

EXECUTIVE SUMMARY

From 1996 through 2000, the Commission of Public Records made significant improvements by following a strategic plan adopted in 1996. The cycle of that five-year plan ended in Fiscal Year 2000, and so a new cycle was initiated. Early in Fiscal Year 1999 the management began the strategic planning process with an assessment of the internal and external environments. A review of the statutory duties of the Commission, the State Records Administrator, and the agency followed. The management team sought to validate its functions and to identify any areas that have been neglected or overlooked.

Building on the results of various strategic planning exercises, the management team discovered that opportunities, along with issues, are presented to the Commission as a result of technology. Therefore, technology will figure prominently in the strategic initiatives of this plan. It was also evident that the agency needs to promote its mission and its services to its constituents in order to effect real improvements in government record repositories. This document includes modifications to the original strategic plan adopted in 2000. A planning meeting was held in Taos, New Mexico to review the plan and make appropriate changes after the first year of the plan's implementation. Critical issues were reviewed and refined. Action plan items that were completed were eliminated, while others were modified to address new or redefined issues.

This plan synthesizes ideas from the Commission, the management team, employees, and those that use or benefit from services that we provide. The mission was revised to better demonstrate the impact the agency proposes to have in the future. Critical issues were carefully considered and became the foundation for the ensuing strategic initiatives, strategies, and action plans.

AGENCY OVERVIEW

The members of the **COMMISSION OF PUBLIC RECORDS** are:

<i>Historian, specializing in NM history</i>	Stanley Hordes, Ph.D. (Chair) - appointed six-year term
<i>Secretary of State</i>	The Honorable Rebecca Vigil-Giron
<i>Attorney General</i>	The Honorable Patricia Madrid - <i>Al Lama, Designee</i>
<i>State Auditor</i>	The Honorable Domingo Martinez
<i>State Law Librarian</i>	Thaddeus Bejnar
<i>Secretary, General Services Department</i>	Steven Beffort – <i>George Marquez, Designee</i>
<i>Director of Museum of New Mexico</i>	Tom Wilson, Ph.D.

In 1959 the newly adopted Public Records Act [Chapter 14, Article 3 NMSA 1978] charged the Commission with establishing a Records Center in Santa Fe and appointing a State Records Administrator to manage the facility. That facility is commonly known as the State Records Center and Archives (SRCA). The agency is frequently also referred to by that name, although in statute it is designated as the Commission of Public Records. L. Elaine Olah, the State Records Administrator, directs the SRCA staff of 35 FTEs ("full-time equivalent" positions). The SRCA protects and preserves New Mexico's permanent public records, that in turn preserve and protect the rights of its citizens; provides records management for the State's public records; files and preserves regulations promulgated by State agencies; and facilitates access to these public records.

The SRCA is organized along functional lines – each organizational unit representing a sub-program of the agency. The four divisions of the SRCA are: Administrative Services, Archives and Historical Services, Records Management, and State Rules. The directors of these divisions, along with the Administrator, serve as the management team of the agency. In addition, the agency provides staff and administrative support for the New Mexico Historical Records Advisory Board.

ADMINISTRATIVE SERVICES DIVISION

The Administrative Services Division provides support services to the program divisions of the agency. Those services include management, fiscal, personnel, building oversight, and information systems.

ARCHIVES AND HISTORICAL SERVICES DIVISION

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

RECORDS MANAGEMENT DIVISION

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

ADMINISTRATIVE LAW DIVISION

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

NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD

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

INTRODUCTION

Each State agency has a purpose; it is charged with certain duties and responsibilities. In a strategic plan, the mission statement provides a concise expression of that purpose, and it is from that purpose that all the other elements of the plan flow.

Two New Mexico statutes govern the Commission of Public Records, its facility, and staff. The Public Records Act [Chapter14, Article 3, NMSA 1978] and the State Rules Act [Chapter14, Article 4, NMSA 1978] mandate specific duties and processes that are addressed through regulations, guidance, and services offered by the agency. In consideration of the obligations imposed by statute and the public's demand for access to the State's public records, the mission of the Commission of Public Records follows.

I. MISSION

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

To carry this out, the Commission:

- ❖ *Cultivates a workforce that is expert in:*
 - archival management;
 - records and information management;
 - leading-edge technology;
 - rule-filing methodology;
 - materials management; and
 - financial and human resource management.
- ❖ *Balances competing interests, including:*
 - access versus preservation;
 - openness versus confidentiality and privacy;
 - acceptance of private records versus use of public funds;
 - accountability for records versus demand for their use;
 - limited human and financial resources versus multiple needs; and
 - employee needs versus agency demands.
- ❖ *Improves government decision making by:*
 - promoting records preservation, records management, and rules management;
 - providing training in Records, Information, and Archival Management (RIAM); and
 - recommending statewide initiatives that save tax dollars.
- ❖ *Fosters a worker-friendly environment, including:*
 - open communication;
 - flexible work schedules;
 - safe work place; and
 - consideration.

II. FUNCTIONAL ASSESSMENT

This section of the plan outlines, by function, the statutory authority and regulations that support the activities of the agency, its commission, and 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.

Statutes: State Records Administrator

NMSA 1978 Provisions

- 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

- 1.12.2 Information Technology Systems, Electronic Authentication
- 1.13.2 Fees
- 1.13.5 New Mexico Historical Records Grant 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 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 security and building services

- Control access to facility
- Coordinate janitorial services
- Coordinate meeting room use

Strategic Planning

- Develop a five-year plan and use it to manage the agency
- Review and update plan annually
- Monitor plan

Reporting

- Report to the Governor
- Report to the Commission
- Report to DFA and LFC
 - o Annual Action Plan
 - o Performance Measures

Adopt and enforce Regulations

- Carry out the Public Records Act
- Carry out the State Rules Act
- Support the activities of the NMHRAB

Approve donations and loans

- Accept private collections
- Approve loans of archival materials to other repositories

Outreach

- Provide records and archival management training
- Promote the agency and its programs

Appoint and serve on Advisory Boards

- Chair (Administrator) the New Mexico Historical Records Advisory Board
- Form special needs advisory boards or committees
 - o Electronic Records Task Force
 - o Site Drainage Committee

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 used for permanent records to ensure durability.
- 14-4-4 File copies of State agency publications, pamphlets, reports, notices, proclamations, or 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
1.13.11 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 governments
- ❖ Historical record repositories
- ❖ Historians and others interested in history

Activities and Tasks: Archives

Activity

Tasks

Identify archival records

- Review RRDS
- Appraise records for possible accession
- Process accessioned records
- Accrete agency publications and brochures into agency collections

Recover permanent records of State government

- Identify State records held by organizations outside State government and request replevin of the records by the Attorney General

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

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

Preserve permanent records transferred or donated to the Commission

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

Provide access to collections

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

Effectively manage the State's permanent public records

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

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

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

Provide training in archival management methods and techniques

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

Serve as an affiliated archive for federal records

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

Sell archival supplies, reproductions, and compilations

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

RECORDS MANAGEMENT

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.
- 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 (storage in warehouse), transfer to the records center, 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
- 1.13.10 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
- 1.13.30 Destruction of Public 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 record 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 Record Retention and Disposition Schedules (RRDS)
- Review agency compliance with regulations

Activity

Tasks

Establish and enforce procedures and techniques for effectively managing the State's public records

- Assess environmental conditions
- Assess the physical condition of records
- Assess accessibility
- Assess form control processes
- Coordinate agency records programs through Record Liaison Officers

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
- Sell transmittal forms

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

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

Review and recommend approval of microphotography systems

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

Store master media

- Accept microphotography (microform and digital) media for storage
- Inventory stored masters
- Dispose of media according to RRDS

Inventory microphotography equipment (purchased or leased)

- Conduct an annual inventory
- Arrange transfer of microphotography equipment between agencies

Sell microphotography services

- Sell duplicates from original masters
- Sell processing services

Microphotograph archival documents

- Microfilm archival documents
- Image archival documents

Provide records and information management training

- Train Record Liaison Officers
- Train State employees, record keepers, and custodians
- Train local government officials and employees
- Train microphotography program managers
- Train camera operators
- Train historical record repository staff

STATE RULES

Statutes: State Rules

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.

