

## **COMMISSION OF PUBLIC RECORDS**

*Access to and preservation of New Mexico's public records*

In Fiscal Year (FY) 2002 the members of the **COMMISSION OF PUBLIC RECORDS** and their **designees** were:

<b>Stanley M. Hordes, Ph.D., Chair</b>	<b>Historian</b>
<b>The Honorable Rebecca Vigil-Giron</b>	<b>Secretary of State</b>
<b>The Honorable Domingo Martinez</b>	<b>State Auditor</b>
<b>The Honorable Patricia Madrid</b> , represented by <b>Al Lama</b> , Director, Civil Division	<b>Attorney General</b>
<b>Steven R. Beffort</b> , represented by <b>George Marquez</b> , Office of the Secretary	<b>Secretary, General Services Department</b>
<b>Thaddeus P. Bejnar</b>	<b>State Law Librarian</b>
<b>Tom Wilson, Ph.D.</b>	<b>Director, Museum of New Mexico</b>

In 1959 the newly adopted Public Records Act charged the Commission of Public Records with establishing a Records Center in Santa Fe and appointing a State Records Administrator to manage the facility, develop and maintain the State's records management program, and advise the Commission in related matters. The facility created to fulfill the statutory requirement is commonly known as the State Records Center and Archives (SRCA). The agency itself is also perhaps more frequently referred to by that name, although in statute it is designated as the Commission of Public Records. In FY 2002 L. Elaine Olah State was the State Records Administrator, directing a staff of 37 and using a management team approach and a strategic plan to guide the activities of the agency.

### **The 2002 Management Team**

<b>L. Elaine Olah</b> , State Records Administrator	<b>Sandra Jaramillo</b> , Archives and Historical Services Division Director
<b>Judi Hazlett</b> , Deputy State Records Administrator and Administrative Services Division Director	<b>Don Padilla</b> , Records Management Division Director
<b>Kathy Mattison</b> , Administrative Assistant	<b>John Martinez</b> , Administrative Law Division Director

The agency and its staff protect and preserve New Mexico's public records - records that in turn protect and preserve the rights of its citizens - and contribute to an efficient and open State government by providing a records management system for the State's public records, filing and maintaining the State's regulations and providing or advocating access to the State's public and historical records. In FY 2001 the Commission and the management team developed a strategic plan and mission statement to guide the agency during the next five years - a plan that is updated annually. As part of that strategic planning process, the agency adopted a vision and mission that focus the strategies adopted in the plan.

**The agency's vision:** *Access to and preservation of New Mexico's public records. Its 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 accomplish that mission, the SRCA is organized along functional lines into divisions and an adjunct board. The four divisions are Administrative Services, Administrative Law, Archives and Historical Services, and Records Management. In addition to the four divisions, the New Mexico Historical Records Advisory Board was created, through federal authorization and gubernatorial action, as an adjunct unit to the Commission.

### **ADMINISTRATIVE SERVICES DIVISION AND AGENCY MANAGEMENT**

The Administrative Services Division (ASD) provides support services to the program divisions of the agency. Those services include fiscal, personnel, facility management coordination and security administration, and information systems. Agency management comprises the State Records Administrator and the Deputy Administrator, who also serves as ASD Director, and an Administrative Assistant. In Fiscal Year (FY) 2002, the ASD and agency management had eight full-time equivalents (FTEs).

### **ADMINISTRATIVE LAW DIVISION**

The Administrative Law Division (ALD) administers the State Rules Act that governs the official filing of rules developed by State agencies. Rules promulgated by State agencies are intended to support and clarify the laws of New Mexico, and to be valid they must be filed with the SRCA and published in the *New Mexico Register*. The ALD publishes rules, as well as notices of intended rule making, in the *New Mexico Register* and provides access to the current rules of the executive branch through the *New Mexico Administrative Code*, an on-line compilation of those rules. 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, which had in FY 2002 four FTEs.

### **ARCHIVES AND HISTORICAL SERVICES DIVISION**

The Archives and Historical Services Division (AHSD) maintains, preserves, and makes available to the public the permanent records of New Mexico. Permanent records are added to archival collections by State agencies or through the donation of acceptable materials. Consultation and research assistance are provided to State agencies, businesses, and the general public. Archival documents are used to support the operations of government agencies, social services, and the judicial system. Archival collections also support scholarly studies, document citizenship and family histories, and help resolve land and water issues. Nine regular and one term FTE staffed the AHSD in FY 2002.

### **RECORDS MANAGEMENT DIVISION**

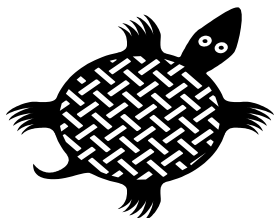
Government offices maintain vast amounts of records containing information that their employees must be able to locate quickly. To continue to preserve and provide public access to these records, a systematic records management program has been developed by the Records Management Division (RMD). Records management deals with the management and control of State agencies' records - their use, storage, and transfer, from their creation to their final disposition. Efficient and economical management involves the description of records used by State agencies. Records retention and disposition schedules provide this description and become

the basic tool of an agency's record and information management program. The RMD also offers warehouse management of inactive records as well as records disposition and records management consultation. In FY 2002 the Division was organized into three bureaus and had a total of 13.5 FTEs.

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

The New Mexico Historical Records Advisory Board (NMHRAB) was established to serve as the local advisory body for reviewing all New Mexico records preservation and access or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission. Since its establishment, the NMHRAB has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico's historical records. Seven members of the Board are appointed by the Governor and include historians, records managers, and archivists representing public and private interests throughout the state. The State Records Administrator is also a member and chairs the Board. In FY 2002 one part-time FTE (supported by a federal grant and general fund) provided staff support for this unit. A second part-time, temporary employee, supported through a federal grant, was hired late in the fiscal year to conduct assessments of local governmental and tribal historical records repositories.

## EXECUTIVE SUMMARY



Plan your work; work your plan, the saying goes. Fiscal Year 2002 was one of those years when the plan worked for everyone - and everyone really worked. In anticipating the activities for the year, the management team did not imagine just how much it had in store.

The agreement between the New Mexico Compilation Commission and the SRCA ended suddenly, forcing the agency to bring publication of the *New Mexico Register* and the *New Mexico Administrative Code* in-house. With little more than one week's notice, the staff of the Administrative Law Division (previously the State Rules Division) created the web site for publishing the *New Mexico Register* on-line and published the first issue. Subscribers were subsequently identified and notified of the change, and printers contacted for producing the print version of the biweekly publication. The first in-house publication of the *New Mexico Register* occurred on August 15, 2001.

Soon after, attention turned toward completion of *New Mexico Administrative Code*, so that it could be offered on-line by January, 2002. Although the private publisher under contract to compile the *Code* had been working on the project for the past six years, only 48 percent of the then-current State rules were available on the publisher-produced compact disk and web site. Determined to complete the *Code* in approximately four months, the State Records Administrator committed the resources of the agency to the project - staff was reassigned to assist, overtime was authorized, and volunteer assistance accepted; additionally, contractors and temporary staff were hired to supplement agency resources. The *New Mexico Administrative Code* went on-line on January 15, 2002 - an extraordinary effort by all.

One of the agency's priorities was providing on-line access to the collections of the SRCA. The agency's existing records inventory system did not provide the wide-area network capabilities necessary to allow agencies on-line access to information about their stored records. In the General Appropriation Act of 2001, money was appropriated for the acquisition of a replacement system. A Request for Proposals (RFP) was issued during the first half of FY 2002, with the contract awarded later in the year. The new application, *aRdocs*, was installed in May, although testing was to continue into FY 2003. The *aRdocs*, along with other databases developed within the SRCA, will feed the long-planned Public Records Locator Service (PRLS), development of which was also begun late in FY 2002. When the PRLS is completed, customer agencies and the public will have much-improved access to State government's public records as well as information about historical records repositories throughout New Mexico.

Of increasing importance is the (not so new) move toward records created in electronic format and storage in electronic media (newer). Governmental agencies in New Mexico have remained reluctant up until now to give up their paper - but it is now happening with increasing rapidity. Technology affords more and more opportunities for meeting the challenges of storing, and accessing stored electronic records. To better understand the technology and to develop appropriate standards for State agencies, the Commission of Public Records appointed a multi-agency Electronic Records Taskforce. Unfortunately, it proved difficult to get a continuing commitment from participants and, as a consequence, progress in FY 2002 was not as hoped. In order to develop needed staff expertise in electronic records management, an agency analyst position was converted to an Electronic Records Manager, with the requirements for the position calling for information technology training and experience as well as a records management background. To solidify the agency's commitment to dealing appropriately with electronic records, the Electronic Records Manager was assigned to the Micrographic Bureau, along with another analyst, and the Bureau was renamed the Electronic Records Bureau. The new

Electronic Records Bureau continued - and will continue to enforce the microphotography standards but will add electronic (not just digital) records on all media to its responsibilities.

Still in FY 2002, the SRCA remained committed to furthering public appreciation and use of the archival materials it holds. It also continued to support training in records, information, and archival principles and techniques.

The Governor proclaimed the week of October 7 through 13, 2001 as Archives Week. The event was marked by an opening reception at the New Mexico State Library, Archives, and Records Center. A series of lectures, held throughout the week, followed.

The Archives and Historical Services Division was successful in obtaining grants funds to begin work on the preservation of several historical films - a priority identified in the 2002 update to the agency's *Strategic Plan, 2001 – 2005*. It also advanced public access by continuing its archival imaging project, placing digital images of some 900 historical photographs on-line and providing on-line access, through the agency's web site, to other archival collections.

