

**State Commission of Public Records  
State Records Center and Archives**



**AMENDED**

**FY10 Information Technology Plan  
and  
Funding Request**

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**Approved – Sandra Jaramillo, State Records Administrator**

**Plan submitted September 2, 2008**

**Revised October 2, 2008**

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STATE OF NEW MEXICO  
**State Commission of Public Records – State Records Center and Archives**  
**FY10 IT PLAN AMENDMENT FORM**

AMENDMENT No. 01

THE FOLLOWING PROVISIONS OF THE ABOVE-REFERENCED IT PLAN ARE AMENDED, AS FOLLOWS:

- Section/page no. is hereby amended to read as follows: *(complete only if amended)*
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- Page 3, Executive Summary, FY10 C-2 proposed Projects, corrected \$1,300.0 to \$1,370.0.
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- Page 25, Appendix G, C2 Form, FY10 Request change 532.0 to 1370.0.
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- Page 27 to page 40 CERR business case replaced with pages 27 through 45 .
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- Page 48 to page 93 Multi-Agency Business Case replaced with pages 53 through 74.
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- Page 44, Attachment B, Network Design replaced.
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**All other sections of the original IT Plan remain the same.**

**IT Plan Amendment Acknowledgement Signatures**

The elements of this amendment, delivered through information technology services, support the agency strategic plan and the State IT Strategic Plan.

**Agency Head:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Name

**Agency Technology Lead:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Name

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# STATE COMMISSION OF PUBLIC RECORDS STATE RECORDS CENTER AND ARCHIVES FY10 INFORMATION TECHNOLOGY PLAN

## I. EXECUTIVE SUMMARY

The Commission of Public Records, also known as the State Records Center and Archives provides services to all state agencies, local and tribal governments, historical records repositories, the educational, legal and regulated communities and the general public. The agency preserves, protects and facilitates access to public records that are held in trust for the people of New Mexico; ensures rules promulgated by State agencies are published as prescribed in law and are accessible; advocates for an understanding and appreciation of New Mexico history; and develops records management programs for state agencies.

The Information Technology Management Division (ITMD) created 2007 manages the IT systems and projects that support the agency goals and initiatives and is responsible for the agency's IT budget and procurement. Information technology encompasses computer systems and network telecommunications infrastructure, including hardware and software, the agency's website and its databases, as well as the applications that run on, or use, that infrastructure to deliver the actual services to staff and the public.

The FY10 IT Plan for the State Commission of Public Records focuses on supporting the agency's programs and describes the initiatives that the agency is planning to undertake during the next fiscal year. The top priority for the agency in FY 10 is the implementation of the Centralized Electronic Records Repository (CERR). The CERR project is a multi-phase, multi-year project. In FY09 the agency received funding in the amount of \$150.0 for Phase I (Laws 2008, Chapter 3, Section 7, Item 16). The CERR will allow the SRCA to provide an enterprise approach to capture, manage and retrieve inactive electronic records for state agencies including e-mail and web-content management. Phase I includes funding to conduct a needs assessment of the agency's IT infrastructure and recommendations for the CERR IT architecture and possible software solutions (COTS). The agency is requesting funding in FY 10 to implement the CERR. Agency strategic goals are also the focus of the FY10 IT Plan in regards to website maintenance, hardware and software availability, and IT security.

The continued goal to provide an efficient, reliable, and secure information technology environment for the operations of the SRCA remains a main part of the IT plan. The goal is to continue the process of building a state-of-the-art IT environment to support the New Mexico State IT Enterprise Architecture along with keeping New Mexico's records and archive management systems aligned with national and federal standards and New Mexico statutory requirements.

### **Major Accomplishments for FY08:**

- **Archival Management Application**

In FY08 the C-2 archival management software application HERITAGE was implemented. Data was migrated from the old GENCat system to the new application. Users were trained and customizations were made. The project was accepted as of December 19, 2008 and final reports from IV&V were submitted December 21, 2008. Project closeout was also submitted on December 21, 2008. In addition, switches were purchased for speed of image transfer, and a new server was acquired as a digital imaging server to hold the digital images of scanned original documents that are linked to the catalog records in HERITAGE. The total cost of the project was \$125.6. Through HERITAGE the agency is able to provide online information about archival collections and images of original photographs and documents, supporting the State Strategic IT goal to: *Improve delivery of Services to the Citizens of New Mexico.*

### **ECM (EDMS) Project Status**

The Enterprise Content Management (ECM) project was initially funded in the General Appropriation Act of 2004 as the EDMS project. The ECM project is a multi-agency project that includes the Human Services Department (HSD), the Taxation and Revenue Department (TRD) and the Commission of Public Records - State Records Center and Archives (SRCA). The project funded in 2004 for expenditure in FY 2005 was reauthorized in FYs 2006, 2007, 2008 and 2009. Funding provided for an assessment of the electronic records environment in state government by the SRCA in 2005<sup>7</sup> and the establishment of functional and technical requirements and the implementation of an ECM system at the HSD and the TRD.

The HSD served as the lead agency, in cooperation with the TRD and the SRCA. The ECM solution was implemented at the HSD and the TRD in FY 08. The key objectives for the TRD/RPD/MVD ECM-EDMS solutions included capturing MVD citation and payment data for posting to the MVD 2.0 system. The ECM solution provides the capability to automate the workflow for the posting of citations and payments, and automatically correlates citation and payment documents with the ECM-EDMS MVD data warehouse. The system provides the capability to display citation document images from the MVD 2.0 system. The document imaging solution is integrated with the records management component of the ECM solution.

Implement of the ECM-EDMS solution at HSD included document imaging, document management, workflow management and enhanced records management for the Child Support Enforcement Division (CSED). The Child Support Enforcement Program is a state and federal program to collect support from non-custodial parents. Its primary mission is to maximize the collection of child support for all New Mexico children. The final closeout for both projects is set for December 2008 with notification that the warranty period is complete.

### **Major initiatives for FY09:**

**Initiation of Phase I of the *Centralized Electronic Records Repository (CERR)*** – Phase I deliverables include recommendations for CERR IT architecture, proposed system requirements, possible software solutions (COTS), hardware recommendations, bandwidth requirements, and potential server space for current and future needs. Contracts for a needs assessment contractor and a project manager are currently being negotiated. A Business Case for the second and third phases of the CERR project is being submitted with this plan.

### **FY 10 C-1 Expansion Request**

- The ITMD is asking for two FTE's to support agency IT needs in FY10. Total base expansion request is \$117.2. This expansion request, if funded, will improve performance and productivity.
- The New Mexico Digital History project will continue to expand with the inclusion of additional content on the website. An IT professional services request was included in the base budget for FY 10 to provide technical support for the website and database application used to manage the website in the amount of \$15.0. However if the additional IT support is funded the agency can bring site maintenance for the NM Digital History website in-house and will be able to provide the means to evaluate and measure the use of the site. The website is currently maintained by an outside vendor, at a cost of between \$12.0 and \$15.0. If the additional positions are approved, especially the Applications Developer, the \$15.0 requested in the agency's FY10 base request could be reduced by half, since it would take time to hire and orient a new staff member,

particularly given the complexity of the site and maintenance would need to continue in the interim. In FY11 and future years, that cost should be eliminated.

- The Records Management Division is requesting capital outlay funds for the purchase of IT equipment (hardware and software) to produce computer output microfilm, which will allow the creation of security microfilm copies of permanent records that have been digitally created (born digital or imaged). The cost will be \$175.0.

### **FY 10 C-2 Proposed Projects**

- ***Centralized Electronic Records Repository (CERR)*** – Phase II is a component of a C-2 multi-agency ECM Project. The SRCA's request for \$1,370.0 is to implement an enterprise approach for managing inactive electronic records and information for state agencies. The proliferation of electronic information and its role in the day-to-day operations of state agencies along with the new US Federal Rules of Civil Procedure for e-discovery, Inspection of Public Records Act (IPRA) requests, and email management have created a critical business challenge for state agencies. The CERR will make it easier for State agencies as well as the general public to find records they want, and easier for the SRCA to deliver those records in formats suited to the user's needs.

Managing inactive electronic records through the CERR supports three of the State Strategic IT goals:

1. reduce cost of government operations through information technology
2. reduce cost of information technology operations through an Enterprise model; and
3. improve delivery of services to the citizens of New Mexico.

The agency has also submitted an ICIP (Infrastructure Capital Improvement Plan) funding request for FY 10 to remodel the ITMD's working area. Total funding requested is \$43,000 and includes \$10,000 for architectural design, \$20,000 for construction and \$13,000 for modular furniture. Currently the space in use by IT staff is a large classroom. The area is not properly designed for IT setup or repair and is not readily assessable to the computer room.

Questions regarding this plan should be addressed to Lori LeRouge, SRCA CIO, at 476-7915 or [lori.lerouge@state.nm.us](mailto:lori.lerouge@state.nm.us). Robert D. Wise, Network Administrator, and Peter Chacon, Database Administrator, also participated in the development of this plan. Questions regarding the CERR Business Case should be addressed to Angela Lucero, SRCA Records Management Division Director, at 476-7920.

## **II. AGENCY OVERVIEW**

### **A. AGENCY DESCRIPTION**

The Commission of Public Records is responsible for the administration of the Public Records Act [Chapter 14, Article 3, NMSA 1978] and the State Rules Act [Chapter 14, Article 4, NMSA 1978], as well as portions of other statutes. In both Acts, the Commission and the State Records Administrator are charged with specific duties and responsibilities. To carry out these statutory responsibilities, the SRCA is organized into six divisions and the Office of the State Records Administrator. The divisions are Administrative Law, Administrative Services, Archives and Historical Services, Information Technology Management, Records Management and Office of the State Historian. The directors of these divisions, along with the Administrator and Deputy Administrator, serve as the management team of the agency.

For the purposes of performance-based budgeting, the Commission of Public Records identified one program, **“records, information and archival management,”** and four associated sub-programs or activities - **administrative law, administration, public records management and New Mexico history.**

The purpose of the records, information and archival management program is to develop, implement and provide tools, methodologies and services for the benefit of government agencies, historical repositories and the public and to effectively create, preserve, protect and properly dispose of records and facilitate their use and understanding and protect the interests of the citizens of New Mexico.

The SRCA is located at 1205 Camino Carlos Rey in Santa Fe and leases a 12,000 sq. ft. facility in Albuquerque located at 4320 Yale NE. There are 39 FTEs in the Santa Fe center and three FTEs in the Albuquerque center ([See Attachment A, Organization Chart](#)). The agency is organized along functional lines and in compliance with the IT consolidation effort. The six divisions of the SRCA are: Administrative Services, Administrative Law, Archives and Historical Services, Records Management, Office of the State Historian, and Information Technology Management.

The division directors, along with the Administrator and Deputy Administrator, serve as the management team of the agency. Below are descriptions of divisional and other organizational unit responsibilities.

#### **Office of the State Records Administrator**

The State Records Administrator is appointed by the Commission of Public Records and serves as the head of the agency providing the overall direction for and management of the agency.

#### **Administrative Law Division (ALD)**

The Administrative Law Division administers the State Rules Act that governs the official filing and publication of rules developed by agencies of New Mexico State government. The Administrative Law Division publishes both the rules filed with it as well as notices of intended rule making in the *New Mexico Register*, which is available free on-line and by paid, hard-copy subscription. The Division also publishes the *New Mexico Administrative Code*, a free, searchable, on-line compilation of those rules. Other regulatory instruments - interstate compacts and county sub-division regulations - must also be filed with the SRCA. Listings of these permanent State records can also be accessed through the agency’s web site and the ALD web page.

#### **Administrative Services Division (ASD)**

The Administrative Services Division provides support services to the program divisions of the agency. Those services include procurement and budget, personnel, and building oversight.

#### **Archives and Historical Services Division (AHSD)**

The Archives and Historical Services Division maintains, preserves, and makes available to the public the permanent and historical records of New Mexico. Consultation and research assistance are provided to State agencies, businesses, and the public. The AHSD also provides staff support to the NMHRAB.

#### **New Mexico Historical Records Advisory Board (NMHRAB)**

The New Mexico Historical Records Advisory Board is an adjunct to the SRCA and was established to serve as the local advisory body for reviewing all New Mexico records preservation and access, or documentary-edition grant proposals submitted to the National Historical Publications and Records Commission. Since its establishment, the Board has developed its own strategic plan to advocate improvements in preserving and accessing New Mexico’s historical records. Seven of the eight members of the Board are appointed by the Governor and include historians, records managers and archivists representing public and private interests throughout the state. The State Records Administrator serves ex officio and is the chair of the Board. Staff support is provided through a Grant Administrator position, located in the AHSD.

### **Records Management Division (RMD)**

The Records Management Division is responsible for providing guidance and assistance to State and local governmental agencies in the establishment of records and information management programs through the development of records retention and disposition schedules. Records management deals with the management and control of records from their creation to their final disposition. The Division is also responsible for developing standards for the management of electronic records and microphotography systems, including imaging applications. This Division also offers warehouse management of inactive records as well as records disposition services and records management consultation.

### **Office of the State Historian (OSH)**

The State Historian sits as the statutory member of the Cultural Properties Review Committee, the body entrusted to oversee the protection and registration of historic structures and significant sites throughout New Mexico. He also assists the State Historic Preservation Office by providing historical consultation on culturally significant sites and structures. One of his principal functions is to promote throughout the state a greater awareness of, and appreciation for New Mexico history.

### **Information Technology Management Division (ITMD)**

The ITMD is responsible in providing the agency a computerized LAN/WAN in which to conduct business processes required of the agency and to develop the annual Information Technology Plan. The growth of IT to carryout the agency's statutory requirements and services such as the management of electronic records have increased the demand for IT services.

## **B. AGENCY MISSION**

The mission of the Commission of Public Records is to:

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

The Commission of Public Records has developed strategic initiatives identified in the *Commission of Public Records Strategic Plan, Fiscal Years 2005 – 2009* aimed at making the agency the state's leading resource on matters pertaining to the preservation of historical documents, records, information and archival management issues, administrative law and New Mexico public history programs. Under each initiative, specific implementation strategies are outlined. For each implementation strategy, the agency develops specific action steps and associated performance measures and targets. It also assigns specific timelines and activity (sub-program) and organizational unit responsibilities. Not all action steps and performance measures are identified below, given their length; however, they are described in the attached *Strategic Plan, Fiscal Years 2005 – 2009*. The agency management team and other program managers, along with three Commission members, met in late April to begin development of a new five-year strategic plan for FYs 2010 through 2014. While the full plan is still under development, an action plan, for the first two years, FY 2010 and FY 2011 has been prepared and is included with the agency's FY 2010 appropriation request. The new action plan reflects new or revised strategic initiatives, strategies and action steps, with associated performance measures and targets.