NMSA 1978**Provisions**

- 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/regulations adopted by state agencies.
- 14-4-7 Prepare and publish a list and index of current rules.
- 14-4-7.1 Publish a *New Mexico Register* 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: State Rules**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
- 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

Activities and Tasks: State Rules**Activity****Tasks***File Rules*

- Review for style and format
- Accept and file rules

Establish and enforce standards

- Adopt rules governing style and format of rules
- Adopt standard for manuals of procedures
- Adopt standards for publications issued in paper
- Adopt standards for web-based publications
- Adopt rules governing publishing in the *New Mexico Register*
- Adopt rules governing filing of emergency rules
- Adopt rules governing compilation of agency rules

Provide training

- Train rule filers in style and format requirements
- Train State employees in the rulemaking process

Produce the New Mexico Administrative Code

- Provide electronic access to current rules
- Publish an index of current rules

Maintain "Active Rules Collection"

- Accept rule filings
- Accession new rules or amendments
- Remove repealed rules and transfer to archival collection
- Provide access

Maintain interstate compacts and county subdivision regulations

- Accept new filings
- Process into collection
- Index
- Provide access

NEW MEXICO HISTORY**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

NMSA 1978 Provisions

18-6-14 Serve as the State Historian for purposes of the Cultural Properties Act

Activities and Tasks: State Historian

Activity

Serve as the authority on New Mexico history

Tasks

- 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
- Serve as Deputy Coordinator for the New Mexico Historical Records Advisory Board
- 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 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

Federal Law: New Mexico Historical Records Advisory Board

Law

36CFR1206.38

Provisions

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.

Regulations: New Mexico Historical Records Advisory Board

NMAC No.

1.13.5 NMAC

Name

New Mexico Historical Records Grant Program Guidelines

Activities and Tasks: New Mexico Historical Records Advisory Board

Activity

Strategic plan - improve the condition of historical records

Tasks

- Develop and monitor implementation of a ten-year plan
- Update and review periodically

Conduct public meetings of the Board

- Solicit public input for NMHRAB activities
- Hold majority of meetings outside Santa Fe

Reach out to historical record repositories

- Operate the New Mexico Historical Records Grant Program
- 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

III. CRITICAL ISSUES

Every five years the Commission of Public Records engages in a strategic planning process, the ultimate purpose of which is, in effect, to map a plan of action for the coming five years that will effectively guide the Commission in fulfilling its mission. To do this, the Commission must first understand where the agency is, at that point, in satisfying its mission and those factors in the larger State environment that affect its performance. In making those assessments during the development of the 2001-2005 strategic plan, a number of critical issues, along with their root causes and desired results were identified. Now entering the second year of that plan, although some progress has been made, those critical issues largely remain valid.

Critical Issue: *Inability to completely fulfill the agency's statutory obligations.* Many of the statutory duties of the agency have been incompletely addressed or not addressed at all. For example, a good records management program includes full analysis of filing systems, equipment, support systems (software, imaging, microfilming), and forms control, as well as the development of the basic tools of record retention and disposition schedules and warehousing facilities. Full analyses of records management programs in place in State agencies have not been completed, and, moreover, standards for such programs have not been addressed. In yet another example, the Commission is charged with issuing standards for procedures manuals and for publications produced by State agencies. Existing standards are outdated, unenforceable, or ineffective.

Under the Public Records Act, the State Records Administrator is required to establish a records center for the care of inactive and infrequently used records, including colonial and territorial records. She is also to create standards for records management and microphotography programs, and style and format standards for rules and publications. Records centers exist in both Santa Fe and Albuquerque. Revised microphotography standards and new style and format requirements for rules have recently been developed and implemented. While, as noted above, not all standards needed have been addressed, a number are in place and available for use by agencies and training in those standards and RIAM practices is offered by the SRCA. However, records custodians and potential customers often do not utilize the services of the SRCA because they are generally unaware of those services and the expertise offered through the SRCA that could be employed to more efficiently manage the records that they must care for. Through the efficient management of records and a more open and responsive government, ready access to the State's public records can be achieved.

Root Cause: Staffing: A high turnover rate has been experienced due to the inadequate number of employees and the magnitude of work required; inflexible work schedules; job dissatisfaction as evidenced by low leave balances; low staff commitment; lack of expertise or, once developed, expertise lost to other entities through staff turnover; and a socio-economic environment that forces employees to relocate away from Santa Fe.

Financial resources: In FY02, for the first time, the Commission of Public Record's appropriations crossed the two million dollar mark for an agency with 35 full time employees (FTE) that provides services to all State agencies and acts in an advisory capacity to local governments. Although the agency has received federal funds for specific projects and to support some of the New Mexico Historical Records Advisory Board's (NMHRAB) activities, it does not sustain federal funds as part of its operating budget. In order to fully carry out its statutory duties, the agency estimates it would need to at least double its current appropriation.

Under-utilization of the SRCA: Although the services of the agency have recently been more widely promoted, there are still agencies that remain unaware of the services provided by SRCA or of the benefit those services could provide. As a result they store records on-site unnecessarily, manage their records inefficiently, or destroy records improperly.

Records, Information, and Archival Management (RIAM) skills and knowledge: Although every employee and the head of each agency creates records in the course of their jobs, few

receive appropriate instruction on how those records are to be managed or the role they play in documenting the business of their agency. This can be attributed to at least three factors. First, the failure of the state to have **mandatory** RIAM courses for newly appointed officials or employees. Such training would create a common understanding of processes and ensure that records are maintained and accessible for as long as they are needed. Resources, such as money and staff, to provide RIAM training are an issue because training is expensive and highly specialized. Secondly, the SRCA needs staff with appropriate RIAM skills to support State agencies in developing their own RIAM skills. Salary levels and a nonexistent pool of trained individuals to fill vacancies hampers SRCA's ability to sustain an appropriate level of support. Lastly, technology and its impact on managing records, introduce additional complexity to developing and maintaining RIAM skills. High growth and volatility in technology and technology's use in creating and maintaining records require increased skill in SRCA staff in order to properly support agencies. Work processes and tools are changing rapidly, and mechanisms must be defined to help State agencies adapt. The CPR does not have sufficient resources to address the growing need to raise the information technology coefficient.

Enforcement authority: The Public Records Act does not require compliance by agencies except in very broad terms, and there is no specific language that addresses the Commission's or the Administrator's abilities to enforce provisions of the Act.

Commission of Public Records: Most Commission members have not been actively involved in developing or implementing solutions for the agency. Commission members could facilitate discussion with the governor, the cabinet, and the legislature through active intervention and support for specific policies and projects.

Desired Result: *Resources are available, and used, to fully address the agency's mission and statutory obligations.*



Critical Issue: ***Deterioration, loss of, or limited access to public and historical records.*** State agencies store inactive public records in a wide variety of locations and under what are, in many cases, less than ideal conditions. Many State agencies storing records on site do not have intellectual control over those records, making retrieval unpredictable and loss of records likely.