A National Historical Publications and Records Commission grant was awarded to the New Mexico Historical Records Advisory Board to fund: work on the PRLS; assessments of local and tribal governmental records; and scholarships to provide intensive training in records, information, and archival management for New Mexicans working in historical record repositories.

Finally, the agency focused on its employees. The HR2001 initiative, a project of the State Personnel Office to compress classifications, significantly impacted the agency in FY 2002. Aside from the budget implications of the project - which were significant, staff was affected by the confusion surrounding the slotting of some positions and the refusal of State Personnel to act on agency recommendations in others. The slotting created equity issues – only a few of which could be resolved by the end of the fiscal year.

To improve employees' access to agency information, an agency Intranet was developed and placed on-line in March, 2002. The Intranet provides access to policies and procedures, strategic plan priorities and program measure reports, training information, special notices, the agency web page, retention schedules, and the entire *New Mexico Administrative Code*.

Although resource limitations prevented the agency from achieving all that it had set out in its strategic plan, the year was both busy and productive – with the public and other users of SRCA services, as well as the SRCA staff itself, benefiting.



## ADMINISTRATIVE LAW DIVISION

The Administrative Law Division (ALD) is the filing point for rules promulgated by executive-branch agencies, for interstate compacts, and for county subdivision regulations. Agencies proposing to enter into rule making must also submit and have published in the *New Mexico Register* notices of their intent to do so. Rules are promulgated by State agencies to execute and support New Mexico statutes. Pursuant to the State Rules Act (Chapter 14, Article 4 NMSA 1978), for rules to be valid or enforceable, they must be filed with the SRCA and be published in the *New Mexico Register*.

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

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

The *New Mexico Register* is a semi-monthly publication where notices of intended rule making, newly promulgated rules, and amendments and repeals of existing rules are officially published. Notices of proposed rulemaking must be published in the *New Mexico Register* before an executive agency can proceed with the rule-making process. As noted earlier, a rule is neither valid nor enforceable until it is filed with the SRCA and published in the *New Mexico Register*. Generally, the full text of rules or their amendments are published. However, in some instances when publication of the full text would be economically infeasible or overly cumbersome or when a summary would be more informative, a synopsis of the full text is published, if the State Records Administrator approves. In addition, proposed rules are sometimes published in the *New Mexico Register* to afford the maximum opportunity for informing the public and the regulated community of intended regulatory action. After publication in the *New Mexico Register*, rules are compiled into the *New Mexico Administrative Code (NMAC)*. The following table shows the *New Mexico Register* activity over the past years.

<b><i>New Mexico Register</i> Activity</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>
Notices of rulemaking published	217	227	182	175
Adopted rule filing published	714	824	695	795
Proposed rules published	27	23	6	2
Synopses published in place of full text of adopted rules	13	15	9	8

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

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

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

## **Restructuring and Reformatting**

The original *NMAC* standards were officially adopted in 1995; however, rules were not immediately converted to the original prescribed style and format. By 2000, some 800 rules had yet to be converted. The delay in conversion kept the compilation from being completed; however, there were other difficulties as well. For example, the original *NMAC* hierarchy was overly complex. It lacked symmetry among like levels - agencies filed similar material at various levels within the hierarchy, inhibiting the creation of an easily searchable electronic code. Consequently, at the urging of the New Mexico Compilation Commission, the publisher, and many users, and facilitated by an advisory letter from the Attorney General, the SRCA undertook a restructuring of the *NMAC*, which, with the promulgation of five new rules on rule making, went into effect in February of 2000. The restructuring assured consistency in the anatomy of regulations filed under the State Rules Act. This facilitates understanding of the rules and simplifies automated access and retrieval as well as improves the SRCA's ability to maintain the electronic files into future generations of software.

## **Change of Publisher for the *New Mexico Register* and the *NMAC***

Until August, 2001, the *New Mexico Register* and the *NMAC* were both published through a contract with another agency, which then contracted with an external publisher. The arrangement carried certain advantages - primarily it saved the SRCA the expense of publishing in-house while it provided the *NMAC* in the same product with the compilation of the New Mexico statutes. However, there were downsides. The *New Mexico Register* was available only through paid subscription. Although an Internet version of the *NMAC* existed, it was difficult to use. To access enhanced search functions, it was necessary again to subscribe - and at a significant cost. The material was updated only quarterly, at best, which may work for statutory updates that occur usually only once or twice a year. It did not work well, however, for providing timely access to compiled rule material since changes to rules can be filed twice monthly. The *NMAC* also contained numerous errors, and the three-party publishing arrangement did not lend itself to ready correction of those mistakes.

Furthermore, the *NMAC* had never been completed, in large part due to the fact that many agencies had not met their responsibilities to convert rules to the original *NMAC* style and format. The conversion to the new *NMAC* style and format requirements created additional concerns. Early in FY 2001 it became increasingly apparent that the outside publisher was not going to complete the conversion of the already compiled rules within the agreed-upon time frame. Additionally, other problems over compliance with the legally promulgated style and format requirements, relationships with issuing agencies, and provision of information arose. During the spring of 2001, it became obvious that the publication agreement could not continue - the interests of the parties were too disparate.

During the first week in August 2001, the SRCA received a letter that terminated the publication agreement, effective back to August 1. The SRCA took over the publishing of the *New Mexico Register* and produced the first in-house issue on August 15, 2001. The issue was available in paper and electronic formats. The electronic format was offered, for the first time, free on the Internet. It provided the notices and rule filings as individual documents in both hypertext mark-up language (html) and portable document format (pdf). It also contained a pdf file of the three-column paper version, similar to what subscribers receive in the mail. The transition went very well with only a few difficulties.

One major problem occurred when the SRCA could not obtain the subscriber list to notify those with subscriptions of the change in publisher. It was important to the continuity of the production of the *New Mexico Register* that those who were accustomed to receiving the

publication continue to receive it, or least know that it was available free on-line. The SRCA decided the best course of action was to inform users and the general public in as many ways as feasible about the change in publisher and hope that subscribers would see the notice. Announcements were sent to all State agency heads and rule-contact people. Advertisements were placed in the *New Mexico Bar Journal*, the *Special Libraries Newsletter*, and the *Albuquerque Journal*. The major Internet search engines were notified as well as law research web sites. The advertising worked well, and many of the subscribers learned of the change in publisher. After a few months, the SRCA finally received a subscriber list and sent letters to each person on the list. Many subscribers decided not to renew their subscriptions for the paper version when the on-line version was free. The SRCA encouraged the use of the Internet version and planned for the budgetary impact of the reduction in subscribers and was pleased with the use of the web site. As of June 30, 2002, there were 20 paying subscribers, down from approximately 115.

The SRCA continues to publish the *New Mexico Register*, making it available on-line on the day of publication. The paper version is mailed to subscribers as close to publication day as possible. The SRCA also continues to improve the on-line version. For example, with each issue, the cumulative index, which contains a list of notices of rulemaking and another list of adopted rules, is updated. With the previous publisher, it was updated once a quarter at best, but now it is updated twice a month.

The rates for publication are established in rule and have remained the same as when the *NM Register* was published externally - the only difference is that now publishing entities pay the SRCA, rather than the outside publisher. The Division developed a database to track the charges for publication and for subscriptions to the paper version. The database is used to record charges, print invoices and affidavits, and generate statistics. The money received directly supports the costs of producing the publication in-house. With a portion of the funds, the SRCA hired an editor to assist in the publication, increasing the FTE of the Division to four.

Before the agency could budget the new revenue it realized from the publication of the *New Mexico Register*, however, the statutory language in the Public Records Act relating to the agency's revolving fund had to be amended. The Department of Finance and Administration determined that the then-extant language was insufficient to permit the SRCA to budget the revenue in the fund; further, the SRCA, like most agencies, was restricted to an increase of no more than four percent of the internal service funds appropriated. The agency submitted a Budget Adjustment Request for the four percent - or \$4.9 - and realigned its planned expenditures to enable support of the *New Mexico Register* and the *NMAC* until legislative remedies could be achieved.

The SRCA developed legislation to clarify and extend its authority to deposit funds in its revolving fund. Representative Luciano "Lucky" Varela and Senator Phil Griego agreed to carry the bill in their respective houses. The House version of the bill ultimately passed and was signed into law by the Governor. It contained an emergency clause and therefore went into effect immediately. Simultaneously, the agency sought to have language incorporated into the General Appropriation Act to lift the four percent limitation on budget increases in the revolving fund. The effort was ultimately successful. However, the Governor twice vetoed the general appropriation bills passed by the legislature, and it was only after an extraordinary session convened upon call of the legislature itself and a veto override that a bill enacted; consequently, the increase authority came too late in the year for the agency to use effectively.

As noted earlier, with the termination of the publishing agreement, the SRCA also took over the compilation of the *NMAC*. The SRCA made the rules available from a web site linked to the agency's main page. Like the *New Mexico Register*, rule text in the *NMAC* is available in both html and pdf formats. The html documents are searchable through a search engine purchased



from an independent provider. It searches the actual text of the rules and is capable of using complex Boolean logic.

For the first time, all rules as displayed on the web site conform to the numbering hierarchy and other format requirements established by SRCA rule. It was decided early in the development of the *NMAC* web site that the rule material should conform to these requirements, but this meant that approximately two-thirds of the rule text, or some 2000 rules, had to be reformatted - and this daunting task had to be accomplished in only a few months. To finish the reformatting, the SRCA enlisted the services of contractors, temporary employees, interns, volunteers, and most members of the agency. The State Records Administrator made the project a special mission, providing overall direction as well as assisting in the conversion effort, spending many hours on her own reformatting hundreds of rules. Over the next months, the *NMAC* web site took shape as rules were added title by title. Within five and a half months, the *NMAC* site was complete.