Following are elements of the current five-year plan (FY 2004 - FY 2009) that relate to information technology.

### **INITIATIVE #1: Enhance the Effectiveness of the Agency**

**Strategy 1.1: Manage public records efficiently and effectively in accordance with statutory requirements.**

- Action Step 1.1.9. Attain an enterprise solution to electronic records management through collaborations with the ECM project team and the Department of Information Technology.

## **INITIATIVE #2: Build Awareness of Agency Resources and Services**

### **Strategy 2.1: Improve on-line access to agency resources and services.**

- Action Step 2.1.1. Ensure rules issued by State agencies are available on-line.
- Action Step 2.1.2. Publish *NM Register* on-line.
- Action Step 2.1.3. Describe SRCA holdings in on-line catalog.
- Action Step 2.1.4. Expand and enhance NM history website.
- Action Step 2.1.6. Replace GENCat, the existing archival management software, to ensure appropriate management of archival records and public access are continued and enhanced (replacement originally scheduled in FY05).

The IT plan for FY 09 and FY10 supports the agency's mission by providing the IT resources required to maintain systems that specifically meet agency strategic goals and initiatives. They include the New Mexico Administrative Code (NMAC) database; HERITAGE, the agency's online archival catalog; and IMAGE 2000, the database application used to manage and provide state agencies information about inactive records stored in the records centers. Other program databases include the HINTS and Rule History Listing databases; the SRCA Accounts Receivable database; and the agency's performance measures reporting database. The agency's website receives over 200,000 hits a month and is heavily used by New Mexico constituents seeking access to state rules. There are five database applications used to manage content on the website all of which require modification and maintenance. However the ITMD has insufficient staff resources to maintain or support the website on a consistent basis and is requesting through the expansion request an IT Applications Developer II at range 75.

The SRCA will continue to maintain its equipment replacement program, updating and replacing hardware and software for the agency client/server LAN/WAN. The objective is to protect the IT investment the agency has made to date, to ensure the protection and preservation of the State's public records and to enhance the public's access to those records. ([See Attachment C, Hardware and Software replacement schedule](#))

## **C. AGENCY IT DESCRIPTION OF SERVICES**

The IT services provided to the agency from the ITMD include.

- Online Help Desk Services – the agency is provided a help desk utility to request help with an IT issue. The average turn around is 24 hours.
- Hardware support – all hardware is installed, supported and maintained by ITMD.
- Software support – all software is installed, supported and maintained by ITMD.
- Online Web page support – ITMD manages the agency website and webpages are updated as time allows.
- E-mail support – ITMD manages the request for e-mail for all incoming and outgoing employees including training and troubleshooting all problems.
- Training – IT staff provides limited training to agency employees on software products, staff workstations, use of e-mail and e-mail record management requirements. Training is also provided upon request for equipment such as LCD projectors, CD burners, imaging scanners, printers, file downloading to USB or CD.

- Database support – database support is provided for the two major systems I2K (records inventory management application) and Heritage (archival management application), as well as over half a dozen small custom databases written in house using MS Access.
- System backup – consists of nightly backup to tape of all data and applications. Restoration services are performed as requested through the help desk.
- IT procurement – includes equipment research, pricing and submitting hardcopy purchase requests, and documenting receipt of all IT equipment; verification and testing to ensure equipment is in good working condition; tagging of equipment; and maintaining an inventory log. ITMD also reviews and signs-off on all IT professional contracts and IT-related RFP's. The division also prepares an annual divisional budget request, which includes all proposed IT expenditures.
- IT Security – the agency has an IT Security Plan in place developed by the ITMD. The plan outlines the process for data recovery and data security.

In addition, the IT division provides input to and participates in special projects, such as the CERR project, agency strategic planning and agency disaster recovery. The agency CIO also attends and participates in State CIO Council meetings.

#### **D. AGENCY IT STAFF MAKEUP AND IT BUDGET PERFORMANCE**

The ITMD operates the IT systems and projects that support the agency goals and initiatives and is responsible for the agency's IT budget request and IT-related procurement. Information technology encompasses computer systems and network telecommunications infrastructure, including hardware and software; the agency's website and its databases; and the applications that run on, or use, the infrastructure to deliver the actual services to staff and the public. The Division is made up of three FTE's: one IT Generalist II, who serves as the agency CIO, IT manager and webmaster; one IT Network Specialist II, who manages the infrastructure of the agency's LAN/WAN, including hardware and software; and one IT Database Administrator I, who manages the database applications of the agency. For the IT Staff Summary List please see Appendix B ([See Section II APPENDIX B](#)).

For IT budget performance data please see use the link and see Section III ([See APPENDIX B](#)).

#### **E. IT PROJECT INFORMATION**

The proposed CERR project for FY10 supports the *State of New Mexico FY10 Information Technology Strategic Plan* by:

- reducing the cost of government operations through information technology
- reducing the cost of information technology operations through an Enterprise model; and
- improving the delivery of services to the citizens of New Mexico.

Investing in the implementation of a CERR, including procedures for managing electronic information will result in tangible benefits, enabling the efficient retrieval of information when state agencies must quickly evaluate and respond to issues and requests for electronic records. At the same time, unnecessary costs associated with backing-up and storing information that does not need to be preserved may be eliminated. Implementation of the CERR will provide the opportunity to form collaborative strategies among the SRCA, DoIT and state agencies to develop enterprise standards that build upon accepted principles of records management to ensure the authenticity, integrity, security, and accessibility of electronic records.

For the proposed FY 10 Projects Summary please use the link and see Section I. ([See APPENDIX B](#))

For the list of FY08 IT Projects > \$100,000 please use the link [\(See APPENDIX C\)](#).  
For the list of FY09 IT Projects >\$100,000 please use the link [\(See APPENDIX C\)](#).

### **III. DESCRIPTION OF IT PLAN IMPLEMENTATION FOR PRIOR FISCAL YEAR**

#### **A. FY08 AND FY09 GOALS**

In FY 08 the agency accomplished the goals discussed in the FY08 – FY09 IT Plans. The goal to provide support to the ECM project was achieved with participation in meetings and presentations; and by hosting the ECM web page and working to move files, create links and edit pages as well as providing website updates, support and maintenance. The archival management software replacement project, funded for FY07 and extended into FY 08, was implemented as the Heritage system by the vendor Eloquent Systems Inc. Additional equipment was purchased to enhance the speed and effectiveness of the system. It is discussed below. The funds (\$125.6) were spent in FY 08.

In FY08 the major IT goals discussed below were achieved.

1. The C-2 archival management project Heritage was implemented.
  - Extended into FY08, the project was installed and data migrated;
  - users were trained and customizations were finalized;
  - the project was accepted as of December 19, 2008;
  - final reports from IV&V were submitted December 21, 2008;
  - project closeout was submitted December 21, 2008;
  - switches were purchased for speed of image transfer; and
  - a new server was purchased to serve as a digital imaging server for file sharing of scanned images.
2. The C-2 ECM/CERR project progressed as shown below.
  - 2008 Legislative Session - The Legislature appropriated \$150.0 for phase I of the Centralized Electronic Records Repository (CERR) project to conduct a needs assessment and plan a CERR implementation.
  - May 2008 – The project was certified by the PCC of DoIT.
  - June 2008 – Vendors interviewed and selected.
  - August 2008 – Contracts were finalized for CERR assessment and a CERR project manager.
3. The goal to improve Internet technologies to provide access to historical information and resources for the New Mexico History Digital History project was achieved through execution of a contract to augment the database and enhance the website design. The project encompasses thousands of pages in a complicated web database built from start by Freelance Farms. Future plans to bring the database in-house are being reviewed by the ITMD. Resources currently prevent the management in-house, but if the requested expansion is approved, the agency's FY 2010 - 2011 Action Plan calls for the agency to assume hosting and maintaining the site by the end of December 2009.
4. Modifications to web-based database applications were made and have streamlined operations for users and constituents in FY 08. The Historical Information Network Tracking System (HINTS) continued to be utilized with no downtime. The interactive database application, TrEvCo, used to provide dynamic updates of training, event posting and contact information to the SRCA website, continued to be used and proved to be of worth in time management, with three various databases managed through one user interface. The Administrative Law Division's databases continued to be used to update the New Mexico Administrative Code (NMAC) manually, an

approach preferred for validation by the Administrative Law Division Director. The Performance Measures application to permit agency management to record and track progress on the agency's action steps and related performance measures was also modified for use in FY08.

5. The goal to maintain the agency's website was achieved throughout FY08 by the ITMD with minimal downtime. Updates to the web server were done during the noon break or after 5:00 PM to lessen the amount of downtime during the peak hours. Postings for events and Commission meetings were modified quarterly or as needed. The Training module was successful in that on-line registrations continued to be utilized and reports provided useful information for trainers. The NMAC database, with its search engine, is also a popular site with over 4556 hits a day. The New Mexico Register is also hosted on-line, which is the official publication for all notices of rulemaking and of adopted rules in New Mexico. The agency's website provides public access to Heritage, an on-line catalog that describes archival collections and public records maintained by the agency. Heritage replaced the outgoing GENCat.
6. The goal to enhance the IT network infrastructure progressed with the replacement of five older switches with gigabyte-managed-type switches. Fast file transfer capabilities were requested by the divisions so they could perform work at a reasonable rate. Monies from the archival management project were used to purchase hardware and software to enhance the network operation for the Heritage software application. The acquisition of two rack servers, replacing outdated tower servers, allowed for ease of management in one rack, as well as greater application performance for users. MS Office 2007 was purchased for review along with Adobe Photoshop CS3 Extended and Adobe Acrobat 8. Each year five to ten licenses are purchased to achieve full licensure in four years. Then the purchasing cycle starts over. The software replacement cycle will be reviewed in FY09.

In addition to the itemized list of goals, the agency developed a guide to assist agencies with implementing the Management of Electronic Mail rule and also provided training upon request.

The agency furthered its efforts to upgrade and improve its IT environment to facilitate daily operations. In addition to the switches discussed above, two new network printers were purchased. One replaced the heavily used printer in the Archives and Historical Services Division, and the second replaced the aging network printer in the Micrographics and Electronic Records Bureau of the Records Management Division. Two replacement laptops and a DLP projector were purchased to provide adequate presentation equipment and out-of-office work tools for staff. [\*\(See Attachment B, Network Design\).\*](#)

The major IT goals for FY09 are described below.

- Successfully complete Phase I of the CERR project. Acquire funding for Phase II of the CERR project.
- Update the configuration of the server, which runs the Image 2000 records management inventory application, streamline performance issues.
- Ensure that the agency is in compliance with licensing regulations and bring all licenses up to current version.
- Implement an authentication software product for the NM Administrative Code database. Currently the files are in a PDF and doc format with no authentication for security purposes.
- Review electronic rule-filing systems. Implementation relies heavily on a standard for digital signature.

- Review and assess the rule listing database of older rules filed with the Administrative Law Division.
- Explore and document process and IT requirements for transferring management of the New Mexico Digital History project website from the vendor to the SRCA.
- Acquire a backup copy of New Mexico Digital History website for purposes of disaster recovery. This irreplaceable volume of knowledge includes oral histories, digital, audio and video recordings.

## **B. APPROPRIATIONS**

The IT budget for FY 08 was \$305.96.

The special appropriation amount, extended through FY 08, for replacement of the archival management system was \$130.0.

The IT budget for FY 09 is \$318.9.

The special appropriation amount for FY09 for phase I of the CERR (to perform a needs assessment) is \$150.0.

## **C. EXPENDITURES FOR FY 08**

Expenditures, not including personal services and benefits, for FY 08 were as noted below.

- IT Services – expenditures for services for enhancements and maintenance to the NMDHP were \$15.1, and maintenance costs for Image 2000 were \$1.7.
- Travel – travel to attend the Governmental Management Information Sciences (GMIS) conference cost \$1.1.
- Maintenance – for the annual support of the wide-format printer the cost was \$2.5, maintenance for the Sonicwall firewall cost \$.5, and maintenance on the ITMD copier was \$0.3.
- Supplies/Inventory Exempt - inventory exempt purchases included:
  - \* two replacement network printers for \$2.0;
  - \* one desktop color all-in-one network printer at a cost of \$0.9;
  - \* two replacement laptops costing \$2.8;
  - \* one digital camcorder at a cost of \$2.3;
  - \* one DLP projector at \$1.0; and
  - \* a replacement firewall security appliance at the cost of \$3.6.

Miscellaneous supplies such as low-end wireless network cards, a 16-port switch and external hard drives as well as various USB drives, backup tape cartridges, various cables and SIMMs sticks totaled \$7.7. The following software was purchased:

- \* four copies of Adobe Acrobat Pro 8 (\$0.6);
- \* five copies of Adobe Acrobat 8 Standard Edition (\$0.5);
- \* four copies of MS Project 2007 for the CERR project (\$1.2);
- \* five copies of MS Visio 2007 for the RMD staff (\$0.7);
- \* five copies of MS Office Pro 2007 for staff (\$2.0); and
- \* one copy of ARCserve backup software( \$0.4)

The total cost for IT inventory exempt supplies was \$25.7.

- Other Operating Costs – ISD services ran \$6.2, and HRMS fees for the agency's 42 employees were \$4.2.

- Capital Outlay - two digital microfilm reader/printer/scanners at the cost of \$19.0 and one photocopier for the ASD at a cost of \$8.3 were purchased.

In FY08, a new type of workstation was introduced to agency IT operations. The Office of the State Historian, a division of the agency, requested an Apple Mac Pro computer for image processing to enable access of history online on the New Mexico Digital History Project web page. The computer was approved by the DoIT and has been used in producing ipod casts for the Digital History website. This type of computer setup was a not part of the planned infrastructure as discussed in previous IT Plans. The need to keep current with industry standards and other historical establishments in film reproduction and video creation projects led to the initial purchase. The AHSD also requested an Apple Mac computer workstation to transfer archival films to a digital arena, then burn them to disc. The cost for both Apple Macintosh systems was \$10.2 and was paid out of Special Appropriations.

#### **IV. AGENCY AND TECHNICAL INVENTORY**

TECHNICAL INVENTORIES HAVE BEEN COMPLETED ONLINE AT <http://cio.state.nm.us/techInventory>.

#### **V. AGENCY IT ENVIRONMENT AND INFRASTRUCTURE**

##### **A. DATA STORAGE**

The SRCA's LAN/WAN operates using the Microsoft Windows 2003 Server platform and Pentium-class servers and workstations. The connectivity is built on a category 5 Ethernet backbone, utilizing fiber optic interconnections. A locally centralized 4700 Cisco router belonging to DoIT is shared with five other agencies - the State Library, State Personnel, the General Services Department (GSD) Motor Pool, Building Services and the Department of Health. Eight 3 Com Gigabit switches are located in four cabinet rooms throughout the building; these connect via fiber to one main patch panel in the main cabinet room, which is connected to the Cisco 4700 router. The router is configured to link to a radio wave device at the Toney Anaya building that is then linked to the SIMMS building at DoIT/ISD.