Many of the records of appointed and elected officials have not been delivered to the State Archives. Because of the lack of understanding of records and archival management principles and of the law itself, records are removed – sometimes transferred to other repositories or retained by individuals for their “historical” value. Records are also destroyed without authorization of the State Records Administrator, preventing the necessary review that protects public records from premature destruction.

Many repositories throughout New Mexico maintain historical records. The individuals responsible for the care of those records often lack the knowledge, skills, and abilities to preserve them fully or to make them accessible.

Centralized storage, complete with inventories and destruction flags in compliance with adopted RRDS, are not features of on-site State agency record-keeping systems. Records are usually found in basements and in boxes of all sorts. Boxes may be summarily labeled, but that is not sufficient to deter a search through several boxes to retrieve needed records. Records stored on site are not routinely purged by all State agencies. The result is records retained beyond their useful life, thus wasting space and equipment. Such unnecessary retention can also expose the custodial agency to liability it would not otherwise incur if records were destroyed in the “normal course of business,” in compliance with properly promulgated RRDSs.

Although several agencies use one or both of the SRCA records warehouses to store inactive records, clerical errors at the originating agency can impede retrieval or result in loss of records due to premature destruction. Clerical errors include mislabeling boxes (contents do

not match label description), supplying incorrect transaction dates (used to trigger destruction), or using incorrect item numbers (identifies the record series).

Many State agencies have implemented, or are considering implementing, microphotography systems (microform or digital imaging) to compact the storage of public records and facilitate access to them. In implementing a microphotography system, standards adopted by the Commission require that agencies consider the implications for continued preservation of original records, which must then be stored, as well as issues of migration for continued access to microphotographed records. As imaging technology continues to evolve, migration to new and denser storage media will occur. Unfortunately, agencies do not always submit microphotography systems plans to the State Records Administrator as required by law, so no evaluation with respect to long-term preservation, migration, and other records requirements occurs. Further, many agencies simply have not considered or do not understand the issues involved in migration of records.

Root Cause:

Enforcement authority: The Commission of Public Records' lack of sufficient enforcement authority is caused by weakness in the Public Records Act.

RIAM practices: Improper management of public records can be attributed to the lack of RIAM skills, failure to apply proper RIAM practices, lack of awareness that RIAM standards exist (especially those issued by the Commission, e.g. microphotography standards, regulations regarding the destruction of public records, etc.), and a lack of understanding of RIAM benefits. As a result, records are maintained by agencies on-site without proper physical and environmental controls.

RIAM knowledge: In preparation for the development of the 2001 –2005 Strategic Plan, two surveys were sent to State agency representatives to obtain information about their records and their records management, archival management, and rule-filing practices. What was clear from the results was that many of those directly responsible for agency records lack an understanding of records and archival management concepts and of rule-filing requirements. The surveys also illustrated the absence of management support for implementing records management or archival management programs.

RIAM benefits: The full benefits of records and archival management principles and techniques are not generally recognized by agencies. They become evident only when a crisis occurs and records important to agency operations or needed to substantiate agency decisions or under subpoena cannot be found or are irretrievably lost.

RRDS: Outdated RRDS may not reflect records actually being created or maintained. This occurs because the Commission lacks the resources to update schedules with the frequency needed. Additionally, agencies may simply ignore their RRDS or may not be aware that one exists that governs the retention of their records.

Record Liaison Officers: Basic criteria for liaison officer have not been adequately developed, and individuals appointed often lack the knowledge of the organization's records or the authority to implement appropriate RIAM practices. The problem is often exacerbated by turnover in State agencies resulting in the need for continual training in basic RIAM principles and procedures.

Mandatory employee orientation: An employee orientation program with respect to RIAM and State government structure and function has not been developed. Such orientation would provide general information about the obligations associated with caring for records that the employee creates on the job and would include instruction in the use of record retention and disposition schedules issued by the Commission. While more people are discovering Record Liaison Officer training, there is also an increasing demand for – and need for - basic records management training.

State agency management support for RIAM: Agency directors do not emphasize the need for proper RIAM practices within their agencies. Records, information, and archival management is often overlooked as one of the essential administrative functions of any agency. As a consequence it must often be done, if at all, without much active support from upper management – at least until the agency must produce its records and either spends unnecessary resources or is unable to locate the requested records, or unless a lawsuit is

filed because of the agency fails to produce requested records.

Physical distances between agencies and the SRCA: Since storage facilities are provided only in Santa Fe and Albuquerque and archival facilities are only available in Santa Fe, some agencies prefer to keep records on-site, or close by, for convenience.

Failure of civic education: Schools, institutions of higher education, and governments all too often give little or no importance to how the records of government are created and maintained.

Insufficient resources in historical records repositories: Many repositories (including local and tribal governments) lack staff, training, and money to care properly for and provide access to the records in their custody.

Desired Result: *A complete and accurate public record with sufficient intellectual and physical control over the records to ensure that they will be preserved and readily accessible.*



Critical Issue: ***Increased demand for electronic access to information and to maintain records electronically.*** Electronic records are being created and maintained by State agencies, but the knowledge necessary to manage these records is lacking. E-mail, imaged records, and records created, maintained, and retained in pure electronic format are but a few of the issues that electronic records represent.

New and more sophisticated automated systems are being implemented to address the needs of State government in meeting the needs of its citizens. Little attention is given to planning for retention of the electronic records that are being created and maintained solely in electronic form. Most agencies retain these records as part of the "back-up" process. This assures neither preservation nor continued access for as long as the record is needed. As more agencies move their records to an electronic (as opposed to paper-based) medium, the need for standards will increase in order to prevent loss and assure accessibility.

The Internet is both a tool for improving access and a source of increasing demand for access. Since the implementation of the SRCA's web page, there have been increasing requests for information by e-mail as well as requests to provide access to archival documents and regulations on-line. Many State agencies are publishing information through web pages on the Internet (publications and brochures). This raises concern about what should be done if a report is only published on the Internet.

Root Cause: Technology: State employees and Commission staff lack adequate knowledge of technology and specific methods for preserving electronic records or overcoming the barriers of omissions in legacy applications' design. The number of record creators and keepers has expanded exponentially with the advent of the office where a personal computer on every desk is the norm; however, few understand the technology or the implication it holds for records management. Further, only infrequently do the designers of information technology applications understand or take into consideration records management requirements. State agency information technology personnel don't understand records and preservation issues and consequently don't plan adequately. This is compounded by the continuing development and innovation within the information technology industry that, in turn, requires continuing modification to issued standards.

Overlapping responsibilities: Authority for records created and maintained with or through the use of technology is divided between the Commission and the State's Chief Information Officer (CIO). This division has created ambiguity with respect to responsibilities, resulting in some duplication of effort, and unassigned or un-enforced responsibilities.

Resources: Time, money, and staff are scarce. The Commission's small information technology staff does not have sufficient time to address the demands of the agency and also participate in the development of standards for the other agencies. As a result, RIAM staff must develop expertise in technology from any sources available.

Desired Result: *Development and implementation of appropriate standards to address technological impacts on record keeping.*



Critical Issue: ***Failure of State agencies to comply with the Public Records Act.*** The Public Records Act does not provide sufficient enforcement authority so State agencies are not compelled to protect their records. Records are destroyed without prior authorization from the State Records Administrator, violating regulations governing the destruction of records, and, in some cases, the retention of records. Permanent records documenting the administration of various agencies of the executive branch are not being transferred to the State Archives. Requests for approval of microphotography systems are not being submitted to the State Records Administrator as required by State law.