After the completion of both web sites, the SRCA continued its efforts to inform the public that rule material was available free on-line. For example, the SRCA set up a display in the Executive-Legislative Building on two days during the legislative session. The agency also presented the web sites at a library conference and at multiple *NMAC* training courses. A presentation was also scheduled for the Administrative Codes and Registers Conference (an affiliate of the National Association of Secretaries of State) early in FY 2003. On the whole, the comments received about the web sites were very positive. By the end of FY 2002 it appeared that many in State government and the general population had found their way to the sites and had begun using them regularly.

### ***NMAC* Training**

As mentioned earlier, to assist agencies in producing rules that meet the prescribed style and format requirements, the SRCA conducts monthly training. Previously offered only quarterly, training began to be offered, unless interest was insufficient, monthly with the adoption of the new style and format requirements in February of 2000. The content of the course was also expanded to include information on rule making in New Mexico State government in general and advice on how to use the prescribed word processing application more effectively in formatting rules. The courses are co-taught by the Deputy Director of the agency and the Director of the Administrative Law Division.

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

<b>Training Activity</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>
<i>NMAC</i> training sessions	4	7	10	11
Employees trained in <i>NMAC</i> sessions	62	145	89	66
Requested training sessions	Unknown	4	1	1
Employees trained in requested sessions	N/A	39	6	2

Although overall attendance has dropped since the high of FY 2000 (when the new style and format requirements were implemented), the need for regular training continues since those employees engaged in rule-related processes in the agencies change frequently. Further, employees of agencies that engage in rule making only infrequently may need to attend more than once.

### **Subdivision Regulations and Interstate Compacts**

The ALD is the central filing point for more than rules. Other instruments - specifically, county subdivision regulations and interstate compacts - must be filed with the Division before they can become effective. The ALD maintains databases of the filed material and makes lists of them

available on-line. The following table shows the number of county subdivision regulations and interstate compacts filed over the past several fiscal years.

<b>Type of Instrument Filed</b>	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>
County Subdivision Regulations	13	14	15	15
Interstate Compacts	10	17	10	10

### **FY 2002 ALD COST-BENEFIT ANALYSIS**

The ALD carries out the requirements of the State Rules Act (Chapter 14, Article 4 NMSA 1978) by functioning as the central rules-filing point for executive agencies promulgating rules, publishing the *New Mexico Register*, and compiling the *New Mexico Administrative Code (NMAC)*.

The rules issued by State agencies constitute administrative law. While, if properly developed, rules must be written pursuant to specific statutory authorization and within statutory parameters, they do spell out the administrative details – the “how to” – that provide for implementation of specific laws. And they also stand as law, until and unless successfully challenged. As such, they often have profound effect upon the way New Mexicans conduct their lives and businesses. Further, rules issued by one State agency may also affect the way other agencies and other governmental bodies carry out certain operations. Among other things, rules dictate the steps one must follow in securing a professional license and in keeping that license. They specify how one must qualify for various types of public assistance. They impose health, safety, and operational standards that businesses must meet. They instruct governmental entities and audit firms in how governmental financial audits must be conducted. And they govern many other aspects of the daily lives of New Mexicans. Consequently, access to those rules and to information about intended changes in them is critical if those whose lives and businesses are impacted are to be aware of the conditions with which they are supposed to comply and are to have the opportunity to have a say in the imposition of new rules or changes in existing ones.

Rule-making agencies are responsible for the content of their rules and for assuring that they do not exceed statutory authority. New Mexico, unlike many states, does not have a central authority responsible for reviewing rule content for legal sufficiency and reasonableness or for investigating whether issuing agencies have complied with process requirements. However, the State Rules Act defines certain minimum conditions that agencies proposing to promulgate rules must meet. As discussed previously, it mandates that executive-branch agencies file their rules, as well as notices of intended rule making, with the SRCA and that rules meet the style and format prescribed by the SRCA. The Act further requires that notices of rule making and adopted rules be published in the *New Mexico Register* and stipulates that rules must be so filed and published before they are valid and enforceable. It directs the SRCA to compile rules in an administrative code.

The benefits of the access provided both on site in the ALD and in the two publications are difficult to quantify. Access to law, including administrative law, and the ready availability of information about law making are fundamental to an open and democratic society. And, in New Mexico, it is the SRCA and its ALD that facilitate that access.

By providing a centralized filing point, by carefully maintaining and making available the collection of the official copies of rules and rule actions in the ALD, and by publishing the notices and rules in the *New Mexico Register* and compiling the rules in a logical order in the *NMAC*, the SRCA and its ALD provide New Mexicans - and indeed interested people wherever Internet service is available – with that critical access.

Without centralized filing with the ALD, without the *New Mexico Register* and the *NMAC*, access could still be provided – and, in fact, is provided – through individual agencies. However, anyone looking for notices of rule making about, or rules on subjects that cross agency lines or are related topically would be compelled to go from agency to agency – hardly a process that promotes openness and participatory democracy.

Following is a more detailed discussion of some of the ALD's principal functions and their attendant benefits.

### **Centralized Rule Filing and Uniform Style and Formatting**

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

The SRCA has also established uniform style and formatting requirements that aid in the research of rules. At one time, style and formatting requirements were minimum – with the result, a confusion of internal structures and appearances for rules. With the implementation of the *NMAC*, that changed as more stringent requirements were adopted, although the original *NMAC* style and format specifications also caused problems, as delineated earlier in this narrative.

The current format requires that seven categories of important information, such as issuing agency, scope, effective date, and duration, be placed at the beginning of each rule. Researchers see the descriptive information about a rule right at the beginning. The rules also have similar internal organization so that uniform citation methods can be used and so that the user becomes accustomed to the way a rule looks and is structured.

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

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

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

Again, as explained above, the *New Mexico Register* was previously only available by paid subscription through an outside publisher. The SRCA decided when it took the publication in-house in August of 2001 to make it available to the public on-line and free of charge, although it still offers a for-fee, paper version for those who prefer. The on-line version greatly expanded the availability of the publication as well as eliminated subscription costs for the majority of previous subscribers. Instead of paying \$270.00 a year, agencies and other users can now access the information, in the exact same format, for free. In the past, there were approximately 115 subscribers, many of whom were State agencies. At the end of the 2002 fiscal year, there were 20 paying subscribers, only a few of which were State agencies

The SRCA, late in fiscal year 2002, began producing the cumulative index to the *New Mexico Register*. This listing documents all notices of rule making and adopted rule text throughout the year and is updated with each issue. It enhances access by providing an excellent research tool that saves users time investigating the rule activities of State agencies. The index is organized alphabetically by agency, which facilitates easy review of all hearings and rule changes an agency has made over the last calendar year.

The SRCA retained the \$1.50 per inch charge for agencies publishing in the *New Mexico Register*. As discussed in the *Primary Responsibilities* section of this narrative and at the conclusion of the *Cost-Benefit* section, that revenue is used to support the position of publication editor and other related publication expenses.

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

The *NMAC* is a compilation of the current rules of executive-branch agencies (and of a few judicial agencies that voluntarily file with the SRCA), organized by subject. Each rule is assigned a unique number so that it can be found easily. As discussed in more detail in the *Primary Responsibilities* section, above, in August of 2001, the contract that provided for publication of both the *New Mexico Register* and the *NMAC* was terminated. Upon termination of the contract, the SRCA assumed the responsibility of completing the conversion of all rules to the new style and format and of compiling the rules into a free, on-line version available through the agency's web site. Placing titles on-line as they were converted, the agency completed the *Code* in January of 2002. For the first time, the rules were available in one format, with one numbering system. As a result, it is much easier now than ever in the past to find rules, especially since the web site is available to all and free of charge.

The *NMAC* web site has improved the ability to locate rules. If the *NMAC* number is known, one can quickly click through the appropriate links and find the text of the rule. If the *NMAC* number is not known, one can use the search engine on the web site. The SRCA has heard from other agencies, most notably the State Library, that the website, especially the search engine, has saved them time. The reference librarians are able to find rules within a few minutes while in the past it would have taken much longer.

The SRCA produced a citation conversion database on the *NMAC* site that converts a prior numbering of a rule to the current numbering system. People save time finding the new number of a rule by simply typing in the old number and being directed first to the new number and then, if desired, to the actual text of the rule.

The *NMAC* web site, for the first time, can be read by programs that assist the visually impaired. The SRCA learned that, in the past, State employees who used assistance devices on their computers did not have access to State rules because the way the rules were placed on-line would not allow the assistance devices to work properly. One employee had to print the rule to paper, and then scan it before the assistance device would read the text. The process was time-consuming and would result in changes to the text from time to time. Ensuring the *NMAC* web site is compatible with the assistance devices saves time, money, and frustration for those who rely on such devices.

The *NMAC* website was designed so that others can link to whatever level, down to the part, of the *NMAC* that works best for them. For example, one can link to the front page; to the list of the 22 titles; or to an individual title, chapter, or part. The *NMAC* site is updated once a month, when the new rules, amendments, and repeals that went into effect the previous month are added to the compilation. The SRCA retains the same web addresses for the titles, chapters, and parts so that links to the web site will work even after rules are amended. Accordingly, web

designers who link to the *NMAC* web site do not have to worry about updating their sites with each amendment. A number of agencies have stopped mailing their rules to affected parties or placing their rules on their web sites and instead just link to the *NMAC* web site. They find it is easier to disseminate their regulations using the *NMAC* website. One agency says it has saved money by referring regulated parties to the *NMAC* website. In the past it mailed out copies of new rules and amendments to users all over the state. The SRCA itself has saved money by referring people to the retention schedules (filed as rules) instead of mailing copies of those rules.