The LAN is comprised of eight MS Windows 2003 servers. Of these, four are configured with MS Windows 2003 R2 Enterprise x64 Edition and four with MS Windows 2000 Advanced Server. The Primary Domain Controller (PDC) in the infrastructure for agency operations is named "RAINNT" (Records and Archives Information Network NT), with the Workgroup of *SRCA*. This server hosts a variety of applications, databases, file sharing and file storage. The applications are detailed below, under *Production Applications*.

The SRCA IT infrastructure includes the mission-critical application servers described below.

- 01SRCA-rain server: This is the primary server and houses the shared network files for the six divisions. Security is an important aspect of this server as it contains budget, personnel and financial information. Folders are given security configurations as requested. It is backed up nightly using ARCServ 2000 backup software. It was replaced in FY 07 with a Dell rack-type server, with an internal 40GB tape drive. The performance has been greatly improved as has the backup time shortened.
- ERSRVR server: This is a MS Windows 2000 Advanced server running Microsoft SQL Server 2000. It hosts the records management system, Image 2000. It is backed up nightly using ARCServ 2000 in a GFS rotation scheme using an internal DLT tape drive. This server was scheduled for replacement in FY 08 but, once money was identified, the vendor was unable to assure timely delivery. It will be on the schedule for replacement in FY09.

- O2srca-archvies server: A Microsoft Windows 2003 server, this server runs ArchProteus, the software used to display the Heritage archival on-line catalog with its indexed fields as well as digital images of historical photographs and selected documents. It is backed up nightly using ARCServ 2000 in a GFS rotation scheme with an internal 40GB tape drive. The archival management software Heritage replaced the out going GENCat system.
- RAINWEB server: A Microsoft Windows 2000 server running Internet Information Server (IIS) 5.0, it currently hosts the agency's website, intranet site and the ECM and CERR web pages. It is backed up nightly using ARCServ 2000 in a weekly rotation scheme. This server is scheduled for replacement in FY09 with an updated MS Windows 2003 Server OS.
- Digital Imaging server: A Microsoft Windows 2003 server, this is setup to share imaged files within the agency. Multiple divisions use the same image or film clip or audio file for their various projects and programs. It was decided that these files need to be kept on a single server in a standard file type with uniform processes for secure and dynamic usage. It is backed up nightly using ARCServ 2000 in a GFS rotation scheme.
- ADMINLAW server: A Microsoft Windows 2000 server that runs IIS 5.0 in a test environment for the Administrative Law website (*NM Register* and *NM Administrative Code*), it is used as a file server for the Administrative Law Division and a test site for the agency web page. It is backed up nightly using ARCServ 2000 in a GFS rotation scheme.
- PRNSVR server: This is the print server for the agency. It runs MS Windows 2003 server. It contains 12 network printers configured on it. This server is not on the back-up routine. In the event of a loss of hard drive, the printers would need to be reinstalled. To run regular back-ups would require more time than re-installation.
- EARCHIVE server: A Microsoft Windows 2000 server, it is set up with administrative rights to the agency assigned records liaison officers (RLO). It is backed up nightly using ARCServ 2000 in a GFS rotation scheme. This server is used to store the electronic mail messages that have legal retention requirements.
- NMCPR server: A Microsoft Windows NT server, this is the server for the GENCat software (archival management and imaging) system. This server was replaced and is only being used for internal reference. It is not online and is not being backed up. A final backup copy is being held in the tape vault in the records center. It will be removed for disposal by the end of FY09.

## B. SECURITY

Security is considered vital throughout multiple areas of the IT environment at SRCA. From firewalls to security software applications, security is in place in several different areas of the LAN/WAN. The agency maintains a security policy that was last modified in 2000. It is again being modified to current specifications for the current environment and infrastructure. A formal plan is being developed for FY 09 to document a security program that is in line with the State of New Mexico's Baseline Security Program Plan. Emphasis will be on internal security practices, with a second focus on total disaster recovery. The plan will be placed on the agency web page for remote access.

Current Security Hierarchy:

### **Building Security**

- Security card system, with as-needed access only within the SRCA portion of the facility.
- Security camera backed-up to a computer hard drive.

### **Computer Room Security**

- Security card system
- Keyed door to computer room
- Firewall from router to SRCA main switch

#### **Server Level Security**

- Logon ID and password.
- User account type (permission level)
- AppLock software – Watch App software (locks directory lists from access to files)
- File backup process
- Antivirus updates are automatic
- Network intrusion detection device

### **C. RECORD RETENTION PLAN**

The SRCA's retention plan is the retention schedule [1.18.369](#) NMAC, last updated in January of 2005. The agency's Internet policy gives staff guidelines in using the Internet at the agency. Consequences of non-compliance may result in disciplinary actions, including termination, and/or legal action. The agency also has an e-mail management policy. The purpose of this policy is to provide guidance to agency employees in managing information sent or received through e-mail transmissions and to ensure the proper use of the State's e-mail system. Serious disciplinary action up to and including termination of employment may result from evidence of prohibited activity obtained through monitoring or inspection of electronic messages, files, or electronic storage devices. Illegal activity involving state IT resource usage may be referred to appropriate authorities for prosecution.

### **D. MAJOR IT ISSUES**

A discussion of several of several important IT issues follows.

1. IT staffing has become a major issue. With technology quickly evolving into affordable standardized devices running digital applications and with the agency relying ever more heavily on IT as a means of service delivery, IT staff has become so thinly spread that the quality of work is suffering. In addition, support of the up-coming CERR system and in-house hosting and maintenance of the New Mexico digital history project can only be addressed through additional staff. An expansion item in the agency's FY10 appropriation request asks for two additional Full Time Employees (FTE's).
2. The work area for IT is in need of re-modeling. An ICIP request has been made for FY 10. Once the space is configured logically, ease of service will be improved with access to a work room for computer setup and repair while being able to take user support calls.
3. The records management system Image 2000 has been in operation since 2004 and is up for replacement in 2009. Much work has been done on this system to obtain data integrity. This system is web-based, and therefore extensively used, and updated daily. The issue of data cleanup continues along with the training of new FTE's. The vendor is working with ITMD to resolve performance issues. Testing resulted in the determination that the server needed to be reconfigured with application data on one drive and database data on another. Changes are currently being made to improve speed of report generation along with data processing. The records management division director has suggested including the replacement of this system with the CERR project. A common module in CERR software could fill the need for a records management system such as Image 2000.
4. The *New Mexico Digital History project (NM history web page.)* The project to develop a New Mexico history website has evolved into the New Mexico Digital History Project (NMDHP). This project is a dynamic and innovative one that makes history meaningful and accessible globally. Several issues are being addresses with the project. One is the continued funding of the project

and resources to build content development. A second issue to move the web application to the SRCA ITMD is being reviewed for cost and resource analysis. If additional staff is approved, the site will be brought in house by mid-FY 10. The final issue is the organization of images used to develop the content. A streamlined process needs to be implemented using the digital imaging standards developed by the agency digital imaging plan.

## **APPENDICES:**

A. IT PLAN AND FUNDING REQUEST CHECKLIST

B. SECTION I. PROPOSED PROJECT SUMMARY

SECTION II. IT STAFF SUMMARY

SECTION III. IT BUDGET PERFORMANCE DATA

C. IT PROJECT HISTORY AND INVENTORY

FY08 IT PROJECTS > \$100,000

FY09 IT PROJECTS > \$100,000

D. EXECUTIVE BUSINESS CONTINUITY PLAN (BCP) SCORECARD

E. COMPLIANCE SPREADSHEET

F. C1 FORM

G. C2 FORM

H. PROJECTED IT PROJECTS: CAPITAL, SPECIAL, SUPPLEMENTAL FORM

I. BUSINESS CASE - CERR

J. DOIT PLAN CHECKLIST

## APPENDIX A IT PLAN AND FUNDING REQUEST CHECKLIST

**September 2, 2008 Deadline**

1.  Final IT plans
  - I. Executive Summary
  - II. Agency Overview
  - III. Description of IT plan implementation for prior fiscal year
  - IV. Agency and Technical Inventory
  - V. Agency IT Environment and Infrastructure
  - VI. Completed Forms: Appendix B, C, D, and E
  - VII. Signature form
2.  Complete Online Inventories
3.  Completed list of Base Budget IT project form
4.  Completed Form(s) C1
5.  Completed Form(s) C2 (if any)
6.  Completed Capital, Special, Supplemental Form(s) (if any)
7.  Completed and Full Business Case(s) (if any)
  - I. Executive Summary
  - II. Business Problems and Opportunity
  - III. Proposed Project Objectives/Performance Metrics
  - IV. Business Risks
  - V. Alternative Solution
  - VI. Cost Benefit Analysis
  - VII. Recommendation
8.  Assemble all required documents into a single electronic file and email to DoIT and the agency DFA and LFC budget analysts. When e-mailing DoIT, use the following e-mail address: [doit.itplans@state.nm.us](mailto:doit.itplans@state.nm.us). When e-mailing LFC, use the following e-mail address: [lfc.itplans@nmlegis.gov](mailto:lfc.itplans@nmlegis.gov). When e-mailing DFA, use the following e-mail address: [Cyndi.montoya@state.nm.us](mailto:Cyndi.montoya@state.nm.us).
9.  Prepare 5 hard copies of the assembled document with two going to DoIT, two to DFA and one to LFC.

## APPENDIX B

### SECTION I.

#### PROPOSED FY10 PROJECTS SUMMARY LIST

Agencies requesting funding for projects > \$100,000 are required to submit a One-Page Business Case(s) by **July 13, 2008** and a final Business Case(s) in their IT Plan by **September 2, 2008**.

Project Name	Project Purpose	Stakeholders	Funding Amount (Include proposed source: Base, CSEF, Spec., Supp., Grant, etc. AND GF,FF, or OSF)
CERR	Centralized Electronic Records Repository	SRCA, NM State Agencies, NM Constituents	\$1,370.0

### SECTION II.

#### IT STAFF SUMMARY LIST

Provide a summary list by State Personnel Office TOOL title of the agency IT staff, including IT Full Time Equivalent (FTE) employees, temporary or term hires and contract staff:

Position Category (e.g. Mgr., DBA, Developer, PM, etc.)	Position Count	Staff Category (e.g. FTE, Temp, Term, Contract or Other)	Infrastructure or Non-Infrastructure
IT Generalist II	1	FTE	Infrastructure
IT Network Specialist II	1	FTE	Infrastructure
IT Database Administrator I	1	FTE	Infrastructure

**SECTION III.  
IT BUDGET PERFORMANCE DATA**

Agency			FY 09 Budget	ACTUALS				
Code	Name	Fiscal Period		Sep-08	Jan-09	Apr-09	Jul-09	Total
	Workforce Solutions	Sep-08		Actual	Actual	Actual	Actual	Actual
<b>Category 200 - P &amp; E</b>								
<b>Salaries</b>								
2011	Exempt Perm Positions F/T		0	0	0	0	0	0
2031	Classified Perm Positions F/T		187	0	0	0	0	0
2051	Temp Positions P/F		0	0	0	0	0	0
20XX	Other Salaries		0	0	0	0	0	0
			0	0	0	0	0	0
<b>Subtotal Salaries</b>			<b>167</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Benefits</b>								
21XX	Total Benefits		89	0	0	0	0	0
<b>Total Category 200</b>			<b>236</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Category 300 - Contractual Services</b>								
3522	Professional Services		0	0	0	0	0	0
3532	Other Contractual Svcs		0	0	0	0	0	0
3542	Audit		0	0	0	0	0	0
3562	IT Services		28	0	0	0	0	0
<b>Total Category 300</b>			<b>26</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Category 400 - Other</b>								
42XX	Travel and Transportation		2	0	0	0	0	0
4382	Maintenance		2	0	0	0	0	0
44XX	IT Supplies		43	0	0	0	0	0
45XX	Other Op Costs		11	0	0	0	0	0
46XX	Other Op Costs		0	0	0	0	0	0
47XX	Other Costs		0	0	0	0	0	0
48XX	Capital Outlay		0	0	0	0	0	0
49XX	O/S Travel		0	0	0	0	0	0
<b>Total Category 400</b>			<b>57</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Category 500 - Other Financing Uses</b>								
5511	Operating Transfers		0	0	0	0	0	0
<b>Agency Grand Total</b>			<b>319</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**APPENDIX C**  
**IT PROJECT HISTORY AND INVENTORY**  
**LIST FY08 IT PROJECTS > \$100,000**

**A: Active / Open Projects**

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
n/a	n/a	n/a	n/a

**B: Closed Projects**

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
Archival Management System	\$130.0	Closed	\$125.6

**LIST FY09 IT PROJECTS > \$100,000**

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
CERR	\$150.0	Planning	0

**PROJECT CERTIFICATION COMMITTEE (PCC): CERTIFICATION PHASES**

1. Initiation
2. Planning
3. Implementation
4. Closeout

DoIT Homepage: <http://www.doit.state.nm.us/>

PCC Link: <http://www.doit.state.nm.us/project.html#Certification>

## APPENDIX D BUSINESS CONTINUITY PLAN

Business continuity and contingency planning is an important and on-going facet of any records and archival management program. The SRCA has a written disaster recovery plan, designed to respond to the full spectrum of disasters the agency might experience with public records. It addresses vital records and includes a specific and expanded IT component. It is regularly reviewed and was last updated March 2008. The plan is posted on the agency's Intranet at, [http://www.nmcpr.state.nm.us/srca\\_intranet/disaster/index.htm](http://www.nmcpr.state.nm.us/srca_intranet/disaster/index.htm) for easy retrieval night or day, and from anywhere in the building. The evacuation procedures have been tested; however, no active test of all components of the last revision has been conducted. The disaster plan, including its IT component, is updated as the environment changes.

As a part of its disaster planning process, the agency identified its mission-critical functions and assessed their reliance on automated systems. It also examined how to recover from the loss of important but non-mission-critical functionality. The ITMD has made arrangements with DoIT for off-site, backup storage at the SIMMS building. Currently, rotations of backup tapes are stored in the SF Records Center vault with a complete backup set stored at DoIT. A third backup plan was started in FY07 in that an IT staff member was assigned the task of reporting to the Albuquerque records center once a week to update a server running the application software used by SRCA. The data is automatically copied to a portable external hard and hand carried and copied to the backup server in Albuquerque. The applications are then run and tested to verify the copy.

