature and is reflected in this plan. For 2010, the agency requested that the newer output measure be deleted. It proved not useful and overly cumbersome and burdensome. The intent was to measure significant, structured actions and products; however, the routine, daily activities of the division were included in the count. Further, no measurement or tracking tool was developed. The agency asked that a new measure to track the number of “unique visitors” to the New Mexico history website be substituted. The agency felt, that given the attention and funding the site has received, it was appropriate to measure its use and attempt to draw information from that measurement that could be used in improving all agency web pages. The addition of the measure was approved during the 2009 legislative session. Rather than concurring in the agency’s request to delete the previous output measure, the budget analysts recommended that it be retained and limited to research reports and educational activities. Since the position of State Historian was vacant for much of FY 2010, little or no progress was made against that reworked measure.

The agency, in its FY 2007 request, also sought and received approval to rework one of its outcome performance measures. The previous measure tracked the percentage of agencies with current records retention and disposition schedules, but because of the widely varying complexity of these schedules and the differences in time required to update them, it did not truly reflect the work of the Records Management Division. The new measure looks rather at the percentage of total record items (series) scheduled, reviewed, amended or replaced within a rolling five-year period. The result of the first year’s measurement was enlightening – the initial target was placed too high and reflected an unrealistic performance level. It has been reduced but progress is not yet what was hoped.

It must be noted that, in addition to those identified in response to the Accountability in Government Act and performance-based budgeting, the agency tracks performance on many other measures, as evident in the last section of this plan.

KEY PERFORMANCE MEASURES FOR FY 2011 (All key measures are outcomes except the last two, which are output measures.)

- ⇒ Maximum number of days of lag time between rule effective date and on-line availability.
- ⇒ Percentage of total record items scheduled, reviewed, amended or replaced within a five-year period.

- ⇒ Percentage of requests for access to public records in its custody that the agency is able to satisfy.
- ⇒ Percentage of all projects funded through the New Mexico historical records grant program that are achieving stated objectives.
- ⇒ Percentage of annual strategic action plan achieved or on schedule.
- ⇒ Number of research reports and educational activities provided by the State Historian.
- ⇒ Number of times during a fiscal year visitors (unique visitors) access information on the NM history web site.

FUNCTIONAL ASSESSMENT

This section of the plan outlines, by function, the statutory authority and rules that support the activities of the agency, its Commission and its advisory board. Following statutes and regulations, customers served by each function and major activities and tasks carried out are defined.

MANAGEMENT

Statutes: Commission of Public Records

NMSA 1978 Provisions

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

Statutes: State Records Administrator

NMSA 1978 Provisions

- 12-1-2 Serve on the NM Compilation Commission as one of the Commission's seven members.
- 14-1-7 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 Carry out the Public Records Act.
- 14-4 Carry out the State Rules Act.
- 14-3-6 Adopt and publish rules and regulations to carry out the purposes of the Public Records Act.
- 14-3-6 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.

Regulations: Commission and Administrator

NMAC No. Name

- 1.11.2 Real Property Electronic Recording
- 1.12.2 Information Technology Systems, Electronic Authentication
- 1.13.1 General Provisions
- 1.13.2 Fees
- 1.13.5 New Mexico Historical Records Grant Program Guidelines
- 1.13.6 New Mexico Historical Records Grant Scholarship Program Guidelines
- 1.13.70 Performance Guidelines for the Legal Acceptance of Electronic Records

See also the regulations listed in other functions of the agency.

Customers: Commission and Administrator

- ❖ SRCA
- ❖ Other State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local and tribal governments
- ❖ Historical record repositories

Activities and Tasks: Commission and Administrator

Activity

Tasks

Administration of agency

- Manage finances
- Manage human resources
- Provide information systems support
- Provide centralized mail services
- Provide centralized receiving
- Manage grant funds

Manage and coordinate

- Control access to facility

<u>Activity</u>	<u>Tasks</u>
<i>security and building services</i>	<ul style="list-style-type: none"> ❑ Coordinate janitorial services ❑ Coordinate meeting room use
<i>Strategic Planning</i>	<ul style="list-style-type: none"> ❑ Develop a five-year plan and use it to manage the agency ❑ Review and update plan annually ❑ Monitor plan
<i>Reporting</i>	<ul style="list-style-type: none"> ❑ Report to the Governor ❑ Report to the Commission ❑ Report to the DFA and the LFC <ul style="list-style-type: none"> ○ Annual Action Plan ○ Performance Measures
<i>Adopt and enforce rules</i>	<ul style="list-style-type: none"> ❑ Carry out the Public Records Act ❑ Carry out the State Rules Act ❑ Support the activities of the NMHRAB
<i>Approve donations and loans</i>	<ul style="list-style-type: none"> ❑ Accept private collections ❑ Approve loans of archival materials to other repositories
<i>Outreach</i>	<ul style="list-style-type: none"> ❑ Provide records and archival management training ❑ Promote the agency and its programs
<i>Appoint and serve on advisory boards</i>	<ul style="list-style-type: none"> ❑ Chair (Administrator) the New Mexico Historical Records Advisory Board ❑ Form special needs advisory boards or committee ❑ Serve on other committees and task forces relevant to agency operations when appointed

PUBLIC RECORDS MANAGEMENT - ARCHIVES

Statutes: Archives

NMSA 1978 Provisions

1-22-17	Maintain and preserve results of canvass of elections defined as permanent records and filed with the records center.
14-3-6	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	Inspect and survey public records of State agencies.
14-3-8	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	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	Protect public records by prescribing paper, ink, and other materials to be

NMSA 1978 Provisions

used for permanent records to ensure durability.

14-4-4 File copies of State agency publications, pamphlets, reports, notices, proclamations and similar instruments.

Federal Law: National Archives and Records Administration, Affiliated Archives

Law Provisions

36CFR1253 Place Federal archival material in repositories outside the Federal government through a formal program of affiliated archives.

Regulations: Archives

NMAC No. Name

- 1.13.2 Fees
- 1.13.3 Management of Electronic Records
- 1.13.5 New Mexico Historical Records Grant Program Guidelines
- 1.13.6 New Mexico Historical Records Grant Scholarship Program Guidelines
- 1.13.11 Access to Public Records, Research in the New Mexico Archives
- 1.13.40 Accession of Public Records by the State Records Center and Archives, Private Collection Policy

Customers:

- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local and tribal governments
- ❖ Historical records repositories
- ❖ Historians and others interested in history

Activities and Tasks: Archives

Activity

Tasks

- | | |
|---|--|
| <i>Identify archival records</i> | <ul style="list-style-type: none"> <input type="checkbox"/> Review RRDS <input type="checkbox"/> Appraise records for possible accession <input type="checkbox"/> Process accessioned records <input type="checkbox"/> Accrete agency publications and brochures into agency collections |
| <i>Recover permanent records of State government</i> | <ul style="list-style-type: none"> <input type="checkbox"/> Identify State records held by organizations outside State government and request replevin of the records by the Attorney General |
| <i>Accept donations of collections that fit within the Commission's collection policy</i> | <ul style="list-style-type: none"> <input type="checkbox"/> Appraise proposed donations for fit <input type="checkbox"/> Recommend approval or disapproval by the Commission <input type="checkbox"/> Accession donated material |
| <i>Preserve permanent records</i> | <ul style="list-style-type: none"> <input type="checkbox"/> Assure appropriate environmental storage conditions |

Activity

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

Sell archival supplies, reproductions, and compilations

Tasks

- Secure collections
- Maintain collections
- Inventory archival collections annually
- Organize collections
- Create finding aids to collections
- Provide on-line access to collections
- Provide research room and reference assistance
- Develop appropriate policies and procedures
- Oversee archival operations in State agencies
- 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
- Train staff of archival repositories in State agencies
- Train local government employees
- Train staff of historical record repositories
- 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 containers
- Sell calendars and publications
- Sell duplicate photographs, maps and documents
- Sell microfilm copies of collections

PUBLIC RECORDS MANAGEMENT - RECORDS MANAGEMENT

Statutes: Records Management

NMSA 1978 Provisions

14-3-6 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 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 Inspect and survey public records of State agencies.

14-3-8 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.

NMSA 1978 Provisions

- 14-3-9 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 Properly destroy public records.
- 14-3-15.1 Recommend procedures, schedules, and technical standards for the retention of computer databases and rules governing the access to database information for adoption by the Commission.
- 14-3-15.2 Recommend standards for electronic signatures on public records for adoption by the Commission.
- 14-3-15.B Review and approve purchases of new microphotography systems purchased by State agencies.
- 14-3-15.C Recommend minimum standards for microfilming public records for adoption by the Commission.
- 14-3-15.D 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 Review and approve existing microphotography systems used by State agencies.
- 14-3-19 Establish a revolving fund for the sale of microfilm supplies necessary for providing microfilm services.