## **Costs**

Obviously, the kind of open access and ease of use provided through the standardization of style and format and the enforcement of those requirements, the centralized filing and continuing maintenance of rules, and the publication of the *New Mexico Register* and the *NMAC* carry a price tag. The direct costs incurred by the ALD in performing its responsibilities were \$211,081.00 for FY 2002. These costs included salaries and benefits for the four employees and temporary workers hired to help in the conversion process; contractual costs for additional assistance in the conversion and proofing of the *NMAC*; and supplies, equipment maintenance, and other miscellaneous goods and services. If the indirect costs of management and administrative services allocated to the ALD are added in, the total costs for FY 2002 rise to \$294,800.00. These costs were offset by \$48,723.00 in revenue generated through fees charged for publishing in the *New Mexico Register* and for the few remaining subscriptions for paper copies, reducing the total to \$246,078.00.

Of these costs, by the far the majority are those associated with the long-established functions involved with the filing of rules with the Division - the review and proofing of those rules for style and format compliance and for consistency between electronic, paper, and published versions; the assistance and training provided filing agencies; the maintenance of software applications; and the actual filing and maintenance of the rules themselves. The only significant, added general fund expenditures in FY 2002 were those made for temporary and contractual help in the conversion and proofing processes – and these were expenditures that were needed regardless of publisher and that will not continue once the *Code* is fully proofed.

One of the most cost-effective acquisitions the agency made was the search engine for the *NMAC*. Since in some other states the costs associated with providing search capabilities for on-line publications were prohibitively high, the SRCA was concerned that it would be unable to afford to offer effective search functions – and would thus significantly reduce the utility of the *NMAC*. Fortunately, after thorough research, the agency obtained license to a search engine that, as noted previously, searches the full text of the rules and is capable of using complex Boolean logic – and the price was approximately \$150.00.

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



*Color Guard, Santa Fe,  
1942, Dept. of Tourism,  
#001379*

## ARCHIVES AND HISTORICAL SERVICES DIVISION

The Archives and Historical Services Division (AHSD) is the steward of the public records entrusted to the care of the SRCA. In fulfillment of that public trust, the Division endeavors to ensure the integrity and trustworthiness of all public records by providing a secure and stable environment. It works to educate the public on the value of historical records through various outreach programs such as exhibits, tours, presentations, and publications.

### ARCHIVES BUREAU

The Archives Bureau performs a full range of activities to manage collections effectively and to provide the public access to these priceless treasures of New Mexico history.

#### FY02 High Points

The preservation of the motion picture film collection was identified as a priority in the agency's *Strategic Plan, 2001 - 2005*. By preserving and broadening access to motion picture film collections, the SRCA hopes to expand and strengthen public knowledge about the extent of our cultural resources. High points for FY 2002 included the award of three preservation grants totaling \$9,527.00 that were used to restore films from the Historical Film Collection. Through the fervent efforts of Archivist Brian Graney, the agency received awards from the New Mexico Historical Records Advisory Board (\$4,000.00), the National Film Preservation Foundation (\$4,225.00), and the Historic Preservation Division's Small Grant Program (\$1,302.00). Films selected for restoration include: *Los Alamos Ranch School and Summer Camp* (1929-1930), from the Fermor Church Collection; *San Ildefonso-Buffalo and Cloud Dances* (1929), filmed by Virginia Adams; and *Indian Portraits-CCC* (1939), a film from the Robert and Evelyn B. Measles Collection. The New Mexico Historical Records Advisory Board grant will be used to inspect and clean 1,446 reels of film and house them in appropriate containers.

#### Managing Records

By managing public records in an orderly and systematic way, those records become a tremendous asset. They provide evidence of actions essential to all three branches of New Mexico State government. Evidence of past events may be used as the basis for future actions. Without reliable records, government cannot be held accountable; without accountability we have no democracy. In direct support of the Commission of Public Records strategic objective to "*have public records managed properly, in accordance with Records Information and Archival Management principles, throughout their life cycle,*" the Division selected, appraised, processed, and preserved records of evidential, informational, and research value. Records for archival appraisal and permanent retention are identified in State agency record retention and disposition schedules. State agency records selected for permanent retention are transferred to the Archives from the Records Center. Acquisitions are also obtained through private donations. Donations must fall within the scope of the SRCA collecting policy in order to be considered for acquisition by the Commission of Public Records. Donations of significant research value acquired during FY 2002 include the New Mexico Jewish Historical Society Collection, which had been on loan to the State Archives since 1988.

### FY 2002 ACCESSIONS

<b>PUBLIC RECORDS ACCESSIONED</b>	<b>CUBIC FEET</b>
Board of Pharmacy	4.25
Commission of Public Records	1.5
Corrections Department	1.5
Department of Education	1.5
Public Safety Department	31.0
Government Publications	15.25
Health and Environment Department	18.0
Legislative Council Service	11.5
Legislative Finance Committee	1.0
New Mexico Film Commission	4.0
Secretary of State	6.0
Socorro County	1.5
State Land Office	22.0
State Library	3.5
Valencia County	1.0
	<b>MICROFILM ROLLS</b>
Commission of Public Records	2
Highway and Transportation Department	15
Santa Fe County Deed Books	46

<b>PRIVATE PAPERS ACCESSIONED</b>	<b>CUBIC FEET</b>
Bart Durham Collection of A. A. Jones Essays	0.25
Lois Franke Manuscript on Judge Frank Torres	1.0
Koegel Collection	0.25
Jose Maria Martinez y Sandoval Family Papers	0.25
New Mexico Jewish Historical Society Collection	36.5
Miscellaneous Land Conveyances	0.25
Sara Melton Collection	51.0
Joseph J. Mullins Collection	1.0
Joe and Diana Stein Collection	11.25
Santa Fe Chamber Music Festival Papers	0.25
WPA County Inventories	0.25
	<b># OF ITEMS</b>
Avery Smith Collection of "Old Mexico" photographs	30
B. G. Randall postcards	31
Camp Cody Photograph Collection	21
Minneapolis Public Library Collection of NM photographs	12
Ninth Mounted Engineer Co. "A" photographs	24
	<b>MICROFILM ROLLS</b>
1911 Report of NM - Texas Boundary Survey	1
J. Vidal Quintana Mercantile Account Books	2
	<b>VIDEO AND AUDIO</b>
St. Francis School Music Album Collection	400
State Records Center and Archives Video Collection	3

**How Have We Served the Public?**

To meet the agency’s strategic initiative #3, *have a comprehensive, authoritative locator service for all public records*, the AHSD made significant progress by providing on-line access to archival collections. An upgrade to the archival management software originally purchased in 2000 was implemented in January 2002. Collections were placed on-line through the SRCA web site. The upgrade, “WebGENCAT,” which allows searches throughout all existing collections with one simple query, permits patrons to view container lists for collections and determine whether collections are relevant to their research. Patrons can be confident that searches for data will find all pertinent records regardless of the collection to which they are assigned.

In the General Appropriation Act of 2000, the SRCA received an appropriation to underwrite an archival imaging project. The money was used to acquire the hardware, software, and staff assistance necessary to support an extended effort to image and place on-line historical photographs and documents, thereby both increasing access and helping to preserve these fragile records. Based on a needs assessment, the first phase of the project involved the imaging of some of the more frequently requested photographs from the approximately 90,000-item collection. At the end of FY 2002, some 900 had been digitized and made available on-line. As a test for another phase of the project, some historical paper documents had also been imaged. Additionally, the Electronic Records Bureau of the RMD was in the process of converting key archival collections, already on microfilm, to electronic format for sale to the public (please see the discussion under the *Records Management Division* section of this report).

Additionally, the Division:

- helped thousands of individuals trace their families' genealogies;
- helped thousands of visitors learn history from original documents in exhibits in the archival facility;
- enabled numerous researchers to find information and illustrations for books, articles, films, and television documentaries;
- helped, through its work on records appraisal, processing and preservation, ensure that future generations of New Mexicans will find the records they will need;
- assisted grantee heirs, scholars, and legal experts from all over New Mexico in identifying and locating Land Grant documents; and
- enabled researchers, students, and teachers to find out about records in the agency’s holdings through their computers at school, at work, and at home.