The SRCA obviously houses invaluable collections; it also stores microfilm master copies and electronic backups for State agencies (including the DoIT) in its specially designed microfilm and electronic vaults. It carries special property insurance coverage that is aimed at physical recovery of collections. Since many of the items in the collections are beyond price, the policy is intended to provide coverage for efforts to restore collection items, rather than to secure funds for replacements. The agency has an agreement in place with BMS CAT, a disaster-response firm based in Texas and specializing in records recovery, which enables it to call upon their resources, at set prices, with 24-hour response.

In FY06, the State Records Administrator attended a COOP (Continuity of Operations Plan) training workshop given by FEMA and received a certificate in COOP development. The Administrative Law Division director who serves as the agency's Disaster Preparedness Committee Chair has made several presentations to state, local and tribal governments on disaster preparedness and COOP development. He is anticipating collaboration with other agencies in the development of a New Mexico State COOP plan.

#	Executive Business Continuity Plan (BCP) Scorecard	Yes	No	Unknown
1.	Do you have a written business continuity of operation plan (COOP)?	✓		
2.	If so, have you fully tested it? (Add date of test)			—
3.	If tested, did you pass your test? ( <i>Pass the test would be that you were able to continue all mission critical functions of your business.</i> )			—
4.	Have you quantified and ranked the business and financial risk of outages to all vital functions?	✓		
5.	Are you prepared to address liabilities and fiduciary responsibilities in case of a disaster?	✓		
6.	Are business continuity plans kept current and updated for business changes?			—
7.	Do you perform back-ups faithfully and include every server and hard drive?	✓		
8.	Do you regularly send your back-ups to a safe, off-site archive?	✓		
9.	Have you standardized back-up solution on a proven media?	✓		
10.	Does business continuity and disaster recovery readiness have support of top management in your organization?	✓		
11.	Is your agency BC/DR plan dependent on DoIT? If so what is DoIT's role in your plan?		✓	

## **APPENDIX E COMPLIANCE SPREADSHEET**

The following compliance spreadsheet is mandatory for all **current and proposed** IT projects >\$100K.

Each active project listed in the IT Project History and Inventory and each proposed FY10 project, regardless of funding source, **must** have an accompanying completed Compliance Spreadsheet.

All items on the spreadsheet must be checked off for a new project to receive consideration. If unable to check a box and serious steps are in process to satisfy the requirement, attach a written explanation.

**Please note:** if all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted.

**CIO's and IT leads must be prepared to support the responses on this spreadsheet with the applicable data, procedures, processes, records, etc. if and when project oversight requires.**

**Compliance Spreadsheet: Agency and Project Identification**

Lead Agency Name: SRCA Agency Code: 369

Project Name(s)<sup>1</sup>: CERR Contact Person: Angela Lucero

Contract Person: Lori LeRouge Contact Phone Number: 476 -7915

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input checked="" type="checkbox"/>	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input checked="" type="checkbox"/>	Project is or will actively address security and data integrity issues.
<input checked="" type="checkbox"/>	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input checked="" type="checkbox"/>	Project is or will actively address disaster recovery and business continuance issues and records retention
<input checked="" type="checkbox"/>	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input checked="" type="checkbox"/>	Project is or will actively address privacy issues.
<input checked="" type="checkbox"/>	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input checked="" type="checkbox"/>	Project is or will actively address regulatory compliance issues.
<input checked="" type="checkbox"/>	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input checked="" type="checkbox"/>	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/>	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input checked="" type="checkbox"/>	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/>	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/>	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>1</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
✓	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	✓	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
✓	This project “uses” or will use existing common IT functions from other agencies.	✓	Data and information managed by the project are or will be handled and protected as an enterprise asset.
✓	This project could benefit from common IT functions usable across multiple agencies.	✓	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
✓	Project has or will identify common (shareable) business functions and data.	✓	Project is or will assess risks and engineering security into every layer of project implementation.
✓	Project is or will use middleware, where appropriate, to enhance access to all data.	✓	Project has or will plan for or conduct a proof of concept of the technology to be used.
✓	Any common services to be “provided” by this project to other agencies or external parties are provided at competitive rates.	✓	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
✓	Project is or will actively address security and data integrity issues.	✓	Project owners are or will take responsibility for initiating analysis and review.
✓	Project has or will give thorough and appropriate consideration to common hosting and data center models.	✓	Project has or will consider application of COTS (commercial off-the-shelf).
✓	Project has or will give thorough and appropriate consideration to open source components.	✓	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
✓	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	✓	Project is or will actively address system management issues.
✓	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	✓	Project is or will actively address privacy issues.
✓	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
✓	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

## APPENDIX F C1 FORM

### Information Technology Base Operating Budget Informational Purposes Only

<b>Agency Name:</b>	State Commission of Public Records	<b>Agency Code:</b>	36900		
<b>Appropriation Funding Type:</b>	<u>Base Request</u> <u>Operational Support of IT</u>  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
<b>IT Base Budget (dollars in thousands)</b>					
	<b>FY07 &amp; Prior</b>	<b>FY08 Actual</b>	<b>FY09 OpBud</b>	<b>FY10 Request</b>	<b>FY11 Estimate</b>
<b>General Fund</b>	261.3	303.3	315.4	473.4	480.8
<b>Other State Funds</b>	0	0	0	0	0
<b>InterAgency Transfers/ Internal Service Funds</b>	7.5	2.6	3.5	24.4	24.6
<b>Federal Funds</b>	28.1	0	0	0	0
<b>Total</b>	<b>296.9</b>	<b>305.9</b>	<b>318.9</b>	<b>497.8</b>	<b>505.4</b>
<b>Expenditure Categories (dollars in thousands)</b>					
	<b>FY07 &amp; Prior Actual</b>	<b>FY08 Actual</b>	<b>FY09 OpBud</b>	<b>FY10 Request</b>	<b>FY11 Estimate</b>
<b>Personal Services &amp; Employee Benefits</b>	171.0	221.3	235.6	347.5*	347.5
<b>Contractual Services</b>	0.0	0.0	0.0	0.0	0.0
<b>Professional Services</b>	0.0	0.0	0.0	0.0	0.0
<b>IT Services</b>	33.5	16.8	26.2	27.9	29.3
<b>Other</b>	0.0	0.0	0.0	0.0	0.0
<b>Travel</b>	0.0	1.1	1.7	1.8	1.9
<b>Maintenance</b>	3.5	3.3	2.3	11.0	11.6
<b>Supplies/Inv. Exempt</b>	71.6	25.7	42.5	61.7	64.8
<b>Operating Costs</b>	10.2	10.4	10.6	11.9	12.5
<b>Capital Outlay</b>	7.1	27.3	0.0	36	37.8
<b>Other Financing Uses</b>	0.0	0.0	0.0	0.0	0.0
<b>Total</b>	<b>296.9</b>	<b>305.9</b>	<b>318.9</b>	<b>497.8</b>	<b>505.4</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Sandra Jaramillo	Lori LeRouge		Judi Hazlett	
<b>Signature</b>					
<b>Phone</b>	476-7902	476-7915		476-7912	
<b>Date</b>					

\* Includes expansion request for two FTE's.

## APPENDIX G C2 FORM

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
<b>Agency Name:</b>	State Commission of Public Records			<b>Agency Code:</b>	36900
<b>Project Name:</b>	Centralized Electronic Records Repository (CERR)		<b>Projected Start/End Date:</b>		07/01/2010
<b>Multi-Agency Project</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<b>List agencies participating:</b>	TRD – Taxation & Revenue Department GSD/RMD – GSD Risk Management Division OSE – Office of the State Engineer DPS – Department of Public Safety NMCD – NM Corrections Department	
<b>Project Type and Specifics:</b>	<u>Computer Systems Enhancement Fund</u> New System Development <input checked="" type="checkbox"/> Existing Systems <input type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund	180.0		150.0	1370.0	
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>180.0</b>	<b>0.0</b>	<b>150.0</b>	<b>1370.0</b>	<b>0.0</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services					
IT Services	180.0		150.0	838.0	
Other					
Travel					
Maintenance					
Supplies/Inv. Exempt				532.0	
Operating Costs					
Capital Outlay					
Other Financing Uses					
<b>Total</b>	<b>180.0</b>	<b>0.0</b>	<b>150.0</b>	<b>1370.0</b>	<b>0.0</b>
Agency Cabinet Secretary/Director (mandatory)		CIO or IT Lead (mandatory)		Budget Director (mandatory)	
<b>Name</b>	Sandra Jaramillo	Lori LeRouge		Judi Hazlett	
<b>Signature</b>					
<b>Phone</b>	476-7911	476-7915		476-7912	
<b>Date</b>					

## APPENDIX H

Projected IT Special, Supplemental, or Capital Requests: For informational purposes, provide one form for each anticipated Capital, Special, or Supplemental IT related budget request. Provide DoIT with copies of final DFA request forms at [DoIT.ITPlans@state.nm.us](mailto:DoIT.ITPlans@state.nm.us).

Information Technology Special, Supplemental and/or Capital request, Informational Purposes Only					
<b>Agency Name:</b>	State Commission of Public Records	Agency Code:	36900		
<b>Project Name:</b>	Archival Writer Hardware and Software	Start Date:	7/1/09		
<b>Project and Appropriation Funding Type:</b>	<u>Supplemental Request</u> Cost before July 1, 2009 Operational Enhancements <input type="checkbox"/>	<u>Special Request</u> Costs on or after July 1, 2009 Operational Enhancements <input type="checkbox"/>	<u>Capital Outlay</u>		
	or Completion of IT Projects <input type="checkbox"/>	or Completion of IT project <input type="checkbox"/>	Agency IT Infrastructure <input checked="" type="checkbox"/>		
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>General Fund</b>				175.0	
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>175.0</b>	<b>0.0</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>					
<b>Contractual Services</b>					
<b>Professional Services</b>					
<b>IT Services</b>					
<b>Other</b>					
<b>Travel</b>					
<b>Maintenance</b>					
<b>Supplies/Inv. Exempt</b>					
<b>Operating Costs</b>					
<b>Capital Outlay</b>				175.0	
<b>Other Financing Uses</b>					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>175.0</b>	<b>0.0</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>					
<b>Signature</b>					
<b>Phone</b>					
<b>Date</b>					

## APPENDIX I

### FY10 BUSINESS CASE

#### State Commission of Public Records - State Records Center and Archives (SRCA) Priority 1 - Centralized Electronic Records Repository (CERR)

#### I. Executive Summary

The goal of the SRCA is to obtain an electronic records management system (ERMS) which will function as a centralized electronic records repository (CERR) for the inactive records of State agencies. The CERR is a component of a wider enterprise content management (ECM) solution that will enhance the agency's ability to provide State agencies with a state-of-the-art tool for the efficient management of electronic records. In order to meet its statutory obligations for the efficient and effective management of public records as mandated by the Public Records Act (Sections 14-3-1 through 14-3-25 NMSA 1978), the SRCA is requesting funding for fiscal years (FYs) 2010 and 2011 in the amount of \$1,370.0 to implement the CERR. This multi-phase, multi-year project supports managing electronic records according to records retention and disposition schedules, adopted by the Commission of Public Records as rules in response to its statutory mandate. The project includes integration of records management functions into agency work processes, information systems and the enterprise architecture; reengineering and streamlining business processes in State government; and integration of the established ECM project with the CERR. Funding for phase I was appropriated during the 2008 legislative session (Laws 2008, Chapter 3, Section 7, Item 16). Phase I includes a high-level design of the CERR IT architecture, proposed system requirements, possible software solutions (COTS), hardware recommendations, bandwidth requirements, and assessment of potential server space for current and future needs. The \$1,370.0 requested by the SRCA will be used to implement the second and third phases of the CERR. Funding is required for software and hardware purchases, integration services, an IV & V vendor and a project manager.

The SRCA has identified enterprise content management (ECM) technologies as the optimum solution for implementing a CERR to manage electronic records; the technology can be used to capture, manage, store, preserve and deliver content across an enterprise in support of business processes. The CERR will allow the SRCA to provide a standardized method of managing inactive electronic records for State agencies, including, eventually, web-content management.

Managing inactive electronic records through the CERR supports three of the State Strategic IT goals:

- reduce cost of government operations through information technology;
- reduce cost of information technology operations through an Enterprise model; and
- improve delivery of services to the citizens of New Mexico.

Public records are important business assets that support State government operations by providing agencies the information they need to conduct business. They also document the actions of government and the rights of citizens. The solution proposed by the SRCA will provide a cross-boundary solution for managing, storing and retrieving inactive electronic records.

#### II. Business Problem and Opportunity

##### *The problem*

The problem can be stated simply: the State of New Mexico has no adequate means of managing the increasing volumes of public records that are being created and maintained electronically. The ramifications of the absence of an effective management tool are numerous and significant:

- productivity is compromised as employees waste time searching for electronic records residing on hard drives, networks, back-up tapes, etc.;

- public accountability is weakened as electronic records documenting governmental actions and decision-making are lost;
- the reliability of the public record is left to question as multiple and differing copies of the same record are created without standards for authenticating the official version;
- the State's historical record is jeopardized as electronic records of permanent or historical value are not identified and captured; and
- the financial position of the State is placed at risk as the costs of litigation and discovery rise and as litigation is initiated because public records cannot be located or have been destroyed.

The problem as it relates specifically to the SRCA is that the State Records Administrator, the head of the agency, has the statutory responsibility to establish "a records management program for the application of efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of official records." The Administrator is further charged with establishing standards and procedures for the effective management of public records. Public records are defined in the Public Records Act to mean "all books, papers, maps, photographs or other documentary materials, **regardless of physical form or characteristics**, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government or because of the informational and historical value of data contained therein." Since this definition extends public records to all documentary materials, regardless of format, the agency has the responsibility to address the management of records in electronic and digital formats.

**The agency does not now have the means of establishing effective management over electronic and digital records, which compromises both its ability to perform its statutory functions and the integrity and completeness of the State's documentary record.** While the Public Records Act requires all agency heads to cooperate with the Administrator and to manage their own records, the law clearly places the SRCA in the lead role.

The statutory charge to manage public records, regardless of form or physical characteristics, is reflected in the agency's mission statement.

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

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

It is also echoed in specific strategies, action steps and performance measures identified in both the agency's current FY 2009 Strategic Plan Update and in its new FY 2010 - 2011 Action Plan (part of a new five-year plan under development). For example, in the current plan, strategy 1.1 calls for the agency to "manage public records efficiently and effectively in accordance with statutory requirements," and action step 1.1.2 specifies that the agency "develop and implement a plan to help State agencies manage, store, preserve and access electronic records that must be maintained for longer than ten years." The new FY 2010 -2011 Action Plan contains the following elements.

Initiative 3	Manage, preserve and provide access to records and information.
Strategy 3.2	Address challenges of managing electronic records in State government.
Action Step 3.2.1	Implement phases II and III of the Centralized Electronic Records Repository (CERR).
Action Step 3.2.2	Begin acceptance of electronic records for storage in the CERR.
Action Step 3.2.3	Develop and update standards to support the CERR.
Action Step 3.2.4	Assess CERR end-user training needs.