Regulations: Records Management

NMAC No. Name

- 1.13.2 Fees
- 1.13.3 Management of Electronic Records
- 1.13.10 Access to Public Records, Records Custody and Access
- 1.13.20 Storage of Public Records, Storage of Electronic Media at the State Records Center and Archives
- 1.13.4 Records Management Requirements for Electronic Messaging
- 1.13.30 Destruction of Public Records and Non-records
- 1.14.2 Microphotography Standards
- 1.14.3 Microphotography Systems, Microphotography Equipment: Inventory and Transfer
- 1.15.1-9 General Records Retention and Disposition Schedules
- 1.16.1-119 Legislative Record Retention and Disposition Schedules
- 1.17.1-264 Judicial Record Retention and Disposition Schedules
- 1.18.1-969 Executive Record Retention and Disposition Schedules
- 1.19.1-10 Local Government Retention and Disposition Schedules
- 1.20.1-3 Education Records Retention and Disposition Schedules

Customers:

- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ Historical records repositories

Activities and Tasks: Records Management

Activity

Establish standards for efficient management of State agency records

Tasks

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

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

Sell storage supplies

- Sell cubic foot, plan, and microfilm boxes

<u>Activity</u>	<u>Tasks</u>
<i>Establish minimum standards for microfilming (film and image) public records</i>	<ul style="list-style-type: none"> <input type="checkbox"/> Issue microphotography standards <input type="checkbox"/> Inspect film for compliance with standards <input type="checkbox"/> Re-inspect film for degradation
<i>Review and recommend approval of microphotography systems</i>	<ul style="list-style-type: none"> <input type="checkbox"/> Review and recommend approval of microform systems <input type="checkbox"/> Review and recommend approval of imaging systems
<i>Provide records and information management training</i>	<ul style="list-style-type: none"> <input type="checkbox"/> Train Record Liaison Officers <input type="checkbox"/> Train State employees, record keepers and custodians <input type="checkbox"/> Train local government officials and employees <input type="checkbox"/> Train microphotography program managers <input type="checkbox"/> Train camera operators <input type="checkbox"/> Train historical records repository staff

ADMINISTRATIVE LAW

Statutes: Administrative Law

NMSA 1978 Provisions

14-3-20	File interstate compacts with the records center; maintain the filing with an index.
14-3-21	Recommend uniform standards for: manuals of procedures, State agency rules and regulations (except session laws) and official reports (except budget) for adoption by the Commission.
14-3-23	Review and order published manuals of policies and procedures; develop standards.
14-4-3 and 14-4-7.1	Adopt rules prescribing style, format, and publication standards for rules promulgated by State agencies
14-4-5	File rules adopted by State agencies.
14-4-7	Prepare and publish a list and index of current rules.
14-4-7.1	Publish a <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	Create and have published an administrative code.
14-4-10	Prepare and publish list of publications for sale or issue by State agencies.
47-6-10.K-L	File county subdivision regulations or their amendments with the records center.

Regulations: Administrative Law

NMAC No. Name

1.24.1	General Provisions
1.24.10	New Mexico Administrative Code (NMAC)
1.24.11	New Mexico Administrative Code Revisions
1.24.15	New Mexico Register

NMAC No. Name

- 1.24.20 Emergency Rules
- 1.25.5 [Reserved] Manuals of Procedure, Style and Format [repealed SRC 70-1]
- 1.25.10 Publications: Filing, Distribution, Format & Style

Customers

- ❖ State agencies
- ❖ The Governor and the Legislature
- ❖ Citizens of New Mexico
- ❖ Local governments
- ❖ The legal and regulated communities

Activities and Tasks: Administrative Law

<u>Activity</u>	<u>Tasks</u>
<i>File rules</i>	<input type="checkbox"/> Review for style and format <input type="checkbox"/> Accept and file rules
<i>Establish and enforce standards</i>	<input type="checkbox"/> Adopt rules governing style and format of rules <input type="checkbox"/> Adopt standard for manuals of procedures <input type="checkbox"/> Adopt standards for publications issued in paper <input type="checkbox"/> Adopt standards for web-based publications
<i>Establish and enforce standards</i>	<input type="checkbox"/> Adopt rules governing publishing in the <i>New Mexico Register</i> <input type="checkbox"/> Adopt rules governing filing of emergency rules <input type="checkbox"/> Adopt rules governing compilation of agency rules
<i>Provide training</i>	<input type="checkbox"/> Train rule filers in style and format requirements <input type="checkbox"/> Train State employees in the rule-making process
<i>Produce the New Mexico Register and the New Mexico Administrative Code</i>	<input type="checkbox"/> Provide electronic and hard-copy access to notices of rule making and of adopted rules in the NM Register <input type="checkbox"/> Provide electronic access to current rules within a topical context <input type="checkbox"/> Publish an index of current rules
<i>Maintain Active Rules Collection</i>	<input type="checkbox"/> Accept rule filings <input type="checkbox"/> Accession new rules or amendments <input type="checkbox"/> Remove repealed rules and transfer to archival collection <input type="checkbox"/> Provide access
<i>Maintain interstate compacts and county subdivision regulations</i>	<input type="checkbox"/> Accept new filings <input type="checkbox"/> Process into collection <input type="checkbox"/> Index <input type="checkbox"/> Provide access

NEW MEXICO HISTORY – OFFICE OF THE STATE HISTORIAN

Statutes: State Historian

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.

Regulations: State Historian

NMAC No. Name

- 1.13.7 Office of the State Historian Scholars Program
- 1.13.8 Office of the State Historian Service Learning Student Internship Program

Customers:

- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Historians and others interested in history

Activities and Tasks: State Historian

Activity

Tasks

Serve as the authority on New Mexico history

- Prepare history section of the NM Blue Book published by the Secretary of State
- Serve on task forces or committees requiring historical authority
- Conduct classes on New Mexico history
- Consult with government agencies on topics related to New Mexico history
- Provide reference assistance to patrons of the archives.

Serve on Cultural Properties Review Committee

- Attend meetings of the Committee
- Prepare text for historical markers
- Review nominations to State and Federal Registers of historical sites

Conduct outreach

- Conduct lectures
- Conduct structured educational workshops
- Participate in panel discussions
- Make presentations
- Participate in the NM Historical Society

Contribute to the public's understanding of New Mexico history

- ❑ Conduct scholarly research
- ❑ Participate in professional conferences
- ❑ Administer the NM history scholars' program.
- ❑ Administer the NM history internship program.

NEW MEXICO HISTORY – NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

Federal Law: New Mexico Historical Records Advisory Board

<u>Law</u>	<u>Provisions</u>
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36CFR1206.38	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.
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Customers:

- ❖ State agencies
- ❖ The Governor and Legislature
- ❖ Citizens of New Mexico
- ❖ Local and tribal governments and historical records repositories

Regulations: New Mexico Historical Records Advisory Board

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

Activities and Tasks: New Mexico Historical Records Advisory Board (NMHRAB)

<u>Activity</u>	<u>Tasks</u>
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<i>Strategic plan - improve the condition of historical records</i>	<ul style="list-style-type: none">❑ Develop and monitor implementation of a five-year plan❑ Update and review periodically
<i>Conduct public meetings of the Board</i>	<ul style="list-style-type: none">❑ Solicit public input for NMHRAB activities❑ Hold majority of meetings outside Santa Fe
<i>Reach out to historical record repositories</i>	<ul style="list-style-type: none">❑ Administer the New Mexico Historical Records Grant and Scholarship programs❑ Recommend approval or disapproval of grant proposals to the NHPRC❑ Assist repositories in applying for grant funds❑ Identify needs of historical record repositories

*Promote history, archives
and records management
programs*

- ❑ Fund training
- ❑ Fund projects to save, promote, or use historical records
- ❑ Fund projects that document history
- ❑ Promote archives and records management practices

ACHIEVEMENTS

As stated previously, the SRCA has operated under a strategic plan since 1996. This summary will highlight some of the major accomplishments the agency has realized in the period 1996 through 2010.

Acquire a new facility

The acquisition of a new facility to house the agency was the culmination of research, planning, collaborations and support of staff, patrons, the Commission, three governors and ten legislative sessions. Construction of the new facility was completed by November 1997. Through a contract with Corrections Industries, 35,000 cubic feet of public records and 135,000 rolls of microfilm as well as office furniture were relocated in January 1998 to the newly renovated records center attached to the new facility. National Library Relocations, Inc., a national firm specializing in moving libraries and archives, successfully moved 20,000 linear feet of archival collections in April 1998. The move was completed ahead of schedule with no loss of records or injury to staff. Operations resumed May 18, 1998. Opening ceremonies were held in October 1998.