**COMPARISONS OF STATISTICS FOR REFERENCE ACTIVITIES FY 2001 AND FY 2002**

<b>ACTIVITY</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>%</b>
Visitors	5,480	5,334	-03%
Telephone Inquiries	5,484	5,596	+02%
Correspondence	294	363	+19%
E-mail	489	499	+02%

**FY 2002 RECORDS PROCESSED**

<b>PUBLIC RECORDS PROCESSED</b>	<b>EXTENT</b>
Adjutant General Records	326.5
Attorney General Records	1026.5
Government Publications	15.25
Governor Anaya Papers	51.0
Governor King Papers, Second Term	59.0
Military Affairs Department	7.0



<b>PUBLIC RECORDS PROCESSED</b>	<b>EXTENT</b>
Maps	5.0
New Mexico Historical Records Advisory Board	1.0
New Mexico State Archives Film Collection Files	6.5
Socorro County Records	1.5
Valencia County Records	1.0
<b>PHOTOGRAPHS</b>	
Adjutant General Photograph Collection	233
SRCA photograph collection	26

<b>PRIVATE RECORDS PROCESSED</b>	<b>EXTENT</b>
Bart Durham Collection of A. A. Jones Essays	0.25
Lois Franke Manuscript on Judge Frank Torres	1.0
Koegel Collection	0.25
Wendall Hall Papers	5.0
Los Alamos Mutual Savings & Loan Collection	1.5
Jose Maria Martinez y Sandoval Family Papers	0.25
Miscellaneous land conveyances	0.25
Joseph J. Mullins Collection	1.0
Avery Smith Collection of Rufina Vigil Papers	1.0
Robert Torrez Newspaper Collection	2
Nina Otero Warren Autograph Book	1
Avery Smith Collection of "Old Mexico" Photographs	30
B. G. Randall Postcards	31
Camp Cody Photograph Collection	21
Minneapolis Public Library Collection of NM photographs	12
Ninth Mounted Engineer Co. "A" photographs	24
Archdiocese of Santa Fe Books of Baptism	51
St. Francis School LP Collection	421

### **Archives Week**

Governor Gary Johnson proclaimed the week of October 7 through 13, 2001 as "New Mexico Archives Week." Archives Week is a means of promoting an appreciation for archival institutions, which are instrumental in collecting, organizing, and preserving materials that document our history, government, and culture. The theme chosen for Archives Week was *Nourishing Visions And Voices: Remembering Education In New Mexico*. Events included an opening reception, tours of the AHSD, exhibits from other repositories, panel discussions, a film screening, and special open hours for genealogists on Saturday, October 13. Topics for the panel discussions included: *Documenting New Mexico's School Histories, Recording and Making History in Peñasco by Connecting Students, Teachers, and the Community*, and *The History of Education in New Mexico: Place, Position, and Perspective*.

### **HISTORICAL SERVICES BUREAU**

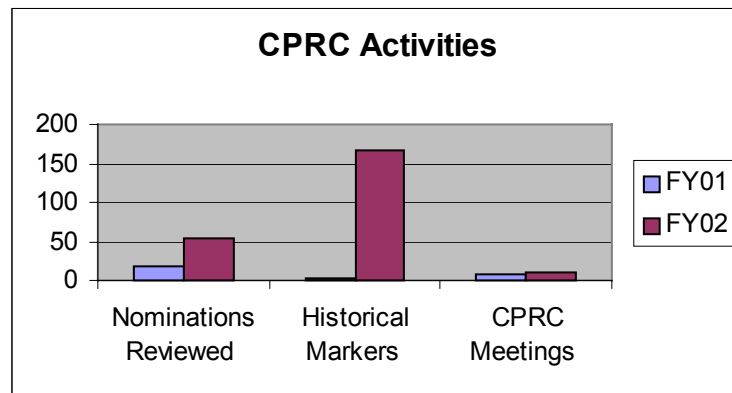
The State Historian, Dr. Estevan Rael-Galvez, staffs the Historical Services Bureau. In concert with the agency's strategic initiative #5, *advocate understanding and appreciation of New Mexico history*, Dr. Galvez, who received his doctorate in American Studies from the University of Michigan in May of 2002, conducts programs and research designed to promote and enhance appreciation and understanding of New Mexico's history and its cultural resources. Professional and public outreach programs conducted by the State Historian include workshops, lectures, seminars, publications, and tours.

### **Boards and Committees**

The State Historian serves as a member of several committees and boards, including the New Mexico Historical Society, the Guadalupe de Hidalgo Task Force, and the Padre Antonio Jose

Martinez Memorial Committee. He also sits as a statutory member of the Cultural Properties Review Committee (CPRC). The CPRC is the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. The State Historian reviews nominations for the Cultural Properties Register and prepares text for official, scenic historic markers. The following table identifies CPRC activities for FY 2002.

<b>CULTURAL PROPERTIES REVIEW COMMITTEE</b>	<b>FY 2001</b>	<b>FY 2002</b>
Nominations Reviewed for Cultural Properties Register	17	53
Official Scenic/Historical Marker Text prepared and approved	2	167
Cultural Property Review Committee Meetings Attended	7	9



### Consultation

Historical interpretation may be presented in a variety of formats. All interpretation must be based upon sound scholarship and thorough research. As an advocate and authority on matters relating to the interpretation of New Mexico History, the State Historian provided consultation services to several federal, state, and local governmental agencies. Dr. Galvez served as a technical consultant to the New Mexico Historical Records Advisory Board on oral history guidelines and as a grant reviewer. He also advised scholars, students, and colleagues on various topics. During FY 2002, Dr. Galvez:

- served as a consultant to the Farm and Ranch Heritage Museum, National Endowment for the Humanities (NEH) Consultation Grant;
- served as a consultant to the Alfonso Ortiz Center, University of New Mexico, NEH Consultation Grant;
- provided consultation to Carmela Quito, Millicent Rodgers Museum on historical uses of Spanish terminology and chronologies;
- provided consultation to Carlos Vasquez, National Hispanic Cultural Center, on Hispanic chronology in New Mexico;
- consulted with students at New Mexico Highlands University on Indian, Spanish, and Mexican relations; and
- consulted with Rebecca Hernandez, Native American Museum Studies, University of New Mexico regarding education program for Native American curators.

### Research and Collaborations

As noted earlier, Dr. Galvez received his Ph.D. in May, 2002 and plans to submit his dissertation, *Identifying Captivity and Capturing Identity: Narratives of American Indian Slavery Colorado and New Mexico, 1776-1934*, for publication in FY 2003. In FY 2002, Dr. Galvez sought to develop partnerships with various organizations and institutions to promote historical understanding and the teaching of New Mexico History in public schools. He worked with Dr. Craig Newbill of the New Mexico Endowment for the Humanities (NMEH) on various collaborations. Dr. Galvez met

with Elizabeth McMann-Herrera and colleagues from Mexico City to discuss possible collaborations for cross-cultural and historical exchanges between Mexico City and Santa Fe. He began collaboration with the New Mexico Arts Institute, Culture Net, the School of American Research, and the National Hispanic Cultural Center with a focus on issues of land. Dr. Galvez began an educational collaboration with Agnes Chavez, *SUBE Connects*, which will forefront digital storytelling in the classroom, highlighting culture and history, not just locally, but nationally. The State Historian also made presentations to: the Museo Cultural in Santa Fe in April, 2002; the Museum of New Mexico Docents; and to the NMEH Teachers Institute in June, 2002.

### FY 2002 AHSD COST-BENEFIT ANALYSIS

The Division recognizes that cost-benefit analysis is intended to produce information to improve the quality of public policy decisions. In this case, quality refers to the measure of social well-being conveyed to the citizens of New Mexico through services provided by the AHSD. The functions performed by AHSD are consistent with the strategic initiatives, strategies, and action steps identified in the agency's *2002 Update* of its *Strategic Plan, 2001 – 2005*, as discussed below.

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

The primary goal of this initiative with respect to the AHSD is to develop among archivists, records managers, librarians, and museum curators an understanding of the professional skills required to manage an archival repository successfully. Training conducted by archival staff provides theory, principles, and best practices.

ACTIVITY	% STAFF RESOURCES	HOURS WORKED	COST	OUTPUT MEASUREMENT	PERCEIVED BENEFITS
SRCA Training Program	8.5%	884	\$48,045	6 workshops presented	Historical records throughout NM are preserved

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

To protect and preserve the public records of the State of New Mexico, the AHSD employs preservation strategies based on: maintaining routine holdings, providing optimal storage conditions, reformatting fragile documents, and increasing acquisition of permanent State government records. The AHSD can effectively hold down the costs associated with the maintenance of historical records by providing the proper storage containers and physical environment. Agencies maintaining permanent records on site often lack sufficient knowledge, skills, and abilities to provide access to and preservation of historical permanent records.

ACTIVITY	% STAFF RESOURCES	HOURS WORKED	COST	OUTPUT MEASUREMENT	PERCEIVED BENEFITS
<b>Accessions</b>	6%	749	\$39,308.00	258 cubic feet 8 reels of film 66 rolls of microfilm 207 photographs	<b>Public records are preserved for current and future use.</b>
<b>Processing</b>	12%	1,503	\$78,877.00	1,549 linear feet	<b>Public records are made available for use.</b>
<b>Preservation</b>	11%	1,373	\$72,055.00	13,787 file folders 628 linear feet	<b>Life of public records is extended through implementation of archival procedures.</b>

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

The AHSD makes public records available to its citizens by providing access through the Internet and on site at the State Library, Archives, and Records Center facility. Intellectual access to collections is provided through on-line databases such as the On-line Archives of New Mexico. Citizens everywhere, from young elementary school students to scholars, can access information about collections through the Internet. Mounting finding aids on-line requires archivists to catalog collections according to Machine Readable Cataloging (MARC) and Encoded Archival Description (EAD) standards. Cataloging has become part of the regular workflow.

ACTIVITY	% STAFF RESOURCES	HOURS WORKED	COST	OUTPUT MEASUREMENT	PERCEIVED BENEFITS
Reference	28%	3,494	\$183,365.00	10,962 requests	Patrons are satisfied.
Cataloging	10.5%	1,310	\$68,749.00	710 catalog records 235 encoded records 52 finding aids	Collections are identified and classified.
Imaging Project	7%	8,736	\$458,465.00	2,133 photographs 917 prepped	Access is expanded and materials are preserved.

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

The knowledge, skills, and abilities of AHSD staff members directly impact their ability to provide services to the public and to care for archival collections. A priority for FY 2002 was to provide individualized training plans for all staff members.