An audit conducted by the Foundation for Open Government revealed several instances at where local governments simply did not comply with requests for records or withheld records without adequate grounds to do so. Although the audit did not include many State agencies, the SRCA has received requests that were inappropriately referred to SRCA because records are stored in the records warehouse. These records remain in the custody of the storing agency and SRCA staff does not the authority, nor do they have sufficient information about the records stored, to properly address requests for specific records.

Root Cause: Enforcement authority: The Commission of Public Records lack of sufficient enforcement authority is caused by weakness in the Public Records Act.

Underutilization of SRCA services: State agencies are unaware of the services available from SRCA and so do not make use of available tools to assist them in storing and retrieving their records. There is no Public Information Officer (PIO) to focus efforts on promoting training and the services of the agency to other State agencies and the public.

Non-compliance with law and regulations: Agencies are not familiar with the requirements of the Inspection of Public Records Act and so do not respond to requests for information even when the Act is appropriately cited. Ineffective retrieval tools employed by custodial agencies also hamper efforts to comply with requests for records.

RRDS: Failure by the SRCA to cover records in retention schedules, or dated retention schedules that reflect records no longer created and do not reflect new records created inhibit compliance.

Record Liaison Officers: Appointment by custodians (agency directors) of inappropriate individuals as record liaisons and an absence of specified criteria for appointment as liaison officers lead to an inability to access records or to locate records efficiently (too much time spent in identifying or locating requested records).

Desired Result: *Compliance with the Public Records Act, which includes preservation of, access to, and control of public records.*



Critical Issue: ***Inadequate access to public records.*** The lack of a comprehensive locator service requires the public to search, at times endlessly, for the appropriate entity from which to obtain the information they seek. Since the SRCA established a presence on the Internet through its web site, there has been an influx of questions requesting direction to agencies that hold particular public records. The expectation that the SRCA holds all the public records of State government has also increased. The 2002 appropriation included \$15,000 for a contract to develop the design of the Public Records Locator System (PRLS) and the RFP to begin addressing this issue.

Not all State agencies understand the laws and regulations relating to access to public records. The dispersal of inactive public records in various agency storage facilities and the lack of detailed indices to stored records inhibit ease of access. Continuing confidentiality of designated records

proscribes public access to historical documents.

Root Cause:

Expectations: The public expects that government tracks all of its transactions through a central point. State agencies expect that if records have been sent to the SRCA, the SRCA will provide access to those records – even those held in the records center warehouses or on master microfilm. Only records transferred into the custody of the agency’s State Archives are accessible in this manner. All other records remain in the custody of the State agency that placed them with the SRCA for storage.

Decentralization: Records are created and distributed throughout State government by more than 100 State agencies, with various organizational subdivisions maintaining records in a variety of formats and in various locations. Retrieval of records stored in a decentralized system is complicated by the need to track not only the records series that are created but their locations as well.

Confidentiality: Access to public records is restricted by unlimited confidentiality of certain records.

Laws: Custodians are not familiar with their obligations under the Public Records and Inspection of Public Records Acts and consequently are not diligent or are simply unresponsive to requests for access to public records.

Finding Aids: State agencies have not, as a rule, created finding aids to locate inactive records. Records are not indexed when sent into storage, except in those agencies where retrieval is of paramount importance. With the improvements to software, tracking at the file level should be possible; however, implementation will be hampered by the associated costs in time and money.

RIAM practices: The General Services Department’s Information Systems Division, the New Mexico Information Technology Management Office, State agency IT and records staff, and technology vendors don’t understand public record preservation and access issues. Consequently, State agencies make IT procurement decisions that could require expensive modification after implementation.

Desired Result:

Standards issued by appropriate regulatory bodies (CIO, GSD and CPR) that incorporate RIM concepts and result in open access to the State’s public records.



Critical Issue:

No recognized, authoritative and timely source for the State’s administrative law. No single source exists today where all current, State government-issued regulations can be found accurately, timely, and presented in a fully integrated form. While resources have been devoted to creating a New Mexico Administrative Code (NMAC) it is not yet – after six years – complete.

The original *NMAC* style and format requirements resulted in a *Code* that was, for many, difficult to use, as well as difficult to compile and maintain. Because those requirements did not dictate conformity among the *Code’s* many levels, they impeded the creation of the databases needed to effect the compilation. A lack of uniformity with respect to software, use of symbols, inclusion of special coding, etc. all contributed to additional problems in compiling and maintaining the *NMAC*. Rule revisions adopted in February 2000 are intended to address this; however, until the conversion to the new style and format requirements is complete and all current rules incorporated in the *NMAC*, the issues arising from this cause will persist

Although many rules have been converted from a myriad of formats to a single structure in the *NMAC*, full compilation into a single codified publication has not occurred. Virtually all current rules have been converted into either the original or current *NMAC* style and format; however, conversion to the modified style and format is still ongoing. The publisher is reformatting and recompiling existing regulations to conform to adopted modifications. This process has been slow, however, and has affected State agencies’ ability to obtain electronic versions of filed rules for use in amendments. In addition, the publisher is maintaining *NMAC* version 2 rules in a database separate from *NMAC* version 1-styled rules so that there is no single database of existing rules. Several issues with the publisher have arisen that have adversely affected the

management of this process. Further, a change in the search functionality of the Internet version of the *NMAC* has substantially reduced usability.

In summary, the *NMAC* is not complete, accurate, timely, or accessible. Issues with the external publisher have delayed the completion of the *Code*. The restructuring effort undertaken in response to publisher concerns has gone far more slowly than expected and has created a bifurcated system that impedes access. The *NMAC* is updated on the publisher's schedule, which although it is supposed to be quarterly, is affected by the publishers concern to update statutes after the legislative session. The Internet version, although free, is difficult to use and lags behind the CD version.

The *New Mexico Register (NMR)* is not a sufficiently acceptable means of providing adequate notice of rule making or of distributing promulgated rules in the eyes of all State agencies. The *Register* is not generally the first publication that comes to mind when the public wants to look for notices of rule making. Many use the Albuquerque Journal or direct mailing to ensure adequate notice.

The *NMR* is neither timely nor easily accessible. The *Register* is published twice a month but is not received by this agency and subscribers for up to three to four weeks after the publication date because it is delivered via standard mail. The *NMR* is available by subscription only, and although there is an on-line version, one must be a subscriber in order to access it. The *NMAC* is available on CD and via the Internet but is not current – as of June 15, 2001 only rules published in the *Register* through February 28, 2001 were accessible. The publisher's scheduling for updates is dictated, in part, by the timeframe for updating the statutes. However, the kind of periodic updates that may work well in providing access to the statutes do not enable timely access to rules. Statutory changes are usually made only one or two (if there is special session) a year; changes to the rules collection occur with every filing date – twice a month.

The *New Mexico Register* is available only by subscription. The *NMAC* is available by subscription and via the Internet, although the Internet version, as noted above, is very difficult to use. Other publishers have acquired paper copies of existing rules and published unofficial versions of the administrative code that seem more usable than that produced by the current publisher.

Agencies file rules with incorrect cross-references (internal, references to statutes, US Law, and referenced material), making it difficult for users to understand the intent of regulators.

Root Cause:

Difficulty in compiling and maintaining an administrative code: Agencies generally recognize the need to file rules, but they lack specific knowledge of the structure used for rule development and notice through the *New Mexico (NMR)* and the *New Mexico Administrative Code (NMAC)*. The current publisher of the *NMR* and *NMAC*, as well as many users, found the structure awkward to support and use.