Now, 12 years after its grand opening, the facility is quickly reaching records-storage capacity. A recent needs assessment concluded that the records center and the archives were at some 85 percent capacity and would be out of space in six to seven years. Several possible solutions were identified, but funding is an obstacle to any.

Improve access to public records

Several initiatives have been undertaken by the agency that have improved access to public records. In 1997, the SRCA, through collaborations with the State Library, successfully completed a National Endowment for the Humanities (NEH) grant project in which 706 archival collections were cataloged utilizing machine-readable cataloging (MARC) format and placed on-line through the State Library's website. *Salsa*, the State Library's on-line database, provides bibliographic information on SRCA archival collections. In 1998, the SRCA entered into second NEH collaborative grant project, the *Online Archives of New Mexico*, in partnership with the University of New Mexico, the Fray Angelico Chavez Library and New Mexico State University. Finding aids for archival collections in all four institutions were encoded in standard generalized mark-up language (SGML), a language that allowed for easy Internet display. The three-year project was completed in 2001; encoded finding aids were placed on-line through the

Online Archives of New Mexico website hosted by the University of New Mexico, <http://elibrary.unm.edu/oanm/>.

In 2000, the agency acquired and installed software to automate and consolidate several archival processes, including those that supported the *Online Archives*. The software, WinGenCat, allowed the agency to provide access to finding aids directly through the agency's website. Also available through the SRCA website are about 5,000 digital images - photographs from the Department of Tourism and the Department of Education collections. The digital images are the product of the archival imaging project begun in FY 2001 with funds appropriated in the General Appropriation Act of 2000. More images have actually been scanned and indexed, but only the some 5,000 referenced above are presently on-line. The Archives and Historical Services Division began scanning glass-plates negatives from the Corrections Department collection in FY 2006. The GenCat software that supported the imaging project as well as provided management tools for the State's archival collections was, however, aging rapidly. While it had provided the means to advance archival management and open collections to public access, its capacity was limited, and use of certain application functionality was extremely time-consuming and could interfere with access. The agency requested a special appropriation during the 2005 session to replace the software, but the request was not funded. The problems with the application continued to increase, and, once again, the SCRA included a request for a special, information technology appropriation with its FY 2007 appropriation request and information technology plan. That request was funded, and a Request for Proposals for a replacement application was issued and a contract awarded. Because of delays in the RFP and contract process, no work was completed in FY 2007. The agency, however, sought and received a reauthorization of the \$130,000 appropriation, which carried it through the end of FY 2008. Also, late in FY 2007, an Independent Validation and Verification contract was awarded to a vendor to provide oversight on the project. The new software was installed in the first half of FY 2008 and went live at the end of December. It has proved quite successful in enhancing collection management and on-line access.

Provide access to State rules

The SRCA is the filing point for rules promulgated by executive-branch agencies, for interstate compacts and for county subdivision regulations. The *New Mexico Administrative Code (NMAC)* is the compilation of current, active rules promulgated by State agencies. The agency also publishes the *New Mexico Register*, a semi-monthly publication where notices of intended rule making, newly promulgated rules and amendments to and repeals of existing rules are officially published. State rules and their compilation into the *Code* were of significant concern to the agency. The structure and format for the *NMAC* are prescribed by the SRCA for rules filed under the State Rules Act. The original *NMAC* standards adopted in 1995 were found to be overly complex. Accordingly, the SRCA undertook a restructuring of the *NMAC*, which, with the promulgation of five new rules on rule making, went into effect in February of 2000.

The restructuring assured consistency in the anatomy of regulations filed under the State Rules Act. The new format also simplified the management and retrieval of, and access to the rules.

Until August 2001, the *New Mexico Register* and the *NMAC* were published through a contract with another agency, which then contracted with an external publisher. It became apparent early in FY 2001 that the outside publisher was not going to complete the conversion of the compiled rules by the deadline. It also became increasingly obvious that the quarterly, at best, publication schedule, which worked satisfactorily for publication of the statutes, simply did not work for the *NMAC*. New rules and changes to existing rules occur twice monthly with the publication of the *New Mexico Register*, and a more frequent updating of the *NMAC* was needed, if it were to provide the public access desired. Additionally, the agency had long wanted to offer a free version of the *New Mexico Register* but was prohibited by the terms of the contract. As a result, the contract for external publication was terminated, and the agency assumed the responsibility for publication in-house of both the *New Mexico Register* and the *NMAC*. In its effort to complete the *Code*, the agency enlisted the services of contractors, temporary employees, interns, volunteers and agency staff to reformat both rules in the original *NMAC* format as well as those that had never been converted even to that format (many agencies did not do the original reformatting as required, and the *NMAC* had never been completed) to the new format adopted in 2000. The project was personally directed by the then-State Records Administrator and later the Deputy Administrator and facilitated by the hiring of a new ALD Director with needed information technology skills. The agency published its first on-line and free edition of the *New Mexico Register* on August 15, 2001 and a completed *NMAC* became available on-line in January 2002. The Division webpage also provides information on rule histories, interstate compacts and subdivision regulations.

Increase knowledge of records, information and archival management and New Mexico history

The agency instituted free training programs for State employees in rule style and formatting requirements, imaging plan requirements and records liaison responsibilities. It also offered a survey course in New Mexico history, which was for a time replaced with history forums and other outreach activities. Beginning in FY 2000 for-fee workshops were also developed in records, information and archival management theory and practice to provide small libraries, museums, historical societies and local governments as well as State agencies and other interested parties with the tools necessary to manage their records properly and preserve the historical documents in their custody. The program started in November 2000 and in its first year drew 192 participants. By FY 2004 the number of participants had grown to 245. In the last several years that number has dropped but the agency has also reduced the number of classes because of resource restrictions and limited interest in certain classes. Each year the SRCA management team reviews the results of the prior year training schedule and

adjusts the course schedule for the coming fiscal year, adding or deleting courses as dictated by experience or by newly identified training needs. In FY 2005, for example, a survey course in New Mexico state government was offered for the first time; it was offered again in FY 2006 and FY 2007; however, it was not be continued because of limited attendance. It represented an effort to provide an overview of state government structure and function for employees either just entering New Mexico State government or who may not have had the opportunity in the course of their jobs to acquire a broader view of the government for which they work – but it did not attract sufficient interest.

In FY 2008, the agency also began to offer disaster planning workshops throughout the state in response to requests from judicial agencies. Additionally, it became active in the Intergovernmental Preparedness of Essential Records (IPER) national project and the Coordinated Statewide Emergency Preparedness Framework (CoStEP), and the FY 2011 – FY 2012 action plan reflects a strategy (#4.3 - *collaborate with various governmental organizations on disaster response and recovery*) and four specific action steps aligned with that involvement.

In FY 2011 the agency will begin offering for-fee and free classes and lectures in New Mexico history. This represents an effort by the new State Historian, Dr. Rick Hendricks, to present opportunities for government employees as well as the public to gain insight into particular periods or events in the history of the state they work for and call home.

Throughout FY 2011, the agency will mark its 50th anniversary. It had hoped to stage additional exhibits and events to highlight the importance of records, information and archival management and an appreciation of New Mexico history and culture. Budget restrictions, however, have forced a rethinking of those plans. Currently it plans a single event in conjunction with Archives Month.

Manage public records in accordance with records, information and archival management principles throughout their life cycle.