ACTIVITY	% STAFF RESOURCES	HOURS	COST	OUTPUT MEASUREMENT	PERCEIVED BENEFITS
Staff Training	10.5%	1,310	\$68,749.00	22 workshops 5 conferences 22 lectures 23 classes	Staff is appropriately skilled.

Initiative # 5: *Advocate understanding and appreciation of New Mexico history.*

The mission of the Historical Services Bureau of the AHSD is to advocate an understanding and appreciation of New Mexico history. The State Historian provides various outreach services to schools, libraries, museums, historical societies, benevolent organizations, and local governments. He is available for consultation with State and local governmental and federal agencies on matters relating to the interpretation of New Mexico history and management of cultural resources.

ACTIVITY	% STAFF RESOURCES	HOURS WORKED	COST	OUTPUT MEASUREMENT	PERCEIVED BENEFITS
Consultation provided government agencies and public	14%	291	\$11,573.00	36 consultations 472 telephone calls 169 E-mail 83 correspondence	Governments and the public benefit from authoritative information.
Public outreach	10%	208	\$8,272.00	4 lectures 2 published articles 2 research papers 3 radio interviews	Public knowledge of archival and historical resources is broadened
Cultural Properties Review Committee	30%	624	\$24,816.00	167 historical markers 53 register nominations 9 CPRC meetings	New Mexico's historic properties are preserved



Emiliano y Eufemio Zapata con esposas  
*.D. Padilla Private Collection*

## RECORDS MANAGEMENT DIVISION

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

### AGENCY ANALYSIS BUREAU

Records and information management is the orderly control of records and information from creation to final disposition. It is imperative to know what records to keep and what records to destroy. Accordingly, RIM programs provide a timetable for maintaining and disposing of an agency's records and information. The Agency Analysis Bureau provides the necessary tools for addressing the State's records and information problems through both consultation with public entities and through the development, filing, and issuing of records retention and disposition schedules (RRDS) that identify the support and program records of an agency. These schedules form the basis for the development and implementation of RIM programs that address the application of economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of the State's public records.

Through the inspection and survey of an agency's records and information, the staff of the Agency Analysis Bureau can determine the retention period or complete life cycle of records and information created and maintained. Through the development and promulgation of these schedules, the disposition of those records is set – destruction or transfer to the State Archives either as permanent records or as records for review and final disposition. Schedules developed, filed, and issued in FY 2002 include:

- 1.18.669 NMAC New Mexico Health Policy Commission (new RRDS);
- 1.19.9 NMAC New Mexico Municipal Courts (new RRDS);
- 1.19.240 NMAC New Mexico District Courts (new RRDS);
- 1.18.632 NMAC Workers' Compensation Administration (RRDS modification – two times);
- 1.19.8 NMAC New Mexico Municipalities (RRDS modification);
- 1.18.394 NMAC State Treasurer (RRDS modification);
- 1.18.469 NMAC State Racing Commission (RRDS modification);
- 1.15.2 NMAC General Administrative Records (RRDS modification – two times);
- 1.15.3 NMAC for genealogists General Administrative Records – interpretive (RRDS modification – two times);
- 1.18.665 NMAC Department of Health (RRDS modification – three times);
- 1.15.4 NMAC General Financial Records (RRDS modification);
- 1.18.370 NMAC Secretary of State. (RRDS modification);
- 1.18.430 NMAC Public Regulation Commission (RRDS modification);
- 1.18.350 NMAC General Services Department (RRDS modification);
- 1.18.790 NMAC Department of Public Safety (RRDS modification); and
- 1.18.805 NMAC Highway and Transportation (RRDS modification).

Along with the development of these RRDS, the staff of the RMD provided training, consultation, and information on records and information management. During this period, four records liaison training sessions were conducted in records storage, destruction, and indexing; 134 State government employees attended these sessions.

Consultation on records and information issues was also provided to 16 State government agencies and to two local government entities. Division staff responded to 4,719 requests from State government and 1,187 requests from local government entities for information on records and information management. These figures represent a 25 percent increase over FY 2001 in requests for information from State government and an almost 50 percent increase from local governments. About 768 hours of staff time was spent on responding to these requests that ranged from how to fill out storage and disposition forms to questions on the management of electronic records.

In October, 2001, the Division Director attended the international Association of Records Managers and Administrators (ARMA) conference in Montreal, Canada. The ARMA sessions, which are specifically designed for librarians, archivists, and records managers, provided a deeper understanding of issues and concepts about records and information management, storage, preservation, and disposition regardless of record media. In the spring of 2002, Division staff attended the annual conference presented by Albuquerque's Rio Grande Chapter of ARMA. The sessions of the local ARMA chapter also dealt with records and information management along with web page design and the management of records in electronic media.

#### **MICROGRAPHICS SERVICES/ELECTRONIC RECORDS BUREAU**

In late FY 2002 the State Records Administrator reorganized the RMD by reclassifying a position, reassigning staff, and renaming the Micrographics Bureau as the Electronic Records Bureau. The purpose was to provide a means, organizationally, to address what the agency's considers perhaps the most significant records management challenge facing it, and indeed all agencies – the effective management of electronic records. In order to address issues surrounding the access to and the management and disposition of electronic records, the Commission of Public Records previously also created the Electronic Records Task Force. The Task Force comprises SRCA staff, including the Directors of the Records Management and Archives and Historical Services Divisions, and representatives of the Information Technology Management Office, the Information Systems Division, and major user agencies. A member of the Commission, Supreme Court Law Librarian, Thaddeus Bejnar, serves as Chairman. Unfortunately, it proved difficult to get a continuing commitment from participating agencies, and, as a consequence, progress was not as great as wished. The RMD Director continued, however, to work on the development of standards to govern the management of electronic records. Rule material was distributed to Task Force members and other interested parties for discussion and critique; however, no one had responded by the end of the fiscal year. Further, he, in yet another effort to gain support of key agencies, delivered a presentation on electronic records to a meeting of the Information Technology Commission. It is hoped that the creation of an organizational unit within the SRCA to address electronic records management, the continuing effort to engage State agencies in the management process through the Task Force, and additional educational efforts, among other initiatives, will move the State toward a recognition of the importance of electronic records management and the implementation of appropriate management standards - before critical records are irretrievably lost.

In addition to new responsibilities relating to electronic records, the Electronic Records Bureau continues the functions of the previous Micrographics Services Bureau. Through its film inspection program, it monitors the microform (microfilm and microfiche), computer output microfilm (COM), and electronic imaging production of State agencies and the district courts for adherence to standards that have been approved by the Commission of Public Records. During

FY 2002, 2,560 rolls of microfilm were inspected. Film production compliance with *1.14.2 NMAC, Microphotography Standards* resulted in a rejection rate of less than one percent. The Bureau accepted 6,693 rolls of microfilm for off-site security storage. Additionally, 8,919 rolls of microfilm were destroyed during the fiscal year, bringing the total number of microform units (roll film, microfiche, com) stored to 148,645 rolls. At approximately 2,400 images per roll, this represents 356,748,000 images stored. This was almost a nine percent decrease over the previous fiscal year's holdings. The following table lists the microfilm holdings and activities by agency.

Agency Name	Beginning Inventory 7/1/2001	Microforms Inspected	Microforms accepted into storage	Microforms destroyed	Rolls of film permanently withdrawn	Ending Inventory for FY02
Corrections, Dept. of	406					406
Educational Retirement Board	710					710
Energy, Minerals, & Natural Res.	1,231					1,231
Engineer's Office	10,458		1			10,459
Environment Dept.	223	40	40			263
Finance & Administration, Dept. of	5,480	5	12	1,274		4,218
Game & Fish, Dept. of	17					17
General Services Department	87					87
Health, Dept. of	974	18	18			992
Highway & Transportation Dept.	6,567	173	167		216	6,518
Human Services, Dept. of	1,019	140	178			1,197
Labor, Dept. of	4,770					4,770
Land Office	1,852	9	7			1,859
Livestock Board	2					2
Nursing Board	1					1
Office of Cultural Affairs	851					851
Prof. Engineers & Land Surveyors	346					346
Public Employee's Retirement Assoc.	136					136
Public Regulation Commission	17,032	23	1,091			18,123
Public Safety, Dept. of	17					17
Real Estate Commission	0	57	26			26
Regulation & Licensing, Dept. of	608		31			639
Secretary of State	376	13	8			384
State Auditor	218					218
State Investment Council	6					6
State Personnel	1,386	4	3			1,389
State Records Center	1,655	8	6			1,661
State Treasurer	2,878		28			2,906
Taxation & Revenue, Dept. of	49,866	492	3,521	7,645	24	45,718
Veterans' Service Commission	65	1	1			66
Workers Compensation Admin	1,274	42	42			1,316
<b>TOTAL EXECUTIVE AGENCIES</b>	<b>110,511</b>	<b>1,025</b>	<b>5,180</b>	<b>8,919</b>	<b>240</b>	<b>106,532</b>

<b>NON-EXECUTIVE AGENCIES</b>						
Albuquerque-TVI	23					23
Carrie Tingley Hosp.	42					42

<b>NON-EXECUTIVE AGENCIES</b>						
Colleges: Eastern NM Univ	154					154
Counties	9,332	512	407			9,739
Court of Appeals	1,356		0			1,356
District Courts	22,902	853	973			23,875
Judicial Standards Commission	47	7	7			54
Municipalities	203	53	53			256
School Districts	1,166	101	64			1,230
Supreme Court	2,143	9	9			2,152
<b>TOTAL NON-EXECUTIVE AGENCIES</b>	<b>37,368</b>	<b>1,535</b>	<b>1,513</b>	<b>0</b>	<b>0</b>	<b>38,881</b>
<b>GRAND TOTAL</b>	<b>147,879</b>	<b>2,560</b>	<b>6,693</b>	<b>8,919</b>	<b>240</b>	<b>145,413</b>

Filming of archival collections by the Bureau was limited to records brought in from the New Mexico State Land Office. Nonetheless, the Bureau did initiate a new microfilm-scanning project of archival collections. This process allows for the conversion of archival collections from microfilm to an electronic format. At the end of FY 2002, the Sender Collection, the Spanish Archives of New Mexico (SANM) II, and the Translations to the SANM I and II had been scanned and placed in electronic format. These collections are available on CDs for sale to the public.