Resistance to change: Bureaucratic entrenchment combined with a lack of understanding of the *NMAC* and questions as to the appropriateness of the *NMAC* structure make implementation of needed changes difficult and slow. From the outset, some State agencies ignored their responsibilities to convert their pre-*NMAC* rules to the new format. By late 1999 hundreds of valid rules remained unconverted. In order to enable completion of the *NMAC*, the SRCA assumed the responsibility of conversion for those agencies.

External publisher: There is a growing dissatisfaction with the current publishing arrangement. The contract publisher does not effectively communicate with agency staff and its subcontract with an external publisher has resulted in other problems. The contractor's primary concern is for publishing in its preferred style, regardless of the legal formatting and filing requirements and the concerns of the SRCA. The result is conflict in determining how the *Code* will be produced. Unfortunately, the agreement to publish the *NMR* and the *NMAC* lacks specificity (communication, performance, non-compliance with SRCA-issued standards, etc.), and the SRCA intends to terminate its agreement with the publisher and publish the *NMR* and the *NMAC* in-house. Producing the *NMR* and the *NMAC* in the same way as the external publisher does would cost significantly more than producing this work through the private sector. Alternatives, however, such as limited online publication, could prove more desirable and are likely manageable using existing resources. Such an alternative would enable any publisher to add value to the material and market along with any other product.

Error Correction: There is no mechanism to identify and correct errors discovered in compiling the *NMAC*. At this time, the agency relies on users or regulators to identify errors. The publisher is then advised of the error, but the error remains until the next “quarterly” update of the *NMAC*.

Skilled Staff: Agencies often assign staff without proper training to develop and format rules. Assigning staff who do not have the appropriate skills to complete the task or to understand the requirements often slows the process and creates otherwise unnecessary difficulties for the issuing agency. Also, turnover in State agencies results in the need for continual training in rule filing and publishing procedures. The agency has addressed this issue by increasing the frequency and improving the content of its *NMAC* training; however, some agencies still do not take advantage of the training and still assign rule-making responsibilities to staff not trained or qualified for them - so the root cause remains. Division staff lacks expertise in the use of statutes and processes for drafting regulations. They have no prior experience in applying the legislative bill-drafting techniques employed under the current *NMAC* style and format requirements. Likewise, the dual or “tandem” proofing process now being used to promote more accurate proofing is new to them. Skills in these areas must be acquired in order to validate the *NMR* and *NMAC*.

Desired Result: *An authoritative, easily accessible, electronic source for all regulatory material.*



Critical Issue: ***A small pool of expertise exists in New Mexico from which to staff the agency and historical record repositories.*** Staff turnover, especially in the Records Management Division, is high. The learning curve in records management is long, now a year or more and getting longer as issues become more complex. As soon as analysts are trained, they are offered more lucrative positions, and the cycle begins again. Retention of Rule analysts has not yet been a problem, but they are faced with changing technological tools and processes that affect productivity and job satisfaction.

Historical record repositories include local and tribal governments as well as non-profit organizations (museums, historical societies, faith-based groups, etc.) that collect historical records. In local governments, care of records is frequently left to the clerk or each elected official. Consequently, the level of care and training varies greatly. Tribal organizations have recently become interested in records and archival management practices but are generally reluctant to open their organizational records to the public and, so, little progress has been made in implementing RIAM practices. Not-for-profit organizations are primarily staffed by volunteers – where turnover is significant and commitment is unpredictable. Training is a critical need of these repositories.

Root Cause: Trained professionals: Although a training program has been implemented by the SRCA, attendance by State employees is lower than would be indicated by the number of individuals assigned records or archival management tasks. Professional-level training is expensive. Advanced training is usually offered by national organizations that provide training in various venues around the country. Registration fees range from \$250 to \$675, and additional costs for out-of-state travel must be incurred in order to attend.

Time: The SRCA staff - particularly management team members – have borne the brunt of the training responsibility for their staff and for developing professionals throughout New Mexico. Emphasis on training means that time is taken from other activities.

Technology: Commission staff lack knowledge with respect to leading-edge technology and its application for training. Technology makes distance learning possible – but expensive. Alternative delivery systems could maximize the use of resources through the use of on-line training that incorporates programmed learning techniques. These techniques include, for example, on-line presentation followed by questions that test comprehension, with wrong response follow-up information. In addition, the agency could consider developing training packages to be placed online; however, this requires an investment of time, money (software, development, implementation, and maintenance), and people trained in online education, as well

as in using the technological tools.

Desired Result: *Sufficient resources to address RIAM issues, including an adequate number of trained professionals to fill RIAM needs, and the funds to obtain and produce needed training.*



Critical Issue: ***Unsafe environment for employees and for records.*** Unresolved building problems create an unsafe work environment. Some examples include: potential flooding, faulty sprinklers, an improperly designed loading dock for the Records Center, and incomplete and inadequate security systems. The concerns of the Commission, stemming from the building site itself and previous flooding, with respect to mitigation of the flood potential have not been satisfied. The Property Control Division has repeatedly assured the Commission that all is well; however, there continues to be doubts as to the agency's ability to address its disaster preparedness. Sprinklers throughout the building have been recalled, yet the General Services Department has not replaced or repaired them. The scissor jack in use in the Records Warehouse (in lieu of an elevated dock) was termed unsafe by the Risk Management representative sent to inspect it. Only in July of 2001, more than two years later is work to replace it to begin. The ceiling paint in the Archives Vault is chipping. The contractors did not properly prepare the ceiling prior to painting. Repair entails removal of the old paint and sanding the ceiling, a process that poses a hazard to archival material. On three occasions, the ceiling above a filming room in the micrographics area has leaked due to flooding of the mechanical room above. In one of those incidents, the damage extended into the hallway and an adjacent office. In the last incident in May of 2001, a new and expensive scanner used in filming archival documents was soaked and may have sustained damage. In spite of the concerns of the SRCA, a mechanical room was built over the specially designed micrographics facility. Flooding in that mechanical room seeped through to the filming room below. Further, the building has no security during working hours, yet the agency now occupies a building with a more open environment. The new skateboard park that opened in the neighboring park has resulted in increased incidents of vandalism and use of facilities for its restrooms, telephones, and vending machines. Vandalism, to the building and to employee property, has occurred, and aggrieved employees all support the need for daytime security. The Property Control Division (PCD) has designated secure areas of the building part of the communication's hub for the West Capitol Complex. As a result, unauthorized (within the Commission or the Library) personnel are often in secure areas of the facility. Personnel are not known and security is, therefore, compromised.

Root Cause: Property Control Division: The agency is unable to resolve building issues with the Property Control Division (PCD) because communication with PCD is difficult. Responses are curt and do not always address concerns. For example, a request for a long-term drainage study was sidestepped by presumably incorporating it into planning for new building planned for the site; issues with unknown staff in secure areas – telecommunications closets - were met with an admonition that the building belongs to the PCD, and it decides who should have access, etc.

Security: There are no security guards on the premises during working hours and an insufficient number of security cameras (monitored area signs). Dial-out alarms do not exist for some critical systems. If an alarm is triggered, security procedures are slow and unsuitable for emergency response. Areas designed to be staff-only are accessible to other individuals through both the specific intention of the Property Control Division (in setting the communication hub for the building in a secure area), and unintentionally because of locks that are not appropriately set.

Disaster Preparedness: There is no adequate, overall disaster preparedness plan for the facility or site or complex. A plan is necessary so that staff and emergency response organizations can quickly address any catastrophic incident.