Updating outdated Records Retention and Disposition Schedules (RRDS) has been and continues to be a priority for the agency. The percentage of State agencies with current RRDS, which had been a key performance measure for the agency, rose from 42 percent in FY 2001 to 52 percent in FY 2004. At the end of FY 2005, the percentage remained at some 52 percent. Records retention and disposition schedule development was impeded by an extended vacancy in the Records Management Division (RMD) director's position. In FY 2006, the agency lost ground. Since the five-year standard was a rolling one, the number of agencies changed annually. In FY 2006, the staff of the Agency Analysis Bureau, which is responsible for development of the RRDS, was reassigned for the first half of the year to work on verifying records storage inventories and cleaning data for conversion in conjunction with the implementation of the new Image 2000 records tracking and management application. However, progress was made –

schedules were updated – and work on the RRDS began again in December of 2005. However, the agency was concerned that the wording of the performance measure resulted in a measurement that was not reflective either of the work performed in developing and maintaining RRDS or of the impact – or outcome – of that work. Because the measure was based simply on the number of agencies with current schedules, it did not take into consideration the size of the agencies, the number of records series involved or the complexity of those series. The measure, again because it addressed agencies with schedules, failed to include the general schedules and work done on them. These are the RRDS that describe and set legal retentions for records – personnel, finance, administrative, etc. – generated and maintained by all agencies. To remedy this deficiency, the SRCA proposed a change in the wording of the measure to make it a more valid measurement of outcome. That change was approved during the 2006 legislative session and that key performance measure, beginning in FY 2007, reads *percentage of total record items scheduled, reviewed, amended and/or replaced within a five-year period*. Progress on the revised measure, however, fell far short of target in FY 2007, with only 19.1 percent of total records items scheduled meeting the five-year goal. Continued staff vacancies, coupled with the demands presented by electronic records management issues, slowed progress. In FY 2008, progress was made but less than desired. With a still overly ambitious target of 75 percent, the agency again fell far short, with only 26.4 percent of scheduled items meeting the five-year target. For FY 2009 and 2010, the agency has lowered the target to 50 percent and 55 percent respectively. Unfortunately, progress has been slowed further due to continued vacancies and limited travel funds. With the imposition of a hiring freeze in the fall of FY 2009, the Agency Analysis Bureau of the RMD - the organizational unit responsible for developing and updating the RRDSs - was left with two vacancies it was prohibited from filling. The planned acquisition of a replacement records management application in 2010 also meant that staff would need to devote already limited time to ensuring that records data were accurate in preparation for conversion. Performance in FY 2010 again fell far short of target, at only 29.3 percent. While no adjustment was made in the target, absent an ability to hire, it is highly likely that performance will not meet the set target in FY 2012. As of August of 2010, vacancies in the Records Management Division had risen to five out of 15 positions and one of those was the division directorship.

In FY 2004, the SRCA adopted a rule on the management of electronic records. The objective of the rule was to ensure proper records and information management practices for electronic records were implemented and adhered to by State governmental entities. The components of the rule included: electronic information systems (retention and disposition); hard-drive record keeping; network drives; storage of records on electronic media; and electronic mail (e-mail). That rule, however, with rapid advancements in technology and accepted practices, quickly needed updating and that was planned for FY 2007. The update did not occur; the agency wished to use guidelines established in national standards but was unable to procure the standards without access to a State procurement card, which it was unable to obtain until late in

the fiscal year. The old rule was finally repealed and replaced by a new version in June of 2008. In FY 2006, the agency also drafted a new rule on the management of e-mail records; however, because of concerns raised by some agencies, and particularly their information technology staffs, the SRCA withheld adoption and attempted to develop e-mail management standards that would assure the preservation of records as dictated by law and the RRDS yet not prove overly burdensome. An e-mail management rule was finally adopted in June of 2007 and is still in place. In addition to the rule itself, which governs the management of e-mail for state agencies, the SRCA has also posted on its website other information and tools to help agencies in assuring the proper management of e-mail.

In FY 2005, the agency continued its efforts to bring the issues involved in electronic records management to the attention of State agencies and to move toward an enterprise-wide solution that would provide both management of active records and long-term preservation and management of archival records. Funding for an assessment of the electronic records environment in state government was provided in 2004 as part of a multi-agency electronic document management project. The assessment, with accompanying recommendations, was completed in late FY 2005. Funding for implementation of what is now being referred to as an Enterprise Content Management system was continued in FY 2006, with the Human Services Department (HSD) as designated lead agency, but four management analyst positions associated with the request were included as expansion items in the SRCA's FY 2007 appropriation request. Two of those positions were authorized for FY 2007. Another multi-agency special appropriation to continue further phases of the project was submitted to the 2007 session; again with the HSD as lead agency; however, no additional funding was secured. Another time extension was authorized in the 2008 General Appropriation Act.

The SRCA, in an effort to address the pressing needs of electronic records storage and preservation, submitted a separate special IT appropriation request in FY 2008, and received \$150.0 in funding in the 2008 General Appropriations Act for phase one of a Centralized Electronic Records Repository (CERR) project. As part of the first phase, a needs assessment of the agency's IT environment was completed in FY 2009. The remainder of the funding was used to purchase a new records management application that will provide the foundation of the CERR. Requests for funding for phases II and III were submitted for FY 2010 and FY 2011 but were not approved. The business case and funding request are again being submitted for FY 2012.

In FY 2010, the agency also became a participant in a multi-state, federally funded project entitled PeDALS. The lead state is Arizona and funds flow through from there. The project is a research project designed to examine and develop methodologies for the preservation of archival records in electronic formats. Funding will expire in December of 2010.

Appropriately classify and pay staff.

The HR 2001 project provided the agency the opportunity to evaluate positions and salaries; however, the lack of information with respect to titles, job descriptions and pay ranges available at the time when initial decisions had to be made resulted in a number of inappropriate classifications and equity problems. The agency submitted “corrections” to State Personnel in an effort to remedy these problems, and several were eventually approved. However, inappropriate classifications in the management category persisted because State Personnel was conducting a study of management classifications. That study was completed in FY 2006 and did provide additional growth opportunities in some classifications, but did not address the underlying classification and pay issues. In the meantime, the SRCA continued its efforts to resolve inequities in pay. For several years, the agency provided in-pay band adjustments for a number of employees whose salaries were not commensurate with their responsibilities. The agency was also compelled to bring in new employees at higher salaries to secure people with the experience necessary to perform the jobs. This, while hopefully helping to build a more experienced and stable employee base, has created further inequities and posed budgetary concerns. In FY 2006, as a result of special language in the agency’s appropriation, the pay for one position – that of the State Historian – was increased more than 40 percent. Again, although this addressed that particular salary issue, it too created additional inequities. So, as the agency makes progress resolving some salary concerns, others are created. What the SRCA believes is needed is an overall assessment and realignment of salary structure. There was money initially set aside in the FY 2006 operating budget to hire a consultant to conduct a classification study of SRCA positions. However, State Personnel suggested that it conduct the study; the study, however, never proceeded. The SRCA has continued to try to address pay and classification issues on a one-by-one basis but has been limited by budgetary restrictions. In FY 2008 the agency realized unusual savings in the *Personal Services and Benefits* budget category; however, those savings resulted to a large degree from recruitment problems with a number of key positions. In FY 2009, the agency did not receive sufficient budgetary authorization to meet salary and benefit requirements. The shortage was somewhat alleviated as a result of the Governor-imposed hiring freeze. The agency was left with four vacancies. The savings did help to offset the deficit in the category, but the serious downside was a reduction in service levels. Those vacancies have continued and others have occurred. By early FY 2011 the agency had six vacancies. The vacant positions have impaired the ability of the agency to meet strategic and business goals and have caused the agency to reduce the hours the State Archives is open to the public and make other reductions in services.

Advocate understanding and appreciation of New Mexico history.

In its efforts to expand the New Mexico history activity, the Commission received funding in 2004 for a position to assist the State Historian in implementing plans to promote an understanding and appreciation of New Mexico history. The agency was also successful in obtaining funding, administered by the Property Control Division, to

renovate an unused space in the facility into office space for the State Historian, his assistant and the NMHRAB Grants Administrator. The Office of the State Historian and the NMHRAB Grants Administrator relocated to the newly renovated space in early 2006. The appropriation the agency received in 2004 included additional money to expand the New Mexico history website. The first phase of the website, funded initially through a \$15,000 special appropriation, was unveiled in September 2004; a second phase was completed in late FY 2005. Additional funding for further development of the site was secured in 2005. Another appropriation was approved by the Legislature during the 2006 session but was vetoed. The Governor, however, in early 2007, allocated the SRCA \$60,000 in federal funds to continue primarily content development for the site, now renamed the New Mexico digital history project. The agency included funding for continued support for the website, which was, and still is, hosted externally, in its base budget as well as an expansion item for \$75,000 for additional content development in its FY 2010 appropriation request. The expansion was not funded. In addition, the agency also asked for additional staff for the Information Technology Management Division, which would have allowed the agency to bring maintenance of the New Mexico digital history site in-house. That expansion request too was not funded. The agency has set aside a small amount of money in its base budget in the last several years to continue support and maintenance of the site by an outside contractor – however, budgetary constraints have reduce finding and, accordingly, enhancements.