Associated with these action steps are defined performance measures and targets.

PM#	ACTIVITY ORG UNIT	PERFORMANCE MEASURE	FY 10 TARGET	FY 11 TARGET
3.2.1.	ADM SRA	If funded, RFP for phase II of CERR issued by target date	8/1/2009	N/A
3.2.1.	ADM SRA	RFP awarded (State Purchasing) and contract executed with successful offerrer by target date.	1/1/2010	N/A
3.2.1	ADM IT and PRM RMD	Phase II - to include installation, data migration, testing, IV and V and training – implemented by target date. .	N/A	12/31/2010
3.2.1	ADM ITMD	Warranty provisions and future maintenance requirements reviewed by target date.	N/A	12/31/2010
3.2.1.	ADM IT and PRM RMD	Phase III close out completed by target date.	N/A	3/31/2011
3.2.2	PRM RMD	Electronic records transfers from user agencies accepted by target date.	N/A	4/1/2011
3.2.3.	ADM SRA and PRM RMD	Rule to govern CERR usage developed and promulgated by target date.	N/A	9/30/2010
3.2.3.	ADM SRA and PRM RMD	All other affected rules updated to conform to CERR standards and requirements.	N/A	9/30/2010
3.2.4	PRM RMD	Assessment of CERR end-user training needs completed and submitted to the State Records Administrator by target date.	7/1/2009	N/A
3.2.4	ADM SRA	Special appropriation request for CERR end-user training, if assessment validates need, developed and submitted by target date.	By DFA/LFC deadline	N/A
3.2.4	PRM RMD	If funded, CERR end-user training provided by target date (training to be provided during phase III close out).	N/A	3/31/2011

***The opportunity***

The longer the State continues without effective management of its electronic records, the greater the risk it incurs and likely the greater the cost and complexity of the solution. A comprehensive solution to the challenges of managing electronic records will, of necessity, involve not only the Department of Information Technology (DoIT) but, ultimately, all agencies. The SRCA has been a part of, and continues to participate in, a larger ECM project with several key agencies, as discussed under *Issues*, below.

However, what the SRCA proposes here is but one component of that larger overall solution, but a key component - a single, centralized repository for the inactive electronic records of State agencies, with those records managed in accord with accepted standards. With the implementation of the CERR, the

State of New Mexico has the opportunity to take a major step in slowing and eventually halting the degradation of those portions of its public and historic record documented in electronic format.

### ***The issues***

The proliferation of electronic information in the day-to-day operations of State agencies, along with the new US Federal Rules of Civil Procedure for e-discovery, Inspection of Public Records Act (IPRA) requests and e-mail management issues, has created a critical business challenge for State agencies. Multiple forms and sources of records and data have profoundly increased the complexity of procedures required to manage information and records. This presents a new area of risk for State government when agencies are confronted with litigation that requires the production of electronic documents and information. The courts have uniformly concluded that electronic data are subject to disclosure in litigation. When electronic information cannot be located and retrieved, the costs can be high; productivity is compromised as staff search for the information, which, if not located or located timely, can cost the taxpayer as monetary sanctions are imposed against State agencies. When called upon to produce electronic data, State agencies have found the process of culling back-up tapes and producing hard copies as well as electronic versions of documents a difficult and time-consuming task.

Investing in the implementation of a CERR, including developing procedures for managing electronic information, will result in tangible benefits for State government, enabling the efficient retrieval of information when agencies must quickly evaluate and respond to issues and make informed decisions. At the same time, unnecessary costs associated with backing-up and storing information that does not need to be preserved may be eliminated. As the agency responsible for creating efficient and effective records management programs for all State agencies, the SRCA has the knowledge base, procedures and rules in place to implement the CERR. What it does not have are the internal resources to manage the implementation of the CERR. To remedy this, the agency proposes to contract with a project manager (please see *Internal Resource Risks* under Section IV).

Implementation of the CERR will provide the opportunity to continue collaborations among the SRCA, the Department of Information Technology (DoIT), the Taxation and Revenue Department (TRD), the Human Services Department (HSD) and other State agencies that have implemented document management systems as well as those agencies that are requesting funding for ECM solutions in FY10. The SRCA has established file plans and metadata schemata for the TRD and the HSD that allow for the identification of inactive records, the application of retention and disposition and the ultimate transfer of data from the two departments to the CERR. As the official repository for the inactive records of State government, the SRCA will continue to work with State agencies to develop enterprise standards that build upon accepted principles of records management to ensure the authenticity, integrity, security and accessibility of electronic records.

## **III. Proposed Project Objectives/Performance Metrics**

### ***Objectives***

The proposed project objectives for the CERR are to:

- improve compliance with Federal and State laws pertaining to the creation and retention of, and access to public records;
- improve compliance with State rules and standards pertaining to the management and disposition of public records;
- enable efficient location and retrieval of public records;
- automate the process for identifying and classifying electronic public records;
- create structured and standardized metadata dictionaries to ensure identification and retrieval of records as well as system interoperability;
- provide complete records lifecycle management and support for all State agencies;
- provide structured access and security to ensure reliability and trust worthiness of records;
- standardize terminology and application of business rules and constructs; and

- integrate records management functions into agency work processes, information systems and the enterprise architecture.

As these objectives are achieved, other corollary benefits should be realized, including:

- the capability to identify and capture more easily electronic records of permanent or historical value;
- a decrease in the time spent in searching and retrieving electronic records;
- improved service delivery through better access to information;
- an improved ability to conduct business in an orderly, efficient and accountable manner;
- improved documentation of policies, decisions and outcomes for constituents and the legislature;
- an ability to meet legislative and regulatory requirements, including audits, more easily through organized, accessible information;
- a reduction in or avoidance of litigation and discovery costs to the State by providing timely access to records; and
- a reduction in storage costs through the application of automated records retention requirements.

Another important benefit of the CERR is the capability it offers of maintaining authentication of the official version of an electronic record. Currently, with multiple copies of records in electronic format possible, questions may well arise, particularly over time, concerning which is the "official" copy. The EDMS/ECM of the individual agencies should, through the application of metadata schemata developed in concert with the SRCA, enable identification of the official version and assure the transfer of that version to the CERR. Records will remain in participating agencies document management systems until they become inactive, at which time they will be moved into the CERR and retained until the legal retention period has been met. However, just as with paper records, the inactive electronic records stored in the CERR may be retrieved by the storing agencies. The CERR will serve as the repository for the authenticated version and only copies will be transferred out or opened to review, thus preventing alteration of the official version.

This is important because the SRCA, as the repository for the inactive electronic records, must be able to demonstrate the trustworthiness of records it will hold. To meet this requirement and its statutory obligation, the SRCA must demonstrate that once a document has been declared a record and transferred into the CERR, it possesses the following key characteristics:

- authenticity – a record must be what it purports to be and have a documented audit trail;
- reliability - a record must accurately reflect the transactions that it documents;
- integrity – the record must have integrity – it must be complete and unaltered; and
- usability – a record must be able to be located, retrieved, presented and interpreted.

### ***Other economies***

While this business case is built around a solution for storage and management of inactive electronic records, that solution, if funded, will also be used in part to manage paper and microform records.

The primary objective of the SRCA in seeking funding to implement a CERR is to enable it to take a major step in meeting its statutory obligations to provide efficient and effective records management programs for State agencies with respect to electronic records as it does for records in more traditional formats. However, the CERR will also allow serve as a replacement for the Image 2000 records management system software which now manages the paper and microform records the agency stores for other State agencies and governmental organizations.

That system manages the location and retention on some 90,000 cubic feet of paper records and 150,000 microform records stored by various agencies at the SRCA. It can only process paper and microforms. It is a stand-alone system that is not extensible and is scheduled for replacement. The CERR, with its integrated records retention and disposition schedules, can function as the management tool for paper and microform records as well as electronic records and, thus, if funded, will obviate the need for a replacement for the Image 2000. The estimated cost if a separate, replacement application for management of paper and microform records is required is approximately \$150.0.

Another economy would be realized as agencies streamline their business processes to eliminate the current, common practice of copying electronic records to paper. The streamlining of the business processes is an integral step in the development of agency-level EDMS and in the transfer of records to the CERR. While the copying of electronic records to paper may, in the short-term, seem simpler, it does not offer a viable long-term solution to storage and preservation of records in an increasingly electronic and digital age.

### ***The approach***

If the CERR is funded, implementation is expected to be completed by the end of the third quarter of FY11. Specific performance measures with targets (timelines) are identified in the table included in Section I, above. Initially, the CERR will accept the transfer of records from the EDMS/ECM at the TRD. Acceptance would then be expanded to other agencies participating in the multi-agency ECM project, and then to other agencies as they install EDMS/ECM solutions. The SRCA would work with other agencies as they move to these applications to ensure that the proposed solutions meet accepted standards and to develop appropriate file formats and metadata schemata so that their inactive electronic records could be moved seamlessly to the CERR. Effective management of electronic and digital records will not be achieved across State agencies simultaneously. It will be a step-by-step process, with the CERR providing a location for storage of inactive records with longer retentions for agencies as they achieve the requisite internal electronic records management capabilities. And it will be critical for the SRCA to be involved across all agencies to ensure that standards are applied uniformly to enable smooth transfer to the CERR.

### ***Performance Metrics***

There are tangible benefits to having a single electronic records repository managed according to established records and archival management principles and best practices, as evident above. The problem in establishing standards of measurements is that baseline data or current levels of service are not always readily identifiable or available.

For example, the ability to measure the reduction in litigation costs would offer an important means of evaluating the success of the CERR. However, there does not appear to be sufficient information on current costs to use as a baseline. Also, some of the benefits may not be measurable. While the CERR should result in cost and resource savings as staff time spent in searching for electronic records is reduced, there should also be difficult, if not impossible, to measure cost avoidance savings - lawsuits that are not filed because records are available from the start.

There are, however, several performance metrics which can be applied, including:

- the number of electronic records transferred to the CERR;
- the number of electronic records with permanent retentions identified and captured;
- the number of electronic records stored in the CERR destroyed in compliance with legal retentions; and
- the number of electronic records stored in the CERR for which requests for retrieval (authenticated copies) can be satisfied within 24 hours.

These are output measures commonly applied in assessing the performance of paper- and microform-based repositories. An electronic records repository, while utilizing different technology, should be expected to meet similar standards.

Performance metrics related directly to the implementation of the CERR include those listed here.

- Successful migration of data from the current records and information management system (Image 2000) to CERR (90 percent accuracy rate in conversion). The SRCA would like to achieve the 90 percent accuracy rate within a two-year period, beginning now in FY09 with the already funded phase I.
- Creation of metadata schemata for all general records retention schedules by June 30, 2010.
- Successful testing and validation of TRD MVD citation data transferred to the CERR with 99 percent accuracy.

#### **IV. Business Risks**

Key to the success of this project is establishing governance structures to determine how content is to be managed, searched and retrieved. By using appropriate governance structures, the SRCA can increase the likelihood of other State agency ECM systems integrating with the CERR and operating efficiently. This will include the creation of taxonomies and metadata dictionaries to provide consistency and standardization for effective content management and retrieval. The following table identifies a number of key risks, their estimated level, a mitigation note and explanatory comment.

Risk	Level	Mitigation	Comment
Insufficient or limited funding	High	Complete funding of the CERR	Insufficient funding allocation means that the SRCA will not have enough funds to purchase hardware, software and implementation services.
Insufficient management of electronic records	High	Implementation of the CERR	There are substantial risks associated with ineffective electronic records management. Possible exposures include legal discovery, regulatory inspections, investigations and violations of the Inspection of Public Records Act. In each instance, documentation of decisions and actions and possibly proof of guilt or innocence reside in records made and maintained using information technology. Electronic records pose an enterprise risk that is pervasive, affecting operations in every State agency. The CERR will provide a mechanism to store inactive State agency records as required by law for the required retention periods.
High cost of e-discovery	High	Implementation an ERMS (CERR) component as part of a wider ECM solution	Electronic discovery is the process of culling, processing, reviewing, and producing electronically stored information at issue in legal and administrative actions. The massive amounts of mismanaged electronic information and records pose significant challenges, particularly in the course of discovery. The courts are now categorizing electronic information and records into four types: active data, inactive data, deleted file and metadata. The volume and complexity of electronic records in State government require the SRCA and agencies to identify recordkeeping requirements when new systems are designed or when existing systems are upgraded. A solution such as the CERR will require State agencies to build records control into the process and system design so that inactive records can be transferred to the SRCA.

**Funding Risks**

Effectively managing the accumulation of State records in all formats requires procedures, standards and controls. Without proper management, recorded information and necessary data remain inaccessible and are eventually lost. There are costs associated with not being able to locate needed records in a timely manner, especially during litigation, as well as risks and costs associated with records being retained long past their usefulness.

The SRCA project cost estimates of \$1,370.0 for phases II and III are shown below in Section VI The \$1,370.0 is conservative but should support: 1) an external project manager; 2) hardware acquisition; 3)

software acquisition; 4) implementation services; and 5) IV & V services (as a percentage of project costs).

The risk of insufficient funding is a key factor for the SRCA. Less than \$1,370.0 in funding over FYs 2010 and 2011 would, at best, compromise or, more likely, prevent implementation of a viable solution.

### ***Records and Information Management Risks***

Public acceptance of New Mexico State government and its elected and appointed officials depends on trust and confidence. This trust is founded on all of New Mexico State government being accountable for its actions. Access to full and accurate records is at the heart of the accountability process. Records are the means by which the evidence of past and current actions, decisions, procedures and policy are preserved for future analysis and access. Records are fundamental tools in the business of government, and their absence can lead to inefficiencies or failures in operational procedures. The absence of records or the inability to produce them in accordance with law can lead to political embarrassment, accusations (even if unfounded) of fraud and impropriety, and an inability to defend the State of New Mexico in cases of legal action or claims against the government.

Not managing electronic records can result in:

- failure to capture records into recordkeeping systems, preventing or hampering their location when needed;
- failure to identify and retrieve the authoritative, authenticated version of a record when multiple versions exist;
- failure to maintain records for the required retention period;
- failure to assign responsibility for different aspects of recordkeeping at appropriate levels in the organization, leaving no one to take responsibility<sup>2</sup>; and
- failure to identify, capture and preserve elements of the State's documentary and historical heritage.