The Bureau also recommended the approval of a modification to the imaging system plan for the Oil Conservation Division of the New Mexico Energy, Minerals and Natural Resources Department pursuant to 1.14.2 NMAC, Microphotography Standards. The general purpose of the system is to replace paper well, order, log, and hearing case files with an electronic imaging system.

### **RECORDS CENTER SERVICES BUREAU**

The Records Center Services Bureau provides State agencies cost-effective storage of records in hard copy, electronic, and microform formats. Inactive and infrequently used paper records are stored in warehouse facilities specially designed for compact and economical storage of records. These warehouse facilities are in two geographical locations, Santa Fe and Albuquerque. Electronic and microform records are stored in climate-controlled vaults specifically designed to protect these media. Storage services in both of these climate-controlled vaults are provided in the Santa Fe facility only.

Although inactive records are stored at the Records Center, agencies maintain custody of their records and are provided controlled access to them. At any time agencies may request to withdraw their records or view them on-site. The SRCA staff will pull records requested within twenty-four hours. In emergency situations, the staff will pull records immediately. The Records Center also offers disaster recovery services, which include storage of backup computer media and of media masters for SRCA-approved microphotography systems (microform, electronic imaging). Whereas it is not mandatory for State agencies to use the services of the State Records Center, it is the most cost-effective way to manage the State's inactive records.

The Records Center Services Bureau, in conjunction with the Electronic Records Bureau, monitors and tracks the lifecycle status, history, series identification, and physical location of over 235,200 items. With the use of RRDS, the Records Center staff calculates and applies the appropriate retention to the records brought in for storage. Records Center Services Bureau staff process the storage tickets and disposition requests that have been reviewed and approved by the staff of the Agency Analysis Bureau. The Records Center Services Bureau staff then process transfer, receipt, storage, and withdrawal of inactive public records and disposition (archival transfer or destruction) of those public records that have met their legal retention. Over 13,700 cubic boxes



of records were accepted into storage in FY 2002. This was an increase of better than 30 percent over the previous year. During this same period, 14,385 cubic feet of records were destroyed. Of these, 5,959 were located and purged from the Records Center. New storage, less in-house destruction processed, brought the records in storage at SRCA to 86,566 cubic feet, an increase of almost ten percent over the previous year-end holdings.

Agency Name	Beginning inventory 7/01/01	Corrections to 7/01/01 inventory (unaccounted storage)	Boxes brought in for storage	Boxes permanently withdrawn	Boxes transferred to Archives	Boxes destroyed in the Records Center (zapped)	End inventory 6/30/02
Architects Board	48		4	0	0	2	50
Attorney General	3,441		590	2	0	83	3,946
Children, Youth & Families Dept.	5,110		334	0	0	0	5,444
Commission for the Blind	23		51	0	0	5	69
Commission on Higher Education	339		21	0	0	11	349
Commission on Status of Women	3		0	0	0	0	3
Corp/Comm Public Reg	1,310		475	0	0	534	1,251
Corrections, Dept. of	7,101		690	2	3	143	7,643
Crime Victims Reparation	490		41	0	0	15	516
Economic Development Dept.	23		0	0	0	0	23
Education, Dept. of	1,708		376	12	21	0	2,051
Educational Retirement Board	564		307	0	0	0	871
Energy, Minerals, & Natural Resources	1,605		242	0	0	260	1,587
Engineer's Office	235		9	0	0	12	232
Environment Dept.	1,333		246	0	17	0	1,562
Finance & Administration, Dept. of	845		887	0	0	230	1,502
Game & Fish, Dept. of	354		88	0	0	0	442
General Services Department	2,408		448	2	0	0	2,854
Governor's Office	279		0	0	0	0	279
Health, Dept. of	9,061		1,139	0	1	0	10,199
Health Policy Commission	20		11	0	0	3	28
Highway & Transportation Dept.	533		29	0	0	48	514
Human Services, Dept. of	4,901		905	0	2	0	5,804
Labor, Dept. of	6,286		1,007	1	2	1,837	5,453
Land Office	394		0	0	1	0	393
Lieutenant Governor's Office	1		0	0	0	0	1
Livestock Board	1,024		57	0	0	0	1,081
Medical Board	135		259	0	0	1	393
Nursing Board	276		40	0	0	0	316
Office of Cultural Affairs	161		66	5	0	26	196
Office of Indian Affairs	3		0	0	0	1	2
Office of Military Affairs	1,668		74	0	0	26	1,716

Agency Name	Beginning inventory 7/01/01	Corrections to 7/01/01 inventory (unaccounted storage)	Boxes brought in for storage	Boxes permanently withdrawn	Boxes transferred to Archives	Boxes destroyed in the Records Center (zapped)	End inventory 6/30/02
Professional Engineers & Land Surveyors	48		0	0	0	0	48
Parole Board, Adult	499		42	0	0	1	540
Parole Board, Juvenile	80		22	0	0	31	71
Public Defender's Dept.	3,607		286	0	0	976	2,917
Public Employee's Retirement Association	1,221		295	99	0	0	1,417
Public Safety, Dept. of	1,050		181	15	0	82	1,134
Public Schools Insurance Authority	51		32	0	0	0	83
Racing Commission, State	0	62	0	0	0	62	62
Regulation & Licensing, Dept. of	3,910		401	1	4	0	4,306
School for the Deaf	51		0	0	0	0	51
Secretary of State	878		237	0	0	142	973
State Auditor	227		24	0	0	0	251
State Investment Council	166		58	0	0	24	200
State Personnel	258		0	0	0	11	247
State Records Center	68		5	0	0	22	51
State Treasurer	2,065		61	0	0	244	1,882
Taxation & Revenue, Dept. of	3,299		828	0	0	187	3,940
Tourism Dept.	1		13	0	0	0	14
Veterans' Service Commission	32		0	0	0	0	32
Vocational Rehabilitation Division	1,388		78	0	0	613	853
Workers Compensation Administration	172		20	0	0	37	155
Youth Conservation Corps		8	0	0	0	8	8
<b>TOTAL EXECUTIVE AGENCIES</b>	<b>70,753</b>	<b>70</b>	<b>10,979</b>	<b>139</b>	<b>51</b>	<b>5,677</b>	<b>75,865</b>

<b>NON-EXECUTIVE AGENCIES</b>							
Administrative Office of the Courts	392		100				492
Albuquerque Technical Vocational Institute							
Chaparral	30		0	0	0	0	30
Court of Appeals	103		0	0	0	0	103
District Attorney, Administrative Office of	27		133	0	0	6	154
District Attorney Offices	2,270		49	0	0	12	2,307
District Courts	324		2,037	8	0	0	2,353
Judicial Selection Committee	25		0	0	0	0	25
Judicial Standards Commission	1		0	0	0	0	1
Legislative Council	1,841		83	0	0	0	1,924

Agency Name	Beginning inventory 7/01/01	Corrections to 7/01/01 inventory (unaccounted storage)	Boxes brought in for storage	Boxes permanently withdrawn	Boxes transferred to Archives	Boxes destroyed in the Records Center (zapped)	End inventory 6/30/02
Legislative Education Study Committee	25		0	0	0	0	25
Legislative Finance Committee	276		67	0	1	0	342
Legislative Maintenance	18		0	0	0	3	15
Metro Court (Bernalillo)			264	0	0	261	3
Municipal Courts	1,618		7	0	0	0	1,625
Senate	5		0	0	0	0	5
UNM (including UNMH)	1,297		0	0	0	0	1,297
<b>TOTAL NON-EXECUTIVE AGENCIES</b>	<b>8,252</b>	<b>0</b>	<b>2,740</b>	<b>8</b>	<b>1</b>	<b>282</b>	<b>10,701</b>
<b>GRAND TOTAL</b>	<b>79,005</b>	<b>70</b>	<b>13,719</b>	<b>147</b>	<b>52</b>	<b>5,959</b>	<b>86,566</b>

### FY 2002 Annual Activity of the Records Center

The number of record groups that have a permanent value is quite small. These records are appraised for their archival (historical) value and are scheduled as permanent in the RRDS. In FY 2002, 52 cubic feet of records were transferred from Records Center storage to Archives for permanent storage or for review and final disposition. This was a dramatic decrease of transfers from the previous fiscal year.

The Records Center Services Bureau monitors the flow of traffic into and out of the electronic media vault. Thirty-two State agencies have been assigned locker space in the electronic media vault for storage of their electronic backup, with access during regular work hours. The Information Services Division of the New Mexico General Services Department, through which a major portion of data processing is done, has around-the-clock access to its electronic backups. The SRCA encourages State agencies to use this service and avoid serious disaster recovery problems.