The SRCA in FY 2006 also implemented a pilot New Mexico history scholars' program, through which short-term subsidies were granted to eligible applicants to conduct research in the State Archives. That program continued in FY 2007 and received a \$25.0 recurring appropriation for FY 2008. The designation of the special appropriation as recurring enabled the agency to include continued funding for the scholarships in its base budget. Money was included in the FYs 2009 and 2010 operating budgets and in the FY 2011 appropriation request. The severe budgetary limitations in FY 2011, however, did not permit continued funding in the FY 2011 operating budget. Through the efforts of the new State Historian and his staff, some funding for FY 2011 will hopefully be available through private organizations. The agency is developing a memorandum of understanding that will allow it, through its Office of the State Historian, to review and recommend approval of applications; funding will handled by the contributing organizations. A small request of \$10.0 is included in the agency's FY 2012 request to enable the continuation of the program.

Another special, recurring appropriation was also approved for FY 2008; the \$75.0 allowed the agency, through its Office of the State Historian, to formalize an internship program in New Mexico history. Funding to continue the program was also included in the FYs 2009 and 2010 operating budgets and in the FY 2011 appropriation request. However, the program was suspended in FY 2010 and FY 2011 due to lack of funding; no money is included in the FY 2012 request.

Staff for the Office of the State Historian was increased with reclassification of a part-time position in FY 2008 and legislative authorization for the conversion of that position to full-time for FY 2009.

The SRCA has also continued its efforts to advocate an understanding and appreciation of New Mexico history through the work of the New Mexico Historical Records Advisory Board (NMHRAB). As discussed earlier, this Board, an adjunct to the SRCA, promotes preservation of and access to New Mexico's historical records through outreach activities and re-grant and scholarship programs. The Board has its own strategic plan, but the elements of that plan complement the work of the SRCA toward the same goals. The agency received federal funding for both FY 2009 and FY 2010 to supplement state match and increase support for the grant and scholarship programs. A new federal grant, providing continued funding for a portion of the Grant Administrator's salary and for additional re-grant, was awarded the agency for FY 2010 and 2011. The agency expects to continue federal funding for the 20 percent of the grant administrator's position in FY 2012 and is submitting an application that would, if approved, supplement State funding for the NMHRAB grant program.

In FY 2008, in response to continuing legislative directive and appropriation, the agency engaged a contractor to conduct title searches on State-owned lands that were previously part of communal land grants. The appropriation was extended through FY 2009 and the work supported through the appropriation was completed in June of 2009. In addition, the agency received a special appropriation for FY 2009 to begin digitizing land grant records. The project, which was managed by the Archives and Historical Services Division, provided for hiring a temporary archivist to begin scanning the some 60,000 pages of records. Scanned documents were posted to both the agency's Heritage and New Mexico digital history websites. The legislative Land Grant Committee asked that the agency include funding for continuing the project in its operating budget. In response, an expansion item was included in the FY 2010 appropriation request to allow for hiring a term archivist to continue the work. It was estimated that digitizing all the documents would require some five to six years. Because of the severe downturn in the economy, the expansion request was not funded, and the digitization project was halted at the end of FY 2009.

Identify additional funding sources.

In its efforts to secure additional funding to support its work, the agency has been involved in or secured the grants described below.

- 1997 - 1998, National Endowment for the Humanities (NEH) Grant. The NEH awarded \$130,000 to the State Library to fund a collaborative project that included the SRCA. The project created an on-line catalog of archival collections by utilizing MARC (machine readable cataloging) format. A total of 706 SRCA finding aids were cataloged.

- 1996 - 1998, National Historical Publications and Records Commission (NHPRC) Grant. The grant provided \$39,000 to the Commission of Public Records to prepare a statewide strategic plan for the New Mexico Historical Records Advisory Board (NMHRAB).
- 1998 - 2000, NHPRC Grant. The grant provided \$156,499 to implement the first phase of the NMHRAB's strategic plan and to establish a re-grant program.
- 1999 - 2000, NEH Grant. The NEH awarded \$308,930 to the University of New Mexico to fund a collaborative effort to produce the *Online Archives of New Mexico*. The SRCA, along with three other repositories, participated in this project. The agency encoded 246 finding aids that are included as part of the *Online Archives of New Mexico*.
- 2001 - 2002, NHPRC Grant. The NHPRC awarded \$14,800 to the Commission of Public Records to provide administrative support to the NMHRAB.
- 2002, NMHRAB Grant. The NMHRAB awarded \$4,000 to the SRCA to purchase archival supplies to re-house the Historical Film Collection.
- 2002 - 2003, National Film Preservation Foundation (NFPF). The NFPF awarded \$4,225 to the agency to restore two films from the Historical Film Collection, *Los Alamos Ranch School and Summer Camp* (1929-1930) and *San Ildefonso Buffalo and Cloud Dances* (1929) filmed by Virginia Adams.
- 2002 - 2003, Office of Cultural Affairs, State Historic Preservation Division Grant. The Historic Preservation Division awarded \$1,302 to the agency to restore a film from the Historical Film Collection, *Indian Portraits-CCC* (1939).
- 2002 - 2003, NHPRC Grant. The NHPRC awarded \$58,079 to the Commission of Public Records to implement Phase II of the NMHRAB's strategic plan. Phase II of the strategic plan provided for the assessment of local and tribal government records. A total of 51 government entities were surveyed.
- 2003, NFPF Grant. The NFPF awarded \$11,800 to the agency to restore the *Amelia White Home Movies* that are part of the Historical Film Collection.
- 2003 - 2004, NHPRC Grant. The NHPRC awarded \$19,473 to the Commission of Public Records to provide administrative support to the NMHRAB.
- 2003, NMHRAB Grant. The NMHRAB awarded \$2,000 to the Archives and Historical Services Division to purchase film cans for the Historical Film Collection. A total of 1,445 reels of film were re-housed in archival containers.
- 2004, NEH Grant. The NEH awarded \$4,670 to the agency to support training for two archivists - a two-week film preservation workshop and a one-week photograph preservation workshop.
- 2004 - 2005, NHPRC Grant. The grant provided \$71,164 to support the NMHRAB's re-grant and scholarship program.
- 2004 - 2006, NHPRC Grant. This administrative grant of \$19,770 provides partial funding for the Grant Administrator position and related costs.
- 2004 - 2005, National Film Preservation Foundation Grant. This grant provided money for laboratory preservation of the Sallie Wagner home movies (from the Archives film collection).

- 2006, New Mexico Historical Records Advisory Board Grant. This grant provided funding to the Office of the State Historian to preserve and make accessible the Federico Antonio Reade collection.
- 2006 – 2007, National Film Foundation Preservation Grant. In May 2006 the SRCA received formal notification that it had been awarded another film preservation grant. This grant will fund preservation of select Department of Game and Fish footage of activities of the Department in the first half of the 20th century and includes footage of Smokey Bear.
- 2006, NHPRC Grant. This administrative grant provided partial funding (\$9,998) for the Grant Administrator position.
- 2007, NHPRC Grant. This administrative grant continued partial funding (\$10,000) for the Grant Administrator position.
- 2008 - 2009, NHPRC Grant. This federal grant provided additional funding in the amount of \$86,257 over the life of the grant for the NMHRAB grant and scholarship programs.
- 2008 - 2009, McCune Foundation Grant. This non-federal grant provided money for re-housing archival collections.
- 2008 - 2009 NHPRC SNAP Grant. This grant provided \$9,803 to support, among other activities, NMHRAB strategic planning.
- 2010 - 2011 NHPRC SNAP Grant. This \$70,000 grant provides partial support for the Grant Administrator's salary and benefits (20 percent) and for additional re-grants.
- 2010 – 2011 PeDALS Grant. This multi-state, federally funded project, administered by the State of Arizona, provided the agency with certain IT equipment and up to \$41,800 for travel and training and for certain, defined contractual services. The project is a research project focusing on methodologies for long-term preservation of archival records in electronic format. The funding expires in December of 2010.

THE STRATEGIC PLANNING PROCESS

As discussed earlier, in late April, 2008, the agency's management team along with managers of the New Mexico Historical Records Advisory Board grant and scholarship program and the agency's for-fee training program and three members of the Commission met in Taos to review the existing plan and begin construction of a new five-year plan for FYs 2010 through 2014. 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 new action plan for FYs 2010 and 2011 that emerged from that meeting was submitted as a draft with the agency's FY 2009 update. It was revised during FY 2009, with input from the division directors and with a recognition that the hoped-for resources needed to meet the originally established targets were not going to materialize until the economy recovered. Included in this document is the FY 2011 – FY 2012 action plan, which

reflects suggested changes submitted by the management team and recognizes the effect of monetary restrictions.

In the five-year plan, four strategic initiatives were identified:

- enhance the effectiveness of the agency;
- build a positive awareness of the agency resources and services;
- manage, preserve and provide access to records and information; and
- promote outreach activities.