### ***Internal resource risks***

The internal SRCA factors that pose the greatest risks in deploying the CERR solution are limited human resources and turnover in key positions. The SRCA does not have the staffing resources to provide the level of project management implementation of the CERR requires. It has addressed that lack by including funding for a project manager. However, the agency fully recognizes that, even with an external project manager to oversee implementation, it must make a significant commitment of staff time to the management process to ensure that it does not lose control over the project. The agency realizes that the responsibility for the project is ultimately its own and that it must maintain close involvement in every step of the project, and it is willing to make the necessary commitment of staffing resources. Nevertheless, its limited IT and program staffing resources are risks that it must - and has - considered. The SRCA included in its FY10 appropriation submittal an expansion request for two IT positions. While those positions are not tied directly to the CERR - they are essential if the agency is to meet its increasing demands for IT services - nonetheless, they would enable the agency to provide the requisite IT support to the CERR for at least the next five years.

### ***External dependencies***

A key risk entailed in the CERR is the dependency on the implementation of EDMS/ECM solutions in State agencies. These solutions are prerequisites to moving inactive records to the CERR. With the agencies now participating - or proposing to participate - in the wider ECM project, the SRCA believes that the CERR would prove cost-effective as a storage solution for their inactive records alone. However, if the CERR is to function as planned - as a means of capturing, holding, providing retrieval access to and maintaining authentication of inactive records and, in doing so, protecting the documentary record of the State - then it must extend eventually to other agencies creating or holding electronic records with longer-term retentions. This will require both that the national standards used in the implementation of

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Reference Materials: Kansas Electronic Records Management Guidelines – Kansas Historical Society<sup>2</sup>

the ECM solutions at the TRD and the HSD be formalized by the SRCA and applied across agencies and that the SRCA work closely with agencies moving to EDMS/ECM solutions to ensure that appropriate file formats and metadata schemata are in place to enable a seamless transfer to the CERR. It will also require that those in management positions at all agencies understand the significance of electronic records management and of implementing internal EDMS/ECM solutions. Despite a decade of SRCA efforts to direct attention to the importance of electronic records management, it has only been in the last several years that a few agencies have begun the process of addressing the issue. It will take continued education efforts on the part of the SRCA, the cooperation of the DoIT and the IT community as well as records managers, and the active support of elected and appointed officials if the State is to gain effective control of the problem.

## V. Alternative Solutions

- **Maintain the current status.**

The recordkeeping practices in government organizations have changed radically over the past several decades due to new information technologies such as mainframes, PCs, local area networks and the Internet. Most State agencies are currently creating records in either paper and/or electronic format. Current State information systems do not address electronic records management issues. Issues such as establishing metadata, declaration of official record, retention requirements, legal holds, etc. are not even considered in most systems developments. State agencies will continue printing paper documents, originally created electronically, to meet records retention rules and electronic records will not properly be managed. They will continue losing historic documents originally created in electronic form (for example, there is no solution in place to index or archive the Governor's email correspondence for historical reference). Should the State be unable to produce electronic records for use in investigations, audits and especially litigation, the monetary as well as the less tangible costs of lost trust and confidence may well be high.

- **Develop an in-house CERR.**

For the State of New Mexico to undertake development of a CERR would be expensive and problematic, as discussed in the table below.

- **Implement an off-the-shelf CERR.**

To purchase and implement a CERR, using a commercial off-the-shelf (COTS) solution, which would be integrated with EDMS/ECM solutions at the agency level, would offer a more cost-effective approach and afford the agency and the State the benefit of the expertise developed by commercial vendors over the last decade or longer.

Alternative	Discussion	Risks/Costs	Benefits
1. Maintain current status	This alternative would continue the inability to manage and store properly inactive electronic records; and result in the persistence of paper-intensive processes ill-suited to an electronic/digital environment. These in turn would lead to increasing inefficient service delivery and growing costs associated with the risks identified in this table.	<ul style="list-style-type: none"> <li>• No consistent application of records management principles and techniques to electronic records.</li> <li>• Documents and e-mail records not properly managed or stored.</li> <li>• Electronic records stored in multiple areas/sites.</li> <li>• Inability to retrieve stored documents quickly.</li> </ul>	Short-run cost deferment.

Alternative	Discussion	Risks/Costs	Benefits
		<ul style="list-style-type: none"> <li>• Public records in electronic/digital formats lost/misfiled/destroyed before eligible for final disposition.</li> <li>• Lack of expertise within IT staff to manage electronic records.</li> <li>• Lack of sufficient IT/records management knowledge on the part of legal staff to authenticate records and address other legal concerns.</li> <li>• Current electronic systems perhaps not legally defensible (i.e., which is the official copy of record?)</li> </ul>	
<p>2. Develop in-house CERR as component of wider ECM solution.</p>	<p>Few, if any, organizations today builds their own word processing applications; they purchase Microsoft Word or Corel WordPerfect, which are far cheaper and superior to anything that could be developed in house. Publicly licensed software designed for mass consumption is generally superior to applications developed in house primarily because of economies of scale. The security features and reporting capabilities of an in-house solution will not be as robust, stable or as user friendly as a professionally developed application built by specialists. For more than ten years, ECM Vendors have honed their solutions. In addition, applications demand ongoing maintenance, and in rapidly evolving markets like ECM, constant change. This maintenance, including patches and transitions to superior technologies, among others things – is a source of</p>	<p>Risks associated with high development costs, resulting from the following requirements, among others:</p> <ul style="list-style-type: none"> <li>• needs analysis;</li> <li>• document imaging R&amp;D;</li> <li>• document management R&amp;D;</li> <li>• records mgmt R&amp;D;</li> <li>• web content R&amp;D;</li> <li>• workflow R&amp;D;</li> <li>• security design;</li> <li>• database design;</li> <li>• application build;</li> <li>• application testing;</li> <li>• pilot rollout;</li> <li>• beta testing;</li> <li>• production rollout; and</li> <li>• ongoing maintenance.</li> </ul> <p>Estimated timeframe – a minimum of two to three years. Estimated cost - \$10,000.0 and upward.</p>	<p>Control of development; ability to modify without losing support.</p>

Alternative	Discussion	Risks/Costs	Benefits
	organizational stress and, in most cases, best outsourced to specialists.		
3. Purchase COTS ERMS/CERR as component of wider ECM solution	Purchasing a commercial-off-the-shelf (COTS) electronic records management module for the CERR (as one component of an eventual wider ECM solution) will enable the storage and tracking of all physical formats of records (i.e., paper, microforms and electronic) and will provide the State of New Mexico with the start of an enterprise framework for the integration of the CERR with a broader ECM.	Risks identified in Section IV.  Costs - \$1,370.0 cost for implementing the ERMS module, which would be the CERR.	<ul style="list-style-type: none"> <li>• Increased efficiency and productivity through a well-managed CERR that is capable of managing inactive electronic, paper and microform records.</li> <li>• Enhanced ability to identify and capture permanent and historical electronic records.</li> <li>• Improved service by providing State agencies with a repository for inactive electronic records.</li> <li>• Elimination or mitigation of risks identified under alternative 2, above.</li> </ul>

## VI. Cost Benefit Analysis

### ***Alternative 1, above - Maintain the Current Status***

The costs associated with the status-quo solution (and identified in the table above) are difficult to quantify. It would require no IT special appropriation. However, the efficiencies lost as legal, IT and program employees cull through electronic records stored in various locales, in various formats and in various versions to locate official versions of electronic records are costly - and those costs are likely to grow as more records are created and maintained electronically and as new rules of e-discovery are applied in litigation. The cost to the State in awards and settlements stemming from litigation involving electronic records which cannot be located or accessed or authenticated could well be substantial - as they have been in private industry.

Beyond the costs in dollars are costs that defy quantification. The political embarrassment and, even more important, the loss of public confidence in State government that can follow the inability to produce public records cannot be discounted. Further, the loss of documents that support and elucidate the decisions, actions and decision-making processes of government leaves gaps in the documentary and historical record that cannot be filled.

### ***Alternative 2, above - Develop an in-house CERR.***

As noted in the table above, the development and implementation costs of this approach could well exceed \$10,000.0 and would require development of processes and procedures and technologies already available through COTS applications. Continuing costs of ownership would include on-going maintenance and development of future enhancements to maintain pace with technological and industry developments as well as those associated with daily operations (similar to those discussed under the recommended alternative 3, below). Further, integration of an in-house-developed CERR with COTS EDMS/ECM solutions could be problematic.

### ***Alternative 3, above -Purchase a COTS ERMS/CERR module as a component of a wider ECM solution .***

Analysis supports this as the solution that would best address the State's challenges in managing electronic records and specifically in providing effective storage for the State's inactive records and that would over time prove most cost-effective.

#### ***Proposed Timeline***

- Phase 1, needs assessment – completion February, 2009.
- Phase 2, implementation, to include hardware and software acquisition, data verification and conversion (to begin in FY09), installation, testing, training – completion December 31, 2010.
- Phase 3, project closeout, final IV & V, acceptance – completion March 31, 2010.

#### ***Proposed Budget***

- Phase 1, needs assessment (funded at \$150.0 in the 2008 General Appropriations Act).
- Phase 2, implementation, and Phase 3, project closeout – \$1,370.0

<b>Phases II and III - FY10 through FY11</b>	
<b>Expenditure Category</b>	<b>Amount</b>
<b>200 Personnel Services - Benefits</b>	0.0
<b>300 Contractual Services</b>	
Project Management (external manager)	\$198.0
ECM Integration Services	\$575.0
IV & V Services	\$65.0
<b>400 Other</b>	
Hardware	\$272.0
Software	\$260.0

<b>500 Transfers</b>	0.0
<b>TOTAL</b>	\$1,370.0

***Total Cost of Ownership***

*Non-recurring costs.*

Phase I is already funded; \$150.0 was appropriated in the 2008 General Appropriation Act for expenditure in FY09 through FY11, but the needs assessment is expected to be completed by February, 2009. Phase I includes a high-level design of the CERR IT architecture, proposed system requirements, possible software solutions (COTS), hardware recommendations, bandwidth requirements and assessment of potential server space for current and future needs.

The non-recurring costs for phases II and III are identified in the table immediately above. All but the requisite 20 percent project reserve for the integration services and costs proportionate to remaining contract responsibilities for the project manager and the vendor providing IV & V would be expended in phase II.

*Reduction in non-recurring costs.* Since the CERR would be used to manage records in all physical formats, its funding and implementation would negate the need to fund a replacement for the agency's Image 2000 system, which is now used to track and manage paper and microform records stored with the agency. The Image 2000 was scheduled for replacement in 2010, but no funding request was submitted because of the CERR request. If the CERR is not funded, the Image 2000 system will require replacement, at a total estimated cost, including data conversion, of some \$150.0

*Recurring costs.*

The primary new, recurring cost associated with the CERR would be annual maintenance. The agency does not have a solid estimate for maintenance on the CERR (that will depend on the vendor), although it estimates that it would likely be in the \$30.0 range, probably split somewhat evenly between software maintenance (category 300) and hardware maintenance (category 400). That cost would be offset to a small degree by the savings in maintenance costs for the Image 2000 and its replacement (see discussion above under *Reduction in non-recurring costs*). Maintenance on the Image 2000 currently runs approximately \$2.0 annually, although it is likely that maintenance costs for a new application would be higher.

The principal, other recurring costs would be those associated with staff support – both records management program staff and IT staff. The agency has requested two IT expansion positions for FY10. Neither is directly tied to the CERR; both are needed to meet current demands. However, if the two IT positions were funded, the agency would anticipate that it could provide the IT support needed for the CERR and other applications for approximately five years and perhaps longer, depending on experience.

Two other expansion positions - these for the records center - are also included in the agency's FY10 appropriation request. Again, they are needed to meet current requirements. However, since the CERR would be used for management of paper and microform records as well as electronic ones, the two records center positions would ensure adequate support for the records management functions now performed.

***Benefits***

*People*

The capability of the CERR to provide effective management of inactive electronic records will allow agencies to locate and retrieve copies of the records efficiently, enabling them to satisfy requests for information more readily. Although the CERR will not serve as an archival repository, it will facilitate the identification and capture of permanent and historical records and their subsequent conversion to microfilm and transfer to the State Archives. This, in turn, will help to assure a more complete historical record and thus benefit researchers, scholars, historians, students and genealogists. Finally, by reducing

costs of discovery and other aspects of litigation funded through tax dollars, the CERR will benefit the public through cost savings.

#### Process

A central repository for inactive electronic records does not currently exist for the State of New Mexico. Although the DoIT stores data and maintains servers along with the email enterprise system, the department does not have the statutory responsibility to apply retention and dispose of records. That responsibility rests with the SCRA. State agencies will not be required to monitor records retention requirements for records once transferred to the CERR since the CERR will automatically apply the appropriate retention. Notification of records eligible for final disposition will be provided to agencies with the proper authorization for disposition provided by the SRCA.

Application of records retention can result in savings by reducing IT costs associated with managing and storing inactive records that are no longer required to conduct business.

#### Technology

The CERR, as a part of an overall ECM solution, will eliminate unnecessary redundancy by negating the need for agencies to purchase separate ERMS for storing and managing their inactive records. The technology used in the CERR and the broader ECM addresses the following areas:

- records classification,
- records security,
- retention management,
- archival and disposal management, and
- physical tracking of records.

#### Business

The benefits of implementing both the CERR and the broader ECM solution include:

- an increase in efficiency and productivity through a well-managed records environment;
- the ability to access the correct version of a document or record;
- a decrease of costs for physical and electronic storage;
- the identification and capture of permanent electronic records for eventual conversion to microfilm and transfer to Archives for preservation and use by government and citizens, now and in the future;
- the improvement of service delivery to constituents;
- the ability to locate documents or records by having strong indexing, taxonomies and repository services;
- the documentation of electronic records management policies, decisions and outcomes to stakeholders and regulators;
- the ability to satisfy legislative and regulatory requirements, including audits;
- a reduction in the costs of e-discovery and a reduction in litigation risks; and
- an ability to reinforce public trust and ensure accountability through the proper management of records documenting the actions and decisions of government and the rights of the people of New Mexico.

#### ***Return on Investment***

Recognizing the critical nature of records in the compliance and information management processes, as well as the inherent flaws associated with user-driven systems, ECM solutions can offer agencies a unique approach that embeds records management decisions into the business processes. Those ECM solutions can allow agencies to automate the capture and classification of information – managing the creation, storage, usage and eventual destruction of records as defined by SRCA rules.

An ECM solution can provide invisible, intelligent automation - managing records at the technology layer, alleviating the burden on end users and eliminating the risks of relying too heavily upon the human factor. This results in automatically establishing documents as records – a process that is invisible to the end user. Use of ECM technology ensures end-user participation and associated compliance because it is seamlessly integrated into daily work routines. Eliminating end users' active involvement in the process enables agencies to reduce the potential for error and ensure the enforcement of best-practice records policies – ultimately lowering the cost of administration and streamlining reporting processes. Moreover, it can reduce time and costs associated with records filing, search, recovery and destruction processes by programmatically declaring, classifying and retaining all records related to specific agency initiatives or programs, in accord with records retention and disposition schedules promulgated as rules by the SRCA.