### FY 2002 RMD COST-BENEFIT ANALYSIS

State government creates and maintains large numbers of records containing information that agency staff must be able to access and disseminate promptly. A well designed records and information management program works best when all employees are confident that what should be in the files will be there. A good RIM program is one that:

- contains complete and comprehensive records, thereby enabling effective decision-making;
- provides integrity and continuity regardless of changes in personnel;
- facilitates protection and preservation of records;
- provides low-cost and efficient maintenance of records;
- reduces the possibility of misfiling and duplication; and, ultimately,
- means less time spent searching for records.

An effective program is one that is designed to improve office productivity, eliminate errors, reduce liability, preserve vital records, and facilitate the exchange of information within government, and, accordingly, cut the cost of doing business.

One of the decisions in developing a RIM program for State government includes where to store an agency's inactive records. Records may be stored in a centralized location (in a records center outside the agency's units); a decentralized location (within each agency unit); or a combination system utilizing both centralized and decentralized locations. If a State agency chooses to store its inactive records in a centralized location, it must commit to developing its own records center, to employing a commercial facility, or to storing with the SRCA. This is a decision that, if not carefully considered, can carry a hefty price tag for an agency.

The services provided by the Records Centers (please see *RMD-1*) of the SRCA are free of charge to State agencies. The operating costs of the Record Centers are paid from the State's general fund, supplemented by revolving fund revenues that derive from the sale of storage boxes and storage tickets. The services of the Records Center include record storage, record destruction, and record retrieval. These are basic services provided by any record storage facility, governmental or commercial.

#### RMD 1: Records Center Services 1998 - 2002

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
Year-end total number of boxes in storage	79,768	67,541	69,423	79,016	86,566
Year-end total number of cubic feet in storage (1 box = 1.2 cu.ft.)	95,722	81,049	83,307	94,819	103,879
Number of regular record withdrawals	6,400	8,200	7,054	7,128	7,259
Number of emergency record withdrawals	744	807	697	918	806
Total number of withdrawal transactions	7,144	9,007	7,751	8,046	8,065
Number of record re-files	7,898	6,911	3,754	5,372	4,300
In-house destruction (cubic feet)	9,228	5,841	6,329	3,193	5,959
Number of storage boxes brought in for destruction	8,196	8,951	10,761	6,351	8,426

Following is a brief analysis of the costs of storing in a commercial facility and in an office environment (please see *Tables RMD-2 and RMD-3*) versus the costs incurred by the SRCA in providing similar services (please see *Table RMD-4*). The *RMD-2* table shows the average fees charged by commercial storage facilities. The commercial costs include the fees for setting up and closing an account, transaction fees (retrieval, re-file), and fees for destroying records in facility storage. The *RMD-3* table shows commercial costs applied to the combined annual activity reported for both SRCA Record Center facilities (please see *Table RMD-1, above*) to calculate the privatized costs of these activities.

#### RMD-2: Commercial Facility Costs

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
Storage access charges					
Account set up fee (cost/box)	\$ 2.15	2.15	2.29	2.45	2.57
Retrieval, re-file, computer inquiry fee	2.15	2.15	2.29	2.45	2.57
Special (emergency) rush retrieval fee	4.50	4.50	4.59	4.82	5.00
Annual storage fee per cubic foot (1 box = 1.2 cu.ft.)	3.60	3.60	3.67	3.85	4.00
Destruction cost per box	2.65	2.65	2.70	2.83	2.97
Account closeout fee (cost per cubic foot)	5.75	5.75	5.86	6.15	6.45
Total account set up fee	71,501.20	145,213.15	158,978.67	193,589.00	222,474.60

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
(cost/box x # boxes)					
Total retrieval, re-file, computer inquiry fee (cost x # transactions)	13,760.00	17,630.00	16,153.66	17,464.00	18,655.63
Total special (emergency) rush retrieval fee (cost x # transactions)	\$ 3,348.00	3,631.50	3,199.23	4,425.00	4,030.00

### RMD-3: Annualized Commercial Facility Costs

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
Yearly storage fee per cubic foot x # cubic feet (1 box = 1.2 cu.ft.)	\$ 344,599.20	\$ 291,776.40	305,736.69	\$335,053.00	415,516.80
Yearly destruction cost	21,719.40	23,720.15	29,054.70	17,973.00	25,025.22
Account closeout fee (cost per cubic foot x # cubic feet)	458,666.00	388,360.75	406,818.78	485,948.00	558,350.70
<b>TOTAL ANNUAL COMMERCIAL COSTS</b>	\$1,013,593.80	870,331.95	919,941.73	1,084,452.00	1,244,052.17

Annual SRCA costs were \$371,375.00 in FY 2002. These costs included: Records Center employee salaries and benefits, supplies, the lease of the Albuquerque Records Center, and utilities and maintenance (janitorial and pest control) for the Albuquerque facility.

### RMD-4: SRCA Costs

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
<b>TOTAL SRCA COSTS</b>	\$ 228,092.00	229,748.00	337,524.00	226,633.00	371,375.00

The calculated cost savings that resulted from operating a Records Center in FY 2002 were \$872,677.17.

### RMD-5: Annual Cost Savings

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
Total commercial costs	\$ 1,013,593.80	870,331.95	919,941.73	1,084,452.00	1,244,052.17
Total SRCA costs	228,092.00	229,748.00	337,524.00	226,633.00	371,375.00
<b>State Savings</b>	<b>\$ 785,501.80</b>	<b>640,583.95</b>	<b>582,417.73</b>	<b>857,819.00</b>	872,677.17

These costs and savings do not include: the storage, retrieval, or destruction of records housed in the microphotography or electronic media vaults; the destruction of records brought in by State agencies; or the other services provided by the Micrographics Bureau (i.e., film inspection, document filming). In its research, SRCA staff determined that the costs involved in providing these additional SRCA services would radically enlarge the figures presented.

The costs of maintaining inactive records in an office environment are even more dramatic. Storing inactive records in an office environment presents additional considerations. These include: space, equipment, supplies, software, and personnel. The year-end totals of storage held at SRCA were 86,566 cubic feet of records. With a four-drawer file cabinet holding six cubic feet of records, 17,313 cabinets would be required to contain the inactive records. At a cost of \$175.00 per cabinet, the total cost of purchasing the cabinets would have been \$3,029,775.00.

Using industry estimates, supplies such as out-cards, withdrawal slips, etc. run \$1.50 per cabinet. Additional supply costs would have been \$25,970.00 for FY 2002. This does not include file folders, labels, tabs, etc.

Additional office floor space would have been required for the additional cabinets. Most facility engineers allow a total of nine square feet occupied space, pullout space, and standing room per cabinet. The additional floor space needed to house 17,313 cabinets would have been 155,817 square feet. In FY 2002 the cost of office space ranged from \$20.00 to \$30.00 per square foot in downtown Santa Fe, \$18.00 to \$24.00 in the area surrounding the downtown Santa Fe area, and \$16.00 to \$18.00 in the area outside the vicinity of Santa Fe downtown. The cost of office space in the Albuquerque area ran approximately \$2.00 lower than Santa Fe. Using an average cost of \$25.00 per square foot, the cost for the additional office floor space would have been \$3,895,425.00.

An automated records management system is something that not all agencies would consider or purchase. The cost of software ranges from \$75,000.00 to over \$100,000.00 for a software application with minimal licenses (excluding data migration). Based on less than half these agencies (30) purchasing software at a mid-price of \$90,000.00, the additional cost would have been \$2,700,000.00.

In addition to equipment, space, supplies, and software, the cost of personnel to manage inactive records must be considered. Using industry standards, 90 hours are spent retrieving, re-filing, and managing inactive records per year per cabinet. This is about 1.75 hours per week per cabinet. Clerks are employed at a \$9.00 hourly rate plus an added 30 percent for fringe benefits. The 90 hours of clerk time do not include the time involved in conducting an annual inventory, the time involved in preparing an annual record destruction, or the time actually used in physically conducting an annual destruction (marking files, pulling files, destroying files). The cost for additional file personnel would have been \$18,230,589.00 plus ten percent of labor that is normally accepted as supervisory cost. This adds an additional \$1,823,058.90, bringing the total management cost to \$20,053,647.00.

The cost of the SRCA providing the services of records storage, records withdrawal and return, records disposition, records inventory, and records tracking was \$371,375.00 in FY 2002. The total cost for State agencies to maintain their inactive records in their offices would have been \$29,704,817.00. The savings of having the SRCA provide all warehouse services over agencies maintaining their inactive records within their own offices total \$29,333,442.00.

It is unlikely that State agencies would want to maintain their inactive records properly within the office environment. The agency expenditures shown here would not ensue because agencies would not invest in additional equipment, supplies, software, and personnel to manage these records. These inactive records would more than likely find their way into basements, closets, or sheds where they would be stored in less than ideal conditions. These storage conditions can result in the loss of records through misfiling, vermin infestation, flooding, or theft. Not being able to produce public records when requested by the public or other governmental agencies not only prevents agencies from complying with the Inspection of Public Records Act but also exposes the agency to fines and potential law suits. Loss of records or information can prove costly in terms of depriving New Mexicans of a fully documented history and of the liability of the State in the event of litigation involving those records.

Ultimately it is the objective of the SRCA, and the RMD in particular, to provide the proper tools and services that will enable State agencies to implement legal and cost-effective records and information management programs. Knowing what records to destroy, keep in the office, and transfer to off-site storage adds to employee productivity and job satisfaction. Transferring records off-site that aren't needed for day-to-day operations provides a more effective use of

office space. So in the end why records and information management? Because records and information management makes government efficient, lowers the liability of doing business, and in the end lowers the cost of doing business.