Specific strategies for each were defined. Then for each strategy, action steps with associated performance measures and targets were initially established for FYs 2010 and 2011. Those have been updated for FY 2011 and FY 2012. It is this updated, two-year action plan that sets the goals for the current and next fiscal years. It will be modified, based on experience and resources, in the spring of calendar year 2011 and targets for FY 2013 will be added then.

The FY 2011 – FY 2012 action plan follows on the next page.

**FY 2011 - FY 2012 ACTION PLAN
STRATEGIC INITIATIVES, STRATEGIES,
ACTION STEPS, PERFORMANCE MEASURES AND
TARGETS**

Activity/Sub-program

ADM Administration
AL Administrative Law
NMH New Mexico History
PRM Public Records Management

Division/Other Organization Unit

ALD Administrative Law Division
ASD Administrative Services Division
AHSD Archives and Historical Services Division
ITMD Information Technology Management Division
NMHRAB New Mexico Historical Records Advisory Board
OSH Office of the State Historian
RMD Records Management Division
SRA State Records Administrator

INITIATIVE #1 ENHANCE EFFECTIVENESS OF AGENCY

STRATEGY 1.1 AGGRESSIVELY ACQUIRE RESOURCES

- Action Step 1.1.1 Develop an annual legislative strategy to build support for the SRCA.
- Action Step 1.1.2 Develop an advocacy program to broaden financial support for the SRCA among elected officials, donors, the public, friends and other constituencies.
- Action Step 1.1.3 Identify and seek additional funding sources for preservation and access activities.
- Action Step 1.1.4 Identify and seek funding to support records, information and archival management (RIAM) training for local and tribal governments.
- Action Step 1.1.5 Identify and seek funding to support records, information and archival management (RIAM) training for RMD staff.
- Action Step 1.1.6 Seek legislative funding for the regional historian program.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.1.1	ADM SRA	Legislative priorities, financial and substantive, established by target date.	8/31/2009	8/31/2010	8/31/2011

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.1.3	PRM AHSD	Target number of grant projects to support preservation and access activities administered in compliance with law and grant guidelines.	N/A	1	N/A
1.1.3	PRM AHSD	Target number of grant proposals to support preservation and access activities prepared and submitted.	1	NA	1
1.1.3	NMH NMHRAB	Target number of grant proposals to support NMHRAB grant and scholarship programs and staff prepared and submitted.	0	1	1
1.1.3	PRM RMD	Target number of grant proposals to support records management programs prepared and submitted.	0	N/A	1

STRATEGY 1.2 CREATE AND FOSTER RELATIONSHIPS SUPPORTIVE OF THE AGENCY AND ITS MISSION.

- Action Step 1.2.1 Partner with State agencies, local and tribal governments and elected and appointed officials to promote the preservation of historical records.
- Action Step 1.2.2 Build enduring relations with elected officials and policymakers at all levels of government to promote SRCA programs.
- Action Step 1.2.3 Create and foster working relationships with governmental, professional and interest-based organizations and individuals to support agency programs.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.2.1	PRM AHSD	An information packet regarding the preservation of acequia and land grant records prepared and published online by established deadline.	N/A	N/A	6/30/2012

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.2.2	NMH NMHRAB	Individualized letters to legislators regarding NMHRAB grant projects funded in their respective districts, prepared and approved by the SRA by target date.	12/31/2009	1/15/2011	1/15/2012
1.2.2	AL ALD	Number of scheduled meetings of the Compilation Commission attended (as representative of the State Records Administrator).	3	2	2
1.2.2	AL ALD	Number of Administrative Procedures Task Force meetings attended.	N/A	10	N/A
1.2.3	PRM AHSD	Establish partnerships with archival repositories to produce Archives Month events established by target date.	N/A	N/A	10/31/2011

STRATEGY 1.3 IMPROVE INTERNAL PERFORMANCE

- Action Step 1.3.1 Provide opportunities for staff professional development.
- Action Step 1.3.2 Update policies and procedures.
- Action Step 1.3.3 Assess and redefine, as necessary, business processes.
- Action Step 1.3.4 Define core values.
- Action Step 1.3.5 Ensure employees are familiar with the strategic plan and participate in its implementation.
- Action Step 1.3.6 Satisfy all budgetary and financial control and reporting requirements.
- Action Step 1.3.7 Provide a stable, up-to-date information technology environment, supportive of the agency's strategic and business needs.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.3.1	AL ALD PRM AHSD RMD	Target number of professional development conferences, classes, workshops, etc. (including those on electronic records) attended.	3 - ALD 34 - AHSD 11 - RMD	2 each	2 each
1.3.1	PRM RMD	Target number of in-house training sessions for staff.	4	4	4
1.3.1	PRM AHSD	Target number of in-house training sessions for staff.	N/A	2	2

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.3.1	AL ALD	Target number of in-house training sessions for staff.	2	2	2
1.3.1	ADM ITMD	Target number of in-house training sessions for staff.	0	2	2
1.3.1	NMH OSH	Target number of in-house training sessions for staff.	2	2	2
1.3.1	ADM ASD	Target number of in-house training sessions for staff.	Training is on-going; as needed, staff meet as frequently as weekly	2	2
1.3.2	ALL (EXCEPT HRAB)	Agency/division policies and procedures revised and submitted to State Records Administrator for approval by target date; thereafter updated annually as required.	Deferred	3/31/2011	3/31/2012
1.3.2	ADM ITMD	All revised, approved policies and procedures posted to agency intranet and staff noticed of availability by target date.	Deferred	4/15/2011	4/15/2012
1.3.5	ADM ITMD	Approved strategic plan posted on the agency intranet and employees provided notice of its availability by target date.	N/A	9/15/2010	9/15/2011
1.3.5	ALL (EXCEPT SRA AND HRAB)	Divisional staff meetings conducted by target date to discuss strategic plan and solicit input for update.	N/A	6/30/2011	6/30/2012
1.3.5	ALL (EXCEPT HRAB)	Strategic plan action steps/performance measures incorporated in target percentage of employee evaluations.	100%	100%	100%
1.3.6	ADM ASD	Target percentage of deposits made in compliance with the 24-hour requirement.	100%	100%	100%
1.3.6	ADM ASD	Target percentage of invoices paid in compliance with the 30-day requirement.	98% - 2 % not paid involved disputed invoices	100%	100%
1.3.7	ADM ITMD	Servers available for the target percentage of time.	96%	97%	97%

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.3.7	ADM ITMD	Primary servers performs designed for the target percentage of time.	92%	93%	93%
1.3.7	ADM ITMD	Target percentage of data backups (servers) completed as scheduled.	96%	97%	97%
1.3.7	ADM ITMD	Plan to host and maintain NM digital history website in-house prepared and submitted to State Records Administrator for approval.	N/A	6/30/2011	N/A
1.3.7	ADM ITMD	NM digital history website moved in-house (if additional IT support funded).	N/A	N/A	6/30/2012 – only if funding were to become available

STRATEGY 1.4 EFFECTIVELY USE RESOURCES OF COMMISSION AND NM HISTORICAL RECORDS ADVISORY BOARD MEMBERS.

- Action Step 1.4.1 Provide orientation for new Commission and Board members.
- Action Step 1.4.2 Develop and provide operational manual for members.
- Action Step 1.4.3 Encourage involvement and support of members in legislative activities and issues.
- Action Step 1.4.4 Encourage involvement and support of members in key issues and projects affecting the agency.
-

PM#	ACTIVITY- ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.4.1	ADM SRA	Orientation provided to new Commission and Board members.	N/A	Within two months of taking office or appointment	Within two months of taking office or appointment
1.4.2	ADM SRA	Operational manual prepared for Commission members by target date and updated, as necessary, annually	N/A	6/30/2011	6/30/2012, if update warranted

PM#	ACTIVITY- ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.4.2	PRM RMD	A five-to-ten minute briefing for Commission members on records retention and disposition schedules prepared by target date.	N/A	N/A	11/30/2011
1.4.3	ADM SRA	Commission and Board members provided with informational packets on key legislative issues by target date.	N/A	1/15/2011	1/15/2011
1.4.4	NMH NMHRAB	Percentage of NMHRAB action plan (work schedule) completed or on schedule.	52%	85%	85%

STRATEGY 1.5 RECRUIT AND RETAIN QUALIFIED STAFF

- Action Step 1.5.1 Develop plan for appropriate payment of staff.
- Action Step 1.5.2 Develop and maintain supportive work environment for staff.
- Action Step 1.5.3 Employ most qualified employees, subject to budget availability.