The CERR, as illustrated in attached conceptual design, is central to an integrated approach for the capture, maintenance, storage, access, disposition and preservation of electronic records. Agency records classified at their point of creation or capture can be virtually managed through SRCA-controlled file series and retention schedules. As the CERR Administrator, the SRCA has the authority to create centralized rules that are replicated in records libraries at the agency-hosted document repositories. In turn, agency records can be predicatively transferred to their "sister" SRCA repository based on chronological or vital requirements.<sup>3</sup>

## **PROJECT MANAGEMENT**

A phased approach will be used in the development and implementation of the CERR. Governance structures and standards will be developed. A project manager for the already funded phase I will be hired and a contract will be in place by September, 2008. The project manager will be responsible for maintaining a Project Management Plan and serving as a liaison between the SRCA Project Director and all vendors hired for the project. The Project Director (staff member of the Electronic Records Bureau) will sign off on all deliverables and will report directly to the Records Management Division (RMD) Director. As discussed earlier, the SRCA fully understands the importance of maintaining close involvement in every aspect of the project and recognizes that the responsibility for success or failure rests with it. Consequently, a project team has been established with the RMD Director providing oversight. The RMD Director reports directly to head of the agency. The SRCA CIO will serve as the technical lead for the project and will actively participate in every phase of the project. The SRCA will continue to meet with the ECM Work Group whose membership is made up of agencies who have implemented a document management system or who are interested in designing an ECM solution. The Work Group was established in 2005 as a steering committee for the EDMS project and has now evolved into a work group that meets once a month. The committee closely followed the progress of the ECM implementation at the TRD and the HSD and will be sharing best practices and lessons learned with all interested agencies. The State Records Administrator is currently serving as Chair of the ECM Work Group.

### Phase I:

In FY09 the agency received funding in the amount of \$150.0 for phase I (Laws 2008, Chapter 3, Section 7, Item 16). The project was certified by DoIT on June 4, 2008, and funds have been released. As part of the certification process, the SRCA developed a Project Charter which defines how the project will be managed. Phase I includes funding to conduct a needs assessment of the agency's IT infrastructure and develop recommendations for the CERR IT architecture and possible software solutions (COTS). The assessment is scheduled to be completed by February, 2009. The contract project manager will manage the project components including the tasks and work schedule of the needs assessment vendor and will also serve as liaison between the SRCA and the vendor on the CERR needs assessment project. The project manager will be responsible for maintaining a Project Management Plan and will also develop and deliver a bi-weekly project status report to the SRCA.

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<sup>3</sup>Whitepaper for Government June 2007 IBM, Transformational Government: Integrating Policy and Programs for an Agile Public Sector

Phase II:

The SRCA is requesting \$1,370.0 to implement the CERR. Deliverables for Phase II will be based on Phase I recommendations, which will include a defined process for implementing the CERR, including technical and functional requirements, procurement of hardware and software, installation and customization of COTS application, business process reengineering, interfaces, implementation, testing, validation and training.

The agency will continue the project management approach established for phase I for decision making and management of phases I and II. Standards and common practices for record processes will be developed that include rules, roles and responsibilities associated with the record lifecycle. This will include the creation of Records File Plans that become the core of the CERR. All activities are derived from the File Plan. This ensures that final disposition rules are followed.

Records will remain in participating agencies document management systems until they become inactive, at which time they will be moved into the CERR and retained until the legal retention period has been met, ensuring the authenticity and reliability of the record. As the official repository for inactive public records, the SRCA must be able to demonstrate the trustworthiness of records it holds for State agencies in the CERR. As stated earlier, to meet this requirement and its statutory obligation, the SRCA must demonstrate that once a document has been declared a record and transferred into the CERR, it possesses the following key characteristics:

- authenticity – a record must be what it purports to be and have a documented audit trail;
- reliability - a record must accurately reflect the transactions that it documents;
- integrity – the record must have integrity – it must be complete and unaltered; and
- usability – a record must be able to be located, retrieved, presented, and interpreted.

Phase III:

This phase includes the formal acceptance of the system and close out of any remaining requirements and should extend no longer than three months, concluding by the end of the third quarter of FY11, based on the proposed timeline.

## **VII. Recommendation**

The agency's recommendation is to implement the Centralized Electronic Records Repository (CERR). The SRCA believes the cost-benefit analysis, the risk analysis and project objectives and metrics as well as the return on investment all point towards an implementation of an electronic records management system, which would function as the CERR, as a part of a wider enterprise content management solution for the State of New Mexico.

## **APPENDIX A – Conceptual Architecture**

An integration vendor based in Denver, 5280 Solutions, LLC, designed the enterprise-wide ECM architecture for the State of New Mexico in June 2006. The enterprise model defines an ECM strategy that supports all content types and formats over their entire life cycle. As shown in the diagram on the following page, the Centralized Electronic Records Repository is central to an integrated approach for the capture, maintenance, storage, access, disposition and preservation of electronic records.

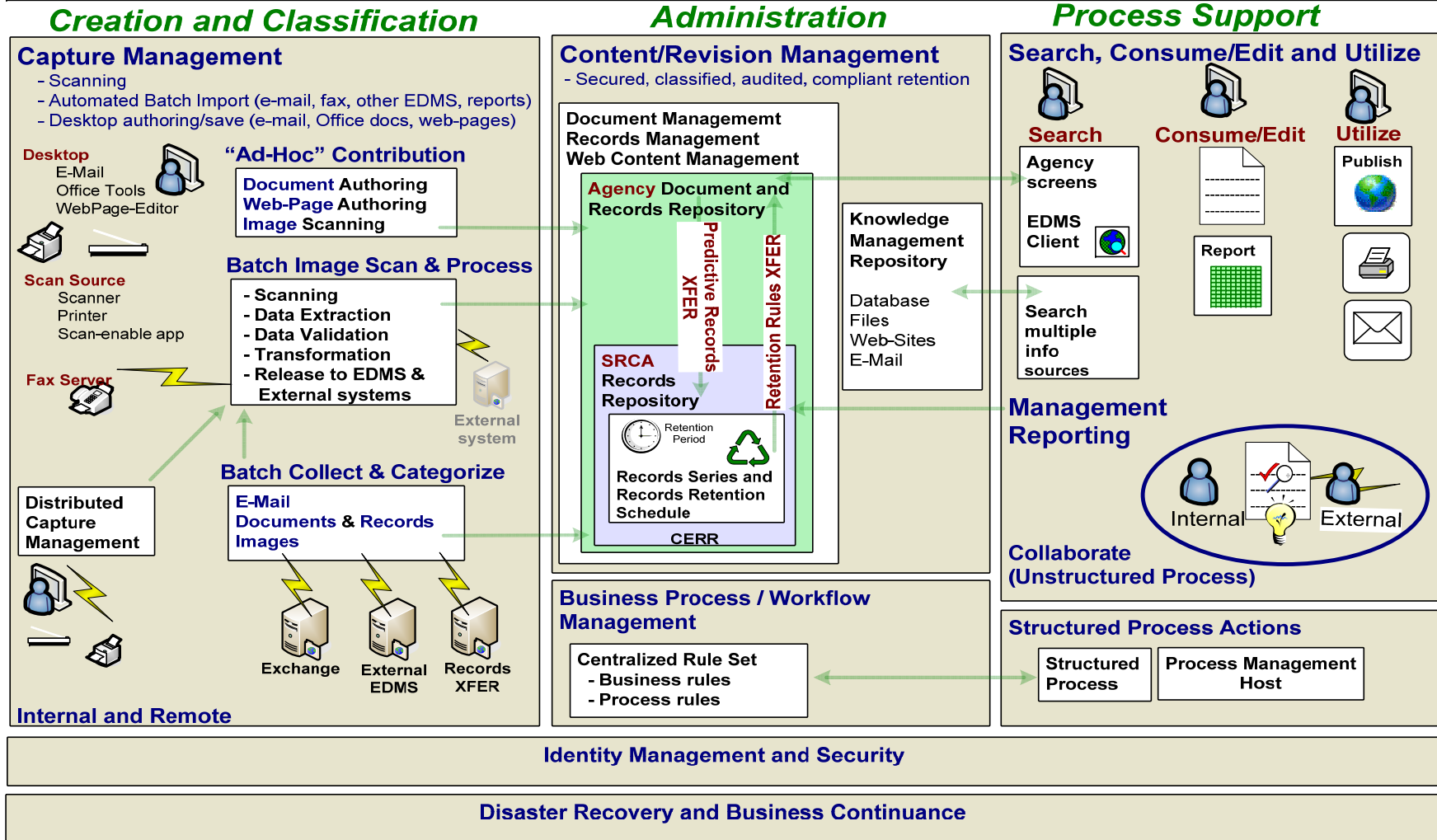
The Centralized Electronic Records Repository (CERR) or SRCA Records Repository is located at the center of the diagram shown on the next page. Agency records classified at their point of creation or capture can be virtually managed through SRCA controlled file series and retention schedules. As the CERR Administrator, the SRCA has the authority to create centralized rules that are replicated in records libraries at the agency-hosted document repositories. In turn, agency records can be predicatively transferred to their “sister” SRCA repository based on chronological or vital requirements.

Agency staff will have the ability, based on their authorizations, to review their transferred records using web access. Agency staff will be able to search both agency and SRCA hosted libraries for records.

The ECM architecture shows Identity Management and Security as the foundation for the CERR. Agency users must first be authenticated, proving they are who they say they are. An authenticated user is then authorized to work with selected content or records; the user’s permissions determine their authority to view, change, delete or add content within the repository. Disaster Recovery and Business Continuity is also an architecture design foundation for the ECM and CERR.

All types of content and documents created and/or captured by NM State agencies are specified in the architecture design for the ECM and the CERR. This includes email, faxes, reports, web pages, and Microsoft Office documents.

# Enterprise Conceptual View of ECM (EDMS/ERMS) Components and CERR



## APPENDIX J DOIT PLAN CHECKLIST

This summary checklist will be used by DoIT to evaluate FY10 IT Plans for initial requirement compliance. It is provided as an additional means for agencies to confirm plan requirements are met.

**AGENCY NAME:**

No.	Checklist Description	(Y/N)
<b>A</b>	<b>General Requirements:</b>	
A1	Has Agency management, responsible for the information submitted in the plan and for the business success of the projects listed, approved the plan?	
A2	Have all personnel who prepared and approved the plan provided their names and signatures?	
A3	Is the prescribed format followed and all mandatory sections completed?	
A4	Is the plan concise, complete and clearly tied to agency business goals?	
<b>B</b>	<b>IT Plan Past and Upcoming Fiscal Years</b>	
<b>B1</b>	Does the agency IT plan comply with and support:	
	A. State IT Plan?	
	B. State Architecture?	
	C. State Standards?	
<b>B2</b>	Are the IT proposals and spending plans linked to the maintenance and improvement of service delivery to the residents of New Mexico? E.g. Focus on direct delivery of services through IT such as internet based information and transactions?	
<b>B3</b>	Did the agency provide an executive summary of the agency's IT goals, appropriations and expenditures from prior fiscal years?	
<b>B4</b>	Did agency describe the progress made in advancing the objectives identified in the State IT Strategic Plan and any Governor's initiatives relevant to the agency?	
<b>B5</b>	Has the agency submitted a clear description of Environment and Infrastructure , additionally, any collaboration involving other agencies and any in the planning stage?	
<b>B6</b>	Was the Executive Business Continuity Plan (BCP) Scorecard filled out?	
<b>C</b>	<b>Inventory Information:</b>	
<b>C1</b>	Applications Inventory Completed?	
<b>C2</b>	Data Center Inventory Completed?	
<b>C3</b>	Network Inventory Completed?	
<b>C4</b>	Server Inventory Completed?	
<b>C5</b>	Desktop Hardware Completed?	
<b>C6</b>	Desktop Software Completed?	
<b>D</b>	<b>Agency Detailed Business Cases</b>	
<b>D1</b>	Is the Base Budget IT Project Form submitted as prescribed?	
<b>D2</b>	Is the Compliance Spreadsheet submitted for all current and proposed IT projects?	
<b>D3</b>	Do all multi-agency projects (i.e. projects which are functionally integrated across agencies) use the same project name and description? within the Business Case Descriptions; identify the collaborating agencies as well as the lead agency for the project; and include specific support and funding requirements for your agency?	
<b>D4</b>	Do IT project proposals demonstrate agency commitment to intra and interagency coordination and infrastructure improvement?	
<b>D5</b>	Has a detailed business case been completed for all operating budget IT projects costing more than \$100K next fiscal year or \$1M total over more than one fiscal year and for all special appropriation requests?	