Desired Result: *Safe physical environment for employees, stored records and records collections, and irreplaceable archival documents.*



Critical Issue ***Insufficient, active Commission support of agency goals.*** Members are ex-officio and have other priorities and little time to devote to the agency's goals aside from general oversight. Members are welcomed by the Administrator and oriented to the operation of the Commission; however, this process does not result in the desired investment by Commission members that might occur through a formal commissioning of members. Although members have seen and approved the agency strategic plan, not all members participated in its development and so do not have ownership. Support must extend beyond Commission meetings.

Root Cause: Orientation: Roles of individual members are not well defined and understood. There is no formal procedure for orienting new members or delegates to their roles on the Commission.

Busy members: Members are busy and have different or conflicting priorities. Since all members have primary positions with extensive demands, it is difficult to incorporate attention to the demands of another agency.

Delegates: An individual appointed to act on behalf of the statutorily named Commission member is not always the appropriate representative of that member. A variation of this issue is that different individuals may represent the statutory member; inconsistency diminishes the delegates' ability to fully participate as members.

Knowledge of issues: Members are not trained in RIAM. While such training is not generally expected, members or their designees should bring the perspective of the office they represent to bear on issues placed before the Commission. Designees should be knowledgeable in the statutory members' area of expertise and should be able to apply that knowledge to RIAM issues.

Desired Result *An actively supportive commission.*



IV. STRENGTHS AND WEAKNESSES

The strengths and weaknesses of an agency must also be considered and factored into the strategic plan if that plan is to lend itself to successful implementation. Without a clear understanding of those pluses and minuses, the strategies and the action items defined may have little chance of effectuation. Further, identified deficiencies themselves may well dictate specific responses within the plan.

Strengths	Weaknesses
Staff	
<ul style="list-style-type: none"> ❖ Professional staff ❖ Technical skill ❖ Expertise ❖ Prevalent positive attitude 	<ul style="list-style-type: none"> ❖ Inadequate number of employees or salary level ❖ Insufficient computer literacy ❖ Inexperience ❖ Lack of adequate training in certain areas ❖ High turnover
Organization	
<ul style="list-style-type: none"> ❖ Use of a strategic plan ❖ Use of performance measures as controls ❖ Use of advisory committees ❖ Competent management ❖ Well-documented policies and procedures ❖ Current regulations ❖ Staff/management communication 	<ul style="list-style-type: none"> ❖ No dedicated staff-development position ❖ No public information officer ❖ Lack of sufficient support staff and adequate funding in the information technology area ❖ Difficulty encountered by management in promoting the agency
Technology	
<ul style="list-style-type: none"> ❖ Recognition of the importance of technology's role in the agency ❖ Availability of computer workstations for each employee ❖ Implementation of a multi-tasking environment ❖ Agency web page 	<ul style="list-style-type: none"> ❖ Full electronic security measures still being implemented ❖ Standards for preserving electronic records yet to be adopted ❖ Training in information technology still needed ❖ Inadequate IT staff support
Finances	
<ul style="list-style-type: none"> ❖ Authority to accept gifts and donations ❖ Revenue-generating capability and non-reverting internal service fund 	<ul style="list-style-type: none"> ❖ Heavy reliance on general fund appropriations ❖ Inadequate staff to support financial operations ❖ Adequate inventory controls still in process of implementation ❖ No foundation and a weak "friends" group ❖ No bonding authority
Partnerships	
<ul style="list-style-type: none"> ❖ Relationships afforded through Commission membership ❖ Good working relationships with universities ❖ Support offered through the National Archives and Records Administration ❖ Shared facility with the State Library 	<ul style="list-style-type: none"> ❖ Lack of working relationships with various State agencies (GSD, CIO, State Auditor, etc.) ❖ No formal advocacy groups ❖ No corporate partners ❖ Competing interests

V. THE IDEAL COMMISSION OF PUBLIC RECORDS WORLD

Through the strategic planning assessment process, the agency can develop a better understanding of where it is now and what it still must do. A next step is to contemplate where the agency wishes to be at the end of the strategic planning period – what would then be the ideal world.

At the end of its five-year strategic plan, the Commission of Public Records would like to:

- ◆ have clear statutory authority for functions not presently covered;
- ◆ have entered into joint powers agreements or memoranda of understanding, or otherwise developed cooperative relationships with the CIO and other agencies where responsibilities may overlap or be complementary;
- ◆ have formulated a better approach to the life-cycle management of electronic records;
- ◆ have established control, including enforcement authority, over inactive records not presently in the custody of the SRCA;
- ◆ have mandatory RIAM training for State records “keepers” implemented;
- ◆ have transferred all permanent records to Archives;
- ◆ have implemented a complete and consistent records indexing system, available on the Internet, of all records in the custody of the SRCA;
- ◆ have enabled agencies to enter record information to the automated record warehouse system to the folder level;
- ◆ have a comprehensive locator service for all public records – a “one-stop shop” for anyone seeking to locate a record;
- ◆ have developed web page standards for State agencies to include a controlled vocabulary in the meta-tag field;
- ◆ have implemented an electronic rule-filing environment, including instantaneous filing, publication, compilation, distribution, security, and preservation; and
- ◆ have adequate, and adequately compensated, professional program and support staff.

VI. STRATEGIC INITIATIVES AND PRIORITIZED STRATEGIES

Six general strategic initiatives were identified during the planning process that form the core of the Commission's strategic plan. After revision in 2002, five strategic initiatives remain. These initiatives address the critical issues identified and take into consideration the strengths and weakness of the agency. The initiatives are listed in order of priority. Under each, specific implementation strategies are delineated, also in order of priority. In Section VII, more detailed action steps for each strategy are set forth.

- 1. *Increase knowledge of Records, Information, and Archival Management (RIAM) practices.***
 - 1.1 Publish RIAM manuals detailing practices by 2004.
 - 1.2 Publish brochures about RIAM annually.
 - 1.3 Develop RIAM skills in New Mexico public and historical records repositories.
 - 1.4 Advocate and promote RIAM in New Mexico public and historical records repositories.

- 2. *Have public records managed properly, in accordance with RIAM principles, throughout their life cycle.***
 - 2.1 Develop a mechanism to manage effectively electronic records.
 - 2.2 Identify records on deteriorating media and develop processes or promulgate standards to ensure their migration or regeneration.
 - 2.3 Ensure that record retention and disposition schedules (RRDS) items are no older than five years or reviewed on a five-year schedule.
 - 2.4 Transfer inactive permanent records into the Archives.
 - 2.5 Establish an affiliated archive or off-site storage program by 2005.
 - 2.6 Process 85 percent of permanent records in the custody of the State Records Center and Archives.
 - 2.7 Establish a rule-review process by 2003.
 - 2.8 Promulgate a rule for agency record-recovery plans.
 - 2.9 Ensure compliance with Commission-issued standards and State laws by 2003.

- 3. *Have a comprehensive, authoritative locator service for all public records.***
 - 3.1 Provide online access to SRCA collections.
 - 3.2 Create a comprehensive public record locator service (PRLS).
 - 3.3 Create a system of ready access to information on proposed rule making, newly adopted rules and other rule actions, and all current rules of the executive branch that is freely accessible to all New Mexicans.
 - 3.4 Assure accessibility to SRCA holdings.

- 4. *Ensure that adequate resources are available to meet statutory obligations.***
 - 4.1 Have an appropriately trained staff as documented by individual training plans and ensured by group training.
 - 4.2 Identify alternative funding sources to supplement State appropriations and prepare proposals beginning in 2002.
 - 4.3 Appropriately classify and pay staff by 2004.
 - 4.4 Increase the agency FTE and budget at a rate needed to support this plan.