PM#	ACTIVITY- ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.5.2	ALL (EXCEPT SRA AND HRAB)	Target number of divisional meetings to discuss divisional and agency issues and projects held.	Varied by division	At least six meetings per year and otherwise as needed	At least six meetings per year and otherwise as needed

STRATEGY 1.6: IMPROVE SERVICE DELIVERY TO CUSTOMERS

- Action Step 1.6.1 Review NMHRAB grant and scholarship applications processes.
- Action Step 1.6.2 Provide effective support for and oversight of grant projects and scholarship awards.
- Action Step 1.6.3 Provide effective public assistance in accessing records in the agency's custody.
- Action Step 1.6.4 Ensure SRCA rules are current, establish efficient processes and comply with statutory requirements.
- Action Step 1.6.5 Manage agency in accord with the strategic plan.

- Action Step 1.6.6 Provide state agencies sufficient records storage for inactive records.

PM#	ACTIVITY-ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.6.1	NMH NMHRAB	Grant/scholarship processes reviewed and written recommendations for any changes if needed submitted to the State Records Administrator by target date; update annually thereafter; rule changes submitted as provided under 1.6.4.	N/A	1/1/2011	1/1/2012
1.6.1	NMH NMHRAB	Percentage of grants to non-traditional or underserved entities increased by target amount.	20.5%	10%	10%
1.6.1	NMH AHSD	Number of technical reviews of grant proposals provided (targets based on estimated number of applicants – may vary)	17	15	15
1.6.2 ↔	NMH NMHRAB	Percentage of projects funded through the historical records grant program that are achieving stated objectives.	94%	98%	98%
1.6.3 ↔	PRM AHSD	Percentage of requests for access to public records in its custody that the agency is able to satisfy	80%	98%	98%
1.6.4	ALL (EXCEPT SRA)	SRCA rules reviewed and recommended revisions submitted to the State Records Administrator by target date.	6/17/2010	3/31/2011	3/31/2012
1.6.5 ↔	ADM SRA	Percentage of annual strategic action plan achieved or on schedule.	60%	75%	75%
1.6.6	ADM SRA	Santa Fe facility study to determine space requirements completed by target date	deferred to FY 11	12/31/2010	N/A

↔ Denotes key budget performance measure

STRATEGY 1.7 CONTINUOUSLY EXPLORE, DEVELOP, IMPLEMENT AND MAINTAIN NEW, APPROPRIATE TECHNOLOGY

- Action Step 1.7.1 Seek new technology to improve service delivery.

- Action Step 1.7.2 Enhance and update web sites and applications as needed.

PM#	ACTIVITY- ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
1.7.1	ADM ITMD	New information technology to implement annual hardware and software replacement schedule researched and identified by target date.	90% 6/30/2010	6/30/2011	6/30/2012
1.7.1	PRM AHSD	Plan developed to reformat at-risk magnetic media identified by target date.	12/31/2009	N/A	N/A
1.7.2	PRM AHSD	HERITAGE updated to manage video and audio formats by target date.	11/5/2009	N/A	N/A

INITIATIVE #2 BUILD POSITIVE AWARENESS OF AGENCY RESOURCES AND SERVICES

STRATEGY 2.1 INCREASE KNOWLEDGE OF AGENCY BUSINESS

- Action Step 2.1.1 Seek legislative authorization and funding for a webmaster.
- Action Step 2.1.2 Seek legislative authorization and funding for public information officer.
- Action Step 2.1.3 Seek legislative authorization and approval for a training officer.
- Action Step 2.1.4 Develop educational programs for multiple audiences.
- Action Step 2.1.5. Use web site more effectively as a means of promoting agency information.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
2.1.4	PRM AHSD	Target number of educational presentations and tours for schools, colleges and other groups conducted.	12	4	4
2.1.4	AL ALD	Second NMAC training module through the On-line Training Center developed and published by established deadline.	N/A	6/30/2011	6/30/2012

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
2.1.4	PRM RMD	Basic Records Management training module through the On-line Training Center developed and published by established deadline.	N/A	6/30/2011	6/30/2012
2.1.5	ADM SRA and ITMD	Information presented on web site, site configuration and processes for posting and updating information reviewed and any changes implemented by targeted date.	6/30/2010	6/30/2011	6/30/2012

STRATEGY 2.2 ENHANCE COMMUNICATION AMONG AGENCY, COMMISSION, LEGISLATURE AND OTHER POLICY MAKERS

- Action Step 2.2.1 Attend meetings of relevant committees, commissions, councils and other organizations.
- Action Step 2.2.2 Ensure Commission is informed of key agency issues and projects.
- Action Step 2.2.3 Provide information on key issues and projects to elected and appointed officials and other policy makers.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
2.2.1	ADM IT	Target percentage of Information Technology Council meetings attended.	N/A – vacancy in CIO fro first half of year	95%	95%
2.2.1	ADM SRA	Target percentage of relevant (items of interest on agenda) interim legislative committee meetings – LFC, Land Grant, etc. – attended.	100%	98%	98%
2.2.2	ALL (EXCEPT HRAB)	Target percentage of Commission meetings attended by management team.	95%	100%	100%
2.2.2	ADM SRA	Target number of presentations to Commission on new or on-going projects and issues made.		2	2

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
2.2.3	ADM SRA	Annual report completed and distributed to legislators and statewide elected officials (electronic or hard copy) by target date.	4/30/2010	1/15/2011	1/15/2012

INITIATIVE #3 MANAGE, PRESERVE AND PROVIDE ACCESS TO RECORDS AND INFORMATION

STRATEGY 3.1 INCREASE ACCESS TO RECORDS AND INFORMATION

- Action Step 3.1.1 Increase access, on-line and on-site, to records and information in the agency's custody.
- Action Step 3.1.2 Arrange and describe public records in custody of agency.
- Action Step 3.1.3 Improve management and transfer of records and information.
- Action Step 3.1.4 Ensure rules issued by State agencies are available on-line.
- Action Step 3.1.5 Publish the NM Register.
- Action Step 3.1.6 Establish and update RRDS.
- Action Step 3.1.7 Track unique visits to the NM digital history website and other agency web pages.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.1.1	PRM AHSD	Number of finding aids entered in Online Catalog.	5	5	5
3.1.1	PRM AHSD	Percentage of finding aids available on-line.	42.89%	68%	65%
3.1.1	PRM AHSD	Number of motion picture film scope and content descriptions available in HERITAGE.	25	N/A	N/A
3.1.1	NMH NMHRAB	HINTS application updated by target date.	3/31/2010	3/31/2011	3/31/2012
3.1.2	PRM AHSD	Number of new finding aids (public and private) created.	4	2	2
3.1.3	PRM AHSD RMD	Number of permanent record cubic boxes transferred from record centers to archives.	379	480	480
3.1.3	PRM AHSD	Records transferred directly to archives from state agencies and local governments accessioned within target timeframe.	Within 45 days of receipt	Within 45 days of receipt	Within 45 days of receipt

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.1.3	PRM AHSD	Records transferred from records center storage accessioned within target timeframe.	Within 45 days of receipt	Within 45 days of receipt	Within 45 days of receipt
3.1.3	PRM AHSD	Personal papers and records from private entities accessioned and preliminary inventories prepared within target timeframe.	Within 90 days of receipt	Within 90 days of receipt	Within 90 days of receipt
3.1.4 ↔	AL ALD	Maximum number of days (yearly average) from effective date of a rule to on-line availability in the New Mexico Administrative Code.	27	30	30
3.1.5	AL ALD	Target percentage of NM Register issues available on-line by scheduled publication dates.	100%	100%	100%
3.1.6 ↔	PRM RMD	Target percentage of total record items scheduled, reviewed, amended or replaced within five-year period.	29.3%	30%	30%
3.1.6	PRM RMD	Total number of record items scheduled	4,227	4,800	4,800
3.1.7 ↔	ADM ITMD	Number of times during a fiscal year visitors (unique visitors) access information on the NM history web site.	79,468	84,000	84,000

↔ Denotes key budget performance measure

STRATEGY 3.2 ADDRESS CHALLENGES OF MANAGING ELECTRONIC RECORDS IN STATE GOVERNMENT

- Action Step 3.2.1 Implement phases II and III of CERR.
- Action Step 3.2.2 Begin acceptance of electronic records for storage in CERR.
- Action Step 3.2.3 Develop and update standards to support CERR.
- Action Step 3.2.4 Assess CERR end-user training needs.
- Action Step 3.2.5 Obtain viable solutions for preserving and accessing permanent digital records.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.2.1	ADM IT PRM RMD	Phase I ERMS - to include installation, data migration, testing, and training - implemented by target date.	N/A	9/30/2010	N/A

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.2.1	ADM ITMD	Warranty provisions and future maintenance requirements reviewed by target date.	5/31/2010	4/30/2011	4/30/2012
3.2.1	ADM IT PRM RMD	Secure funding for Phase II.	Request not funded	6/30/2011	6/30/2012, if not funded earlier
3.2.3	ADM SRA and PRM RMD	Rule to govern CERR usage developed and promulgated by target date.	N/A	N/A	6/30/2012
3.2.3	ADM SRA and PRM RMD	All other affected rules updated to conform to CERR standards and requirements.	N/A	N/A	6/30/2012
3.2.4	PRM RMD	Assessment of CERR end-user training needs completed and submitted to the State Records Administrator by target date.	N/A	N/A	N/A
3.2.5	PRM RMD	Establish fee schedule for conversion of digital images to computer output microfilm equipment by target date.	N/A	12/31/2010	N/A
3.2.5	PRM AHSD AL ITMD RMD	Ingest seven record series into PeDALS project (digital preservation) by established deadline.	N/A	12/31/2010	N/A

STRATEGY 3.3 ENCOURAGE RESEARCH AND INTERPRETATION

- Action Step 3.3.1 Administer the scholars' program.
- Action Step 3.3.2 Provide professional consultations, research reports and educational activities.
- Action Step 3.3.3 Continue development of the NM Digital History Project (NMDHP).

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.3.1	NMH OSH	Number of fellowships awarded.	14	6, if non- state funding available	6
3.3.2 ↔	NMH OSH	Number of research reports (published or written of the prescribed length) and educational activities (structured, scheduled classes) provided by the State Historian.	0	12	12
3.3.3	NMH OSH	Total number of essays, images, documents and interpretive essays posted to the website.	542	300	400

↔ Denotes key budget performance measure

STRATEGY 3.4 ENCOURAGE HERITAGE PRESERVATION

- Action Step 3.4.1 Identify and address archival materials at risk (preservation assessment).
- Action Step 3.4.2 Ensure the security and proper storage of permanent and historical records in the agency's custody.
- Action Step 3.4.3 Ensure equipment and other means of accessing records in custody of agency are available.
- Action Step 3.4.4 Provide support to CPRC in accordance with statutory responsibilities.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.4.1	PRM AHSD	Plan for preservation of cartographic and other oversized materials developed and approved if grant proposal funded.	N/A	6/30/2011	N/A
3.4.1	PRM AHSD	Twenty-five percent of cartographic preservation plan implemented by target date.	N/A	6/30/2011	6/30/2012
3.4.2	PRM AHSD	Annual inventory of archival holdings and related reports completed by target date.	6/30/2011	6/30/2011	6/30/2012
3.4.2	PRM AHSD	Complete annual archival-environmental quality report by target date.	6/30/2011	6/30/2011	6/30/2012

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
3.4.2	PRM AHSD	Permanent records transferred from the records center to the archives rehoused into acid-free containers.	N/A	480	480
3.4.4	NMH OSH	Percentage of time spent by the State Historian providing support to the Cultural Properties Review Committee.	10%	Not to exceed 15 %	Not to exceed 15 %

INITIATIVE #4 PROMOTE OUTREACH ACTIVITIES

STRATEGY 4.1 PROVIDE REGIONAL CENTERS

- Action Step 4.1.1 Conduct feasibility studies.
- Action Step 4.1.2 Implement recommendations from feasibility studies.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
4.1.1	PRM RMD ADM SRA	Infrastructure Capital Improvement Project (ICIP) plan amended by target date to include need for pilot regional records center and expansion of Albuquerque Records Center.	N/A	9/15/2010	7/1/2011
4.1.2	ADM SRA	Special appropriation request to fund pilot location developed and submitted by target date.	N/A	N/A	6/30/2012
4.1.2	PRM RMD	If pilot project funded, facility location, operational needs, staff job descriptions, etc. identified for early FY 2012 implementation	N/A	N/A	N/A

STRATEGY 4.2 OFFER EFFECTIVE TRAINING

- Action Step 4.2.1 Identify training needs.
- Action Step 4.2.2 Sponsor for-fee training.
- Action Step 4.2.3 Establish no-fee training schedule.
- Action Step 4.2.4 Research and, if feasible, implement web-based training.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
4.2.1	AL ALD	Assessment of NMAC and any other rule-related training needs for next FY completed and schedule submitted to the State Records Administrator by target date.	3/16/2010	4/1/2011	4/1/2012
4.2.2	ADM SRA	Number of for-fee training courses sponsored.	2	3	3
4.2.2	ADM SRA	Training schedule for next FY for NMAC, RIM and any other courses offered without charge approved by target date.	ONGOING	5/15/2011	5/15/2012
4.2.2 and 4.2.3	ADM ITMD	Both training schedules posted on web site as scheduled.	6/1/2010	6/1/2011	6/1/2012

STRATEGY 4.3 COLLABORATE WITH VARIOUS GOVERNMENTAL ORGANIZATIONS ON DISASTER RESPONSE AND RECOVERY

- Action Step 4.3.1 Develop vital records training [Intergovernmental Preparedness of Essential Records (IPER)].
- Action Step 4.3.2 Create and activate vital records strike team.
- Action Step 4.3.3 Develop COOP Plan for SRCA.
- Action Step 4.3.4 Participate in Coordinated State Wide Emergency Preparedness Framework (CoStEP)

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
4.3.1	PRM RMD	Provide information and links to IPER resource training program.	12/14/2009	6/30/2011	6/30/2012
4.3.2	ADM SRA AL ALD	Complete IPER training and establish IPER team	N/A	9/30/2010	N/A
4.3.3	ADM SRA AL ALD	COOP Plan for SRCA developed by target date and reviewed and revised annually thereafter (responsibility currently delegated to ALD).	Not completed	5/1/2011	5/1/2012
4.3.3	ADM SRA	Records-related emergency preparedness assessment completed by target date (responsibility currently delegated to ALD).	N/A	6/30/2011	6/30/2012

STRATEGY 4.4 PROVIDE PUBLIC PROGRAMMING

- Action Step 4.4.1 Provide off-site exhibits.
- Action Step 4.4.2 Promote Archives Month.
- Action Step 4.4.3 Plan for and celebrate SRCA 50th Anniversary
- Action Step 4.4.4 Participate in City of Santa Fe 400th Anniversary Commemoration
- Action Step 4.4.5 Participate in 100th Anniversary of Statehood
- Action Step 4.4.6 Continue and expand speaker series.
- Action Step 4.4.7 Provide other outreach activities, based on New Mexico history and culture.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
4.4.2	PRM AHSD	Target number of advertisements for Archives Week published.	N/A	N/A	1
4.4.4	ADM SRA NMH OSH	Target number of 400th Anniversary History Task Force meetings attended.	12	6	N/A
4.4.5	PRM AHSD NMH OSH	Target number of collaborative Statehood projects developed	2	N/A	N/A
4.4.5	PRM AHSD NMH OSH	Statehood projects submitted for approval	N/A	2	N/A
4.4.7	NMH OSH	Target number of community outreach activities sponsored by the SRCA and its OSH held.	23	10	10

STRATEGY 4.5 FOSTER APPRECIATION OF HISTORY IN SCHOOLS AND SOCIETY

- Action Step 4.5.1 Participate in History Day activities.
- Action Step 4.5.2 Foster a sustainable internship program in the OSH.
- Action Step 4.5.3 Promote the New Mexico Digital History Project as an educational resource.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
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PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 ACTUALS	FY 11 TARGET	FY 12 PROPOSED TARGET
4.5.3	NMH OSH	Written plan for increasing awareness of the New Mexico Digital History Project as an educational resource prepared and submitted to the State Records Administrator by the target date.	N/A	N/A	7/30/2011

MONITORING PLAN

The Commission of Public Records - State Records Center and Archives began using a strategic plan to guide agency operations with the development and adoption of its first five-year plan in 1996. It is now on the second year of its new five-year plan for FY 2010 through FY 2014. The five-year plan in effect is updated annually, based on prior years' experience, budget and other resource availability and changes in legal mandates and strategic and business goals stemming from technological advances in service delivery and needs of constituencies.

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 provide a narrative explanation on a quarterly basis.

The agency for the past number of years has been using an Access database similar in design to the DFA performance reporting application. Originally developed under contract, the application has since been refined by agency IT staff. Division directors and others responsible for measures must report progress by the 20th day of the month following the end of a quarter. Again, reporting requires a numeric entry in a format responsive to the target (dates to dates, percentages to percentages, etc.) and a separate narrative explanation. 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.