- 5. *Advocate understanding and appreciation of New Mexico History.***
 - 5.1 Implement 70 percent of the New Mexico Historical Records Advisory Board Strategic Plan by 2005.
 - 5.2 Develop outreach programs that improve public understanding of New Mexico history.

VII. PERFORMANCE-BASED BUDGET ACTION PLAN

From the mission statement, one program, which encompasses all agency functions, has been identified, **Records, Information, and Archival Management (RIAM)**. The purpose of the RIAM program is *to develop, implement, and provide tools, methodologies, and services for use by and the benefit of all governmental agencies, historical records repositories, and the public so that the State can effectively create, preserve, protect, and properly dispose of records; facilitate their use and understanding; and protect the interests of the people of New Mexico*. The major subprograms or activities of the RIAM program are: Administration, Administrative Law, Public Records Management, and New Mexico History.

This action plan represents the consolidation of action steps necessary for each subprogram to attain specified strategies identified in Section VI. The subprograms' acronyms are used in conjunction with the action item number to identify the subprogram under which the action item will be addressed. The acronyms used are: **ADM** = Administration; **AL** = Administrative Law **PRM** = Public Records Management; and **NMH** = New Mexico History.

1. **Increase knowledge of Records, Information, and Archival Management (RIAM) practices.**

1.1 Publish RIAM manuals detailing practices by 2004.

- 1.1.A Develop draft manuscript and circulation plan for the of the RIAM manual. 2002-2003
- PRM1.1.A Archival management volume
- PRM1.1.B Records management volume
- AL1.1.A Rules management volume
- ADM1.1A Contract with a consultant to perform final editing and design for publication. 2003

- 1.1.B Review draft produced by consultants and approve prior to publication. 2004
- PRM1.1.B Archival management volume
- PRM1.1.C Records management volume
- AL1.1.C Rules management volume
- ADM1.1.B Publish and distribute manual. 2004

1.2 Publish brochures about RIAM annually.

- 1.2.A Identify relevant topics to be outlined in brochure, design, edit and publish. 2002-2005
- PRM1.2.A Archival management and historical services brochures
- PRM1.2.B Records management brochures
- AL.1.2.A Administrative law brochures
- ADM1.2.A Support division efforts to design and publish brochures. 2002-2005

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

- ADM1.3.A Deliver RIAM training modules annually. 2001-2005
- PRM1.3.A Develop and deliver archival training for affiliated archives. 2004
- PRM1.3.B Develop criteria that require knowledge of records and information management for Department Secretaries to use in appointing record liaison officers; promulgate. 2003
- PRM1.3.C Use information from records assessment surveys of State agencies and design training program to address them. 2004
- PRM1.3.D Prepare RLO training materials to conduct training within the agency. 2004
- AL1.3.A Identify training needs, shortfalls, or clarifications of the rules-management training program and modify, deliver, and assess annually. 2005

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

- ADM1.4.A Implement a marketing plan to promote RIAM statewide. 2002-2005
- ADM1.4.B Promote the Certified Records Manager (CRM) and certification for individuals who manage RIM programs and Certified Archivist (CA) for archival professionals. 2005
- NMH1.4.A Develop or fund outreach projects that promote RIAM. 2001-2005
- NMH1.4.B Develop training manuals for RIAM historical record repositories. 2002-2005
- NMH1.4.C Fund training for staff in historical record repositories through the New Mexico Historical Records Grant Program. 2002-2005

2. *Have public records managed properly, in accordance with RIAM principles, throughout their life cycle.*

- 2.1 Develop a mechanism to effectively manage electronic records.
 - PRM2.1A Develop staff expertise in the preservation of permanent electronic records (electronic records archivist). 2002-2005
 - PRM2.1.B Develop staff expertise in the managing electronic records (electronic records administrator). 2002-2005
 - PRM2.1.C Open the Electronic Records Warehouse. 2004
 - PRM 2.1.D Develop a schematic for transmission of electronic records to the electronic records warehouse through telecommunication lines. 2005
 - ADM2.1.A Create a task force, together with Chief Information Officer's (CIO) office, on creating and retaining electronic records. 2001-2005
 - ADM2.1.B Develop standards for managing and preserving electronic records through the task force. 2002
 - ADM2.1.B Issue draft standard and solicit public comment for managing and preserving public records. 2002-2003
 - ADM2.1.C Adopt standards for managing and preserving electronic records. 2003
- 2.2 Identify records on deteriorating media and develop processes or promulgate standards to ensure their migration or regeneration.
 - PRM2.2.A Develop a procedure for migrating and implement procedures for accessioning permanent electronic records in the custody of SRCA. 2003-2005
 - PRM2.2.B Develop a plan for migrating audio records. 2003
 - AL2.2.A Partner with the Archives and Historical Services Division, the State Library and CIO to develop strategies for dealing with and standards for online-only agency publications (including web pages). 2002-2004
 - ADM2.2.B Promulgate standards on media migration or regeneration based on archival management procedures that address preservation of public records. 2003-2004
 - ADM2.2.C Evaluate future budgetary requirements for migrating electronic records in the custody of the SRCA. 2005
- 2.3 Ensure that record retention and disposition schedules (RRDS) items are no older than five years or reviewed on a five-year schedule.
 - PRM2.3.A Implement mechanism for reviewing RRDS items that are older than five years by 6/30/2002. 2002
 - PRM2.3.B Implement procedures and training for State agency modifications to their own RRDS to keep schedules current. 2002

- PRM2.3.C Bring all schedules to current status current (items will be no older than five years old or have been reviewed within the previous five years) so that all schedules will have been reviewed: 20% - 2002; 40% - 2003; 60% - 2004; 80% - 2005
- 2.4 Transfer inactive permanent records into the Archives.
- PRM2.4.A Work with records management to transfer permanent records stored in the Records Center to those stored by State agencies to the State Archives. 2001-2005
 - PRM2.4.B Modify permanent record entries in RRDS without a transfer to Archives notation: 20% 2002, 40% - 2003, 60% - 2004, 80% - 2005.
 - ADM2.4.A Negotiate the transfer of permanent records into the State Archives with custodial agencies. 2001 -2005
- 2.5 Establish an affiliated archive or off-site storage program by 2005.
- PRM2.5.A Develop and administer a preservation survey and determine the level of compliance with RRDS provisions for transfer to Archives of all State agencies holding permanent records on-site (de facto archives). 2002
 - PRM2.5.B Develop and publish a white paper on the establishment of an affiliated archive program for State agencies. 2003.
 - PRM2.5.C Establish criteria and standards by which an affiliated archive is to operate and develop a pilot program for affiliated archives. 2004.
 - PRM2.5.D Implement pilot program and produce a fiscal impact study for full implementation. 2005
 - PRM2.5.E Develop a storage survey to distribute to all State agencies maintaining inactive storage in locations other than SRCA; conduct surveys, analyze responses, and produce final status report. 2002
 - PRM2.5.F Develop a policy and standards (rule) for the use of storage facilities other than SRCA. 2003
 - ADM2.5.A Adopt regulations needed to implement an affiliated archives program and an off-site storage program. 2004-2005
- 2.6 Process 85 percent of permanent records in the custody of the State Records Center and Archives.
- PRM2.6 Process permanent records transferred into the State Archives to make these records accessible for public research - 70% by 2002, 75% by 2003, 80% by 2004, and 85% by 2005. 2002-2005
- 2.7 Establish a rule-review process by 2003.
- AL2.7.A Produce a white paper on a proposed rule-review process. 2004
 - AL2.7.B Draft legislation or rules to establish a rule-review process based on the outcomes of the white paper on such process (see AL1.4.B). 2004-2005
 - ADM2.7.A Solicit support for implementing a rule-review process from State agencies, the Executive, and legislators. 2004-2005
- 2.8 Promulgate a rule for agency record-recovery plans.
- PRM2.8.A Research and gather data and draft a rule on record recovery. 2004
 - PRM2.8.B Solicit public comment by 12/31/2002; adopt a rule on record recovery, if needed, by 06/30/2005. 2005
- 2.9 Ensure compliance with Commission-issued standards and State laws.

- PRM2.9.A Gather data and research current level of compliance with records management standards issued as regulations by the Commission of Public Records. 2004
- PRM2.9.B Design a records management compliance audit program. 2005.
- ADM2.9.A Analyze and develop draft legislation to strengthen the Public Records by 2002-2003 that:
 - ensures enforcement authority, especially governing destruction of public records, preservation and access; and
 - addresses declassification of permanent confidential records.
 Solicit support for proposed legislation to strengthen the Public Records Act.
- ADM2.9.B Create a history file of RIAM incidents related to public records. 2001-2005
- ADM2.9.C Address the cabinet on RIAM as part of an effective public records management program. 2003.

3. Have a comprehensive, authoritative locator service for all public records

3.1 Provide online access to SRCA collections.

- PRM3.1.A Design web site for State Archives finding aids to be added to SRCA web page and move online. 2002
- PRM3.1.B Complete photo-imaging project and index database and move online. 2002-2004
- PRM3.1.C Develop criteria for selecting and placing original documents online by 2004.
- PRM3.1.D Implement new automated records inventory system for State agencies storing records in the Records Center or Micrographics vault. 2002
- PRM3.1.E Provide view access and remote entry of storage tickets into the automated records inventory system to State agencies wishing to store records in the Records Center or Micrographics vault. 2003.
- PRM3.1.F Complete conversion of SANM I, SANM II, MANM microfilm collections to digital images by 2002.
- AL3.1 A Provide access to the Rule History, Interstate Compacts, and Subdivision Regulation databases through the SRCA Web page. 2002
- ADM3.1.A Expand SRCA Web page to include links to other archival repositories throughout the state and create a link from the SRCA web page to the Online Archives of New Mexico. 2002

3.2 Create a comprehensive public record locator service (PRLS).

- ADM3.2.A Develop the design specifications and obtain funding for the system. 2002-2003
- ADM3.2.B Analyze the GILS developed by NM State Library to determine its ability to host or link to the PRLS; establish partnerships with NMSL, CIO's Office and other interested agencies, 2001 – 2002
- ADM3.2.C Bid and implement PRLS. 2003 – 2004

3.3 Create a system for ready access to information on proposed rule making, newly adopted rules and other rule actions, and the current rules of the executive branch that is freely accessible to all New Mexicans.

- AL3.3.A Resolve concerns of the NMAC publisher and the NM Compilation Commission about NMAC by October 15, 2001. 2002
- AL3.3.B Create a raw structure for the administrative code that is available through the agency's web page and that is updated monthly. 2002-2003
- AL3.3.C Publish the New Mexico Register online. 2002
- AL3.3.D Promote use of the New Mexico Register and the New Mexico Administrative Code. 2002 – 2005

AL3.3.E Establish electronic filing of rules with encryption, decryption, and signature authentication based on comments received on white paper (AL1.4.A). 2003 – 2004

3.4 Assure accessibility to SRCA holdings.

PRM3.4.A Investigate and develop a work plan to obtain research copies of permanent microfilm records historical value and make them available for public research. 2003 - 2004

PRM3.4.B Accession, index, and catalog microfilm records transferred into Archives. 2004

PRM3.4.C Develop and publish a guide to the State Archives' motion picture films collections. 2003

AL3.4.A Create an electronic file-management program for rules and their related amendments. 2002

AL3.4.B Clean up and link State Rules Division databases (translation tables for modified structure, Rule History Database, Rule-filers, and Rule-makers) to provide a single source of information. 2002

4. Ensure that adequate resources are available to meet statutory obligations.

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

4.1.A Create individualized employee training plans that build needed skills or expertise; identify sources and costs for training; and assure that staff receives training according to plans. 2001 – 2005

PRM4.1.A Prepare and submit information for public records management staff.

PRM 4.1.B Prepare and submit information for archival management staff.

ADM4.1.A Prepare and submit information for administration staff.

AL4.1.A Prepare and submit information for administrative law staff.

NMH4.1A Prepare and submit information for New Mexico history staff.

4.1.B Maintain and update the agency's annual training plan. 2001-2005

All Submit training information to Administration. 2001-2005

ADM4.1.B Maintain and update the agency's annual training plan and track compliance with the plan through quarterly compliance reports. 2001 – 2005

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

PRM4.2.A Identify possible funding sources for motion picture film preservation and begin gathering information on staff requirements, scope of work, and funding requirements. 2002-2005

PRM4.2.B Write and submit a proposal for motion picture film preservation. 2002-2005

PRM4.2.C Identify suitable projects for alternative funding. 2002-2005

PRM4.2.D Submit proposals for projects, identified by deadline, of funding sources. 2003 - 2005

NMH4.2.A Obtain external funding support for the NM Historical Records Grant Program and other projects outlined in the 1998 Strategic Plan. 2002-2005

NMH4.2.B Apply for NHPRC grants to support the Board and its projects. 2002-2005

4.3 Appropriately classify and pay staff by 2004.

ADM4.3.A Identify and evaluate positions and salary for equity, and develop plan to upgrade salaries. 2002

ADM4.3.B Implement upgrades. 2003-2004

4.4 Increase the agency FTE and budget at a rate needed to support this plan.

ADM4.4.A Develop annual appropriation requests based on annual strategic plan requirements,

- requesting adequate funding to support the strategic initiatives and associated strategies and action plans. 2002-2005
- ADM4.4.B Within the appropriation requests, include program change requests for FTEs as dictated by plan requirements, including, but not limited to:
- two additional FTE for information systems - 2003;
 - one additional FTE for records management - 2003;
 - one additional FTE for Electronic Records – 2003;
 - one additional FTE to maintain the *NMAC* and the *NM Register* online – 2003
 - one additional FTE to implement an electronic records archives - 2004;
 - one additional FTE for the affiliated archive program – 2004;
 - one additional FTE for the RIAM compliance program – 2004; and
 - one additional FTE to support public information functions – 2005.

5. Advocate understanding and appreciation of New Mexico History.

- 5.1 Implement 70 percent of the New Mexico Historical Records Advisory Board Strategic Plan by 2005.
- NMH5.1.A Complete activities set in the annual Board work plan to carry out the objectives of its strategic plan. 2002-2005
- NMH5.1.B Develop partnerships to carry out the objectives of the strategic plan. 2001-2005
- NMH5.1.C Issue update to the strategic plan. 2005
- 5.2 Develop outreach programs that improve public understanding of NM History.
- NMH5.2.A Expand the NM History classes, with three outside of Santa Fe (south, east and west). 2001-2005
- NMH5.2.B Develop curriculum and identify trainers for a NM Government class. 2003
- NMH5.2.C Schedule and conduct NM Government class. 2003-2005
- NMH5.2.D Develop partnerships with other organizations to promote teaching of NM History in public schools. 2002-2005
- NMH5.2.E Develop and implement an oral history program in collaboration with educational institutions around the state. 2005