## ATTACHMENTS

ATTACHMENT A – [Commission of Public Records Organization Chart](#)

ATTACHMENT B – [Network Design](#)

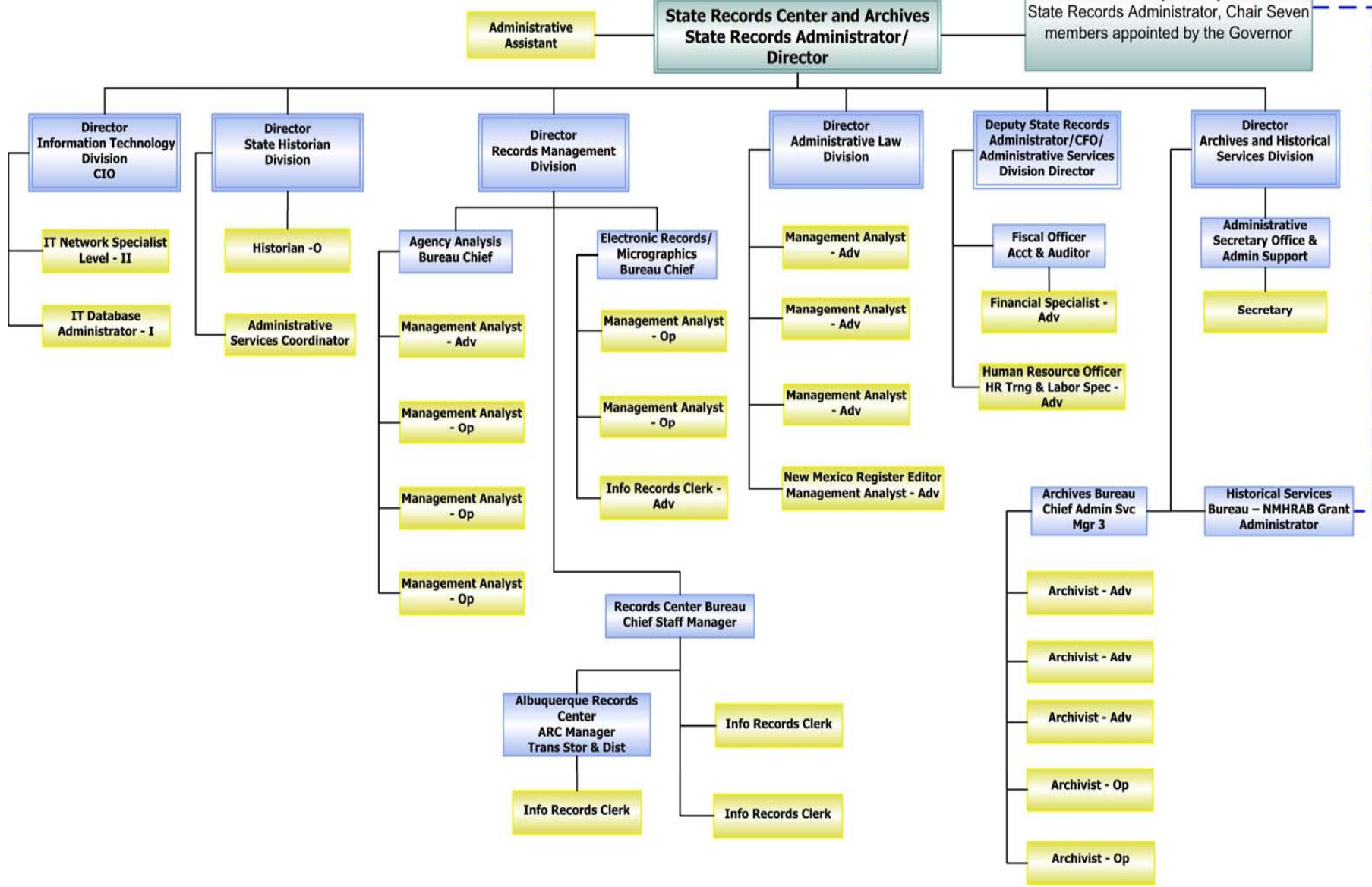
ATTACHMENT C – [Hardware Replacement Schedule](#)

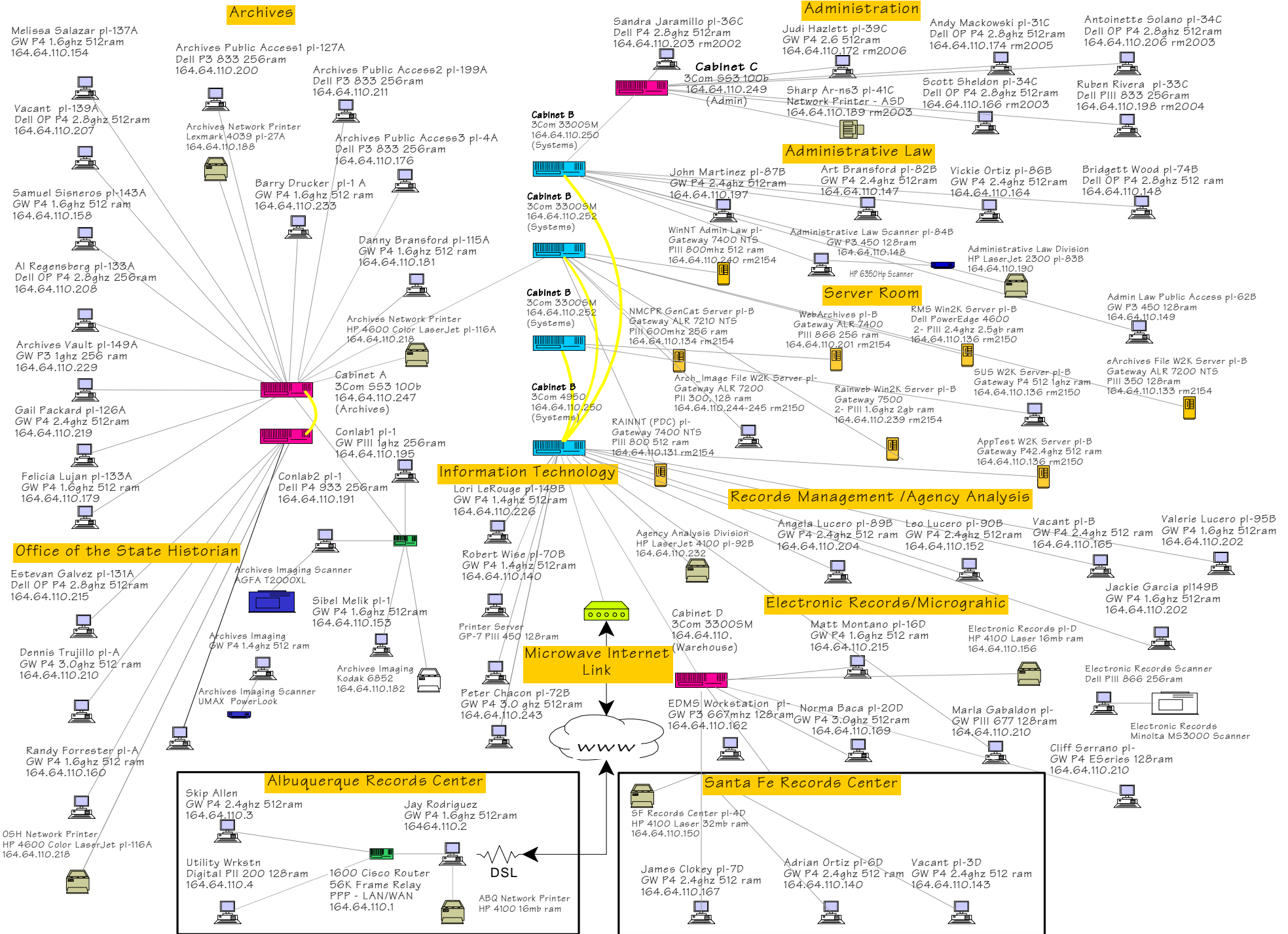
ATTACHMENT D – [Acronym Glossary](#)

ATTACHMENT E – [Business Case - Multi-Agency -ECM](#)

**NEW MEXICO COMMISSION OF PUBLIC RECORDS**  
 Governor-appointed Historian, Attorney General, State Auditor, Secretary of State, GSD Secretary, Supreme Court Law Librarian, Director of the Museum of NM

**NEW MEXICO HISTORICAL RECORDS ADVISORY BOARD (NMHRAB)**  
 State Records Administrator, Chair Seven members appointed by the Governor





# HARDWARE AND SOFTWARE REPLACEMENT SCHEDULE

NM Commission of Public Records IT Plan FY10

Hardware	FY08	FY09	FY10	FY11	FY12	FY13
<b>SERVERS – 5YR</b>						
DELL POWEREDGE 4600 P3 SERVER (1)	X					
GATEWAY 930 P3 SERVER (1)		X				
GATEWAY 960 XEON (1)		X				
DELL POWEREDGE 2850 (1)			X			
DELL POWEREDGE 2950 (1)				X		
DELL POWEREDGE 2900 (1)					X	
<b>LAPTOPS – 4YR</b>						
DELL P4 INSPIRON LAPTOP, 3.0 GHz w(1)	X					
GATEWAY P4 LAPTOP, M675E 3.2 GHz (3)		X				
GATEWAY P4 LAPTOP, M685E DUO (2)			X			
GATEWAY P4 LAPTOP, M685E DUO (2)				X		
GATEWAY M285 E TABLET LAPTOP (8)				X		
GATEWAY MPC E265M (2)					X	
<b>PC WORKSTATIONS – 4YR</b>						
DELL P4 GX270 2.8 ghz – 19" LCD (10)		X				
GATEWAY P4 E6100 3.0 ghz – 17" LCD (1)		X				
GATEWAY P4 E4100 3.0 ghz (3)		X				
GATEWAY P4 E4300C (3)		X				
GATEWAY P4 E4300C (4)			X			
GATEWAY P4 E4500 3.2ghz – 19" LCD (8)			X			
LENOVO THINKCENTRE M55 3.0 – 19" LCD (16)				X		
LENOVO IBM INTELLISTATION M55 – 19" LCD (2)				X		
<b>NETWORK SWITCHES – 6YR</b>						
3COM SUPERSTACK3 4400 SWITCH 24-PORT (1)			X			
3COM SUPERSTACK3 1000Mbps w/fiber mod. (5)	X					
3COM SUPERSTACK3 SWITCH 24-PORT (1)			X			
3COM SUPERSTACK3 3250 SWITCH 48-PORT (1)						X →
3COM 4500G 24 PORT1000GB SWITCH (5)						X →
<b>BATTERY BACKUP POWER SUPPLY – 4YR</b>						
APC SMART-UPS 1400 (2)	X					
APC RPO 500 (2)	X					
APC BACKUPS 1500VA (3)			X			
APC SMART-UPS 1400VA RACKMOUNTABLE (1)					X	
APC SMARTUPS 1400VA (5)					X	
<b>PRINTERS – 5YR – LASER, 4YR – COLOR</b>						
HP LASER JET 4100 (2)	X					
KODAK THERMAL PRINTER (1) – (8 Years)			X			
HP LASERJET1000 (10)			X			
HP LASERJET 1300 (1)		X				
HP LASERJET 2300 (1)		X				
HP ALL-IN-ONE PSC 2355 (3)			X			
HP LASERJET 3005DN (1)					X	
HP LASERJET 1022 (13)					X	
HP COLOR LASERJET 4700 dtn (1)					X	
HP LASERJET 3005DN (2)						X
<b>DIGITAL PROJECTORS –4YR</b>						
EPSON POWERLITE 73C (1)	X					
INFOCUS X2 DLP (2)			X			
INFOCUS IN32 DLP XGA (1)				X		
INFOCUS IN35 DLP – RMD (1)					X	
<b>SCANNERS – 4-6YR</b>						
AGFA T2000XL SCANNER (1)						
SYMBOL PHASER P360 (3)		X				

<b>Hardware</b>	<b>FY08</b>	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>
SYMBOL PHASER P360 (2)				X		
SYMBOL BARCODE LS 2208 (3)		X				
MINOLTA MS3000 (1)						
MICROTEK SCANMAKER 9800XL (1)	X				X	
UMAX POWERLOOK 21XL (1)		X				
<b>Microfilm Readers - 8YR</b>						
MINOLTA MS 3000 (1)		X				
MINOLTA MSP 6000						
<b>CAMERAS- 4YR</b>						
NIKON COOLPIX 995 3.2mp (2)		X				
MICROGRAPHICS MEDIA CAMERA (1)						
OLYMPUS C-4000 4.0mp (1)						
SONY CAMCORDER		X				
CANON DIGITAL CAMCORDER					X	
<b>FIRE WALLS -3YR</b>						
SONIC WALL SECURITY APPLIANCE (1)	X					
<b>Software</b>	<b>FY08</b>	<b>FY09</b>	<b>FY10</b>	<b>FY11</b>	<b>FY12</b>	<b>FY13</b>
<b>SERVER SOFTWARE (5)</b>						
MS Windows 2003 Server (2)				X		
Symantec Client Security (60)		X				
ARCserve Backup Software (4)			X			
ARCserve 12 Backup Software (1)						X
WatchGuard Aplock		X				
Web Trends Log Analyzer			X			
<b>APPLICATION SOFTWARE (5)</b>						
Image2000		X				
Eloquent Archives						X
<b>DESKTOP SOFTWARE</b>						
Adobe Acrobat Standard 6.0 (10)	X-5		X			
Adobe Acrobat Professional (9) need 6 more	X					
Adobe Photoshop 7.0 (9)						
Adobe Photoshop CS (11)	X-5					
Adobe Photoshop CS3 (5)			X			
Adobe Photoshop Extended CS3 (5)	X					
MS Office 2003 Pro (10) need 10 more			X			
MS Office 2007 Pro (6)	X				X	
MS Project 2003 (6)	X-4					
MS VISIO PRO (8)	X-5					X
Macromedia Dreamweaver MX (6)				X		
MS Vista (20)			X			

## ACRONYMS USED IN THIS DOCUMENT

**AHSD – Archives and Historical Services Division**

**ALD – Administrative Law Division**

**ASD – Administrative Services Division**

**CPR – Commission of Public Records**

**EDMS – Electronic Document Management System**

**ERTF – Electronic Records Task Force**

**HINTS – Historical Information Network Tracking Service**

**IS – Information Systems**

**IT – Information Technology**

**NMAC – New Mexico Administrative Code**

**NMCPR – New Mexico Commission of Public Records**

**NMHRAB – New Mexico Historical Records Advisory Board**

**NMSA – New Mexico Statutes Annotated**

**OANM – On-line Archives of New Mexico**

**OSH – Office of the State Historian**

**PRLS – Public Records Locator Service**

**RAINNT – Records and Archives Information Network NT**

**RIAM – Records Information and Archival Management**

**RMD – Records Management Division**

**SRCA – State Records Center and Archives**

# MULTI-AGENCY ENTERPRISE CONTENT MANAGEMENT PROJECT FY10 SPECIAL INFORMATION TECHNOLOGY APPROPRIATION REQUEST

## Participating Agencies

Commission of Public Records - State Records  
Center and Archives (SRCA)  
Taxation and Revenue Department (TRD)  
Department of Public Safety (DPS)  
NM Corrections Department (NMCD)  
Office of the State Engineer (OSE)

## I. EXECUTIVE SUMMARY

Each of the agencies identified above is a participant in or is proposing to participate in an on-going and expanding effort to find and implement a viable solution to the daunting challenges of managing the ever-growing number of public records created and maintained in electronic format. Each has prepared and submitted a full business case to support a request for funding of a particular component of that solution. The purpose of this more global business case is to demonstrate the interconnectivity of the individual agency requests. It will present the larger issues involving the management of electronic records; address possible business and technological solutions; summarize the individual agency proposals; discuss how they relate, where applicable, to each other and to a broader, statewide solution; talk about the more over-arching risks (the agency-specific risks are described in the individual agency submittals); and provide a summation of the costs of all the proposals.

The intent here is not to replicate the detailed arguments made in support of the agency-specific requests, but rather to provide decision-makers a means of looking at the distinct agency proposals within a more comprehensive framework. Legislators and the Governor, as well as certain appointed officials and agency staff - all charged, at various steps in the appropriation process, of making or influencing decisions about the use of public funds - obviously need sufficient and accurate information to make informed determinations. When there are multiple requests for funding for similar or like projects, these decision makers need to be able to ascertain how the projects relate and whether they mesh to form a cohesive whole or whether they represent disparate and perhaps redundant efforts. The effort in this business case is to answer questions about how these projects link and to offer assurance that they are part of a considered and integrated approach to the problems of electronic records management.

An assessment of the State's information technology environment as it related to electronic records management conducted in FY 2005 by Optimos, Inc., under contract to the SRCA, validated the need for an Enterprise Content Management (ECM) solution to the State's records management needs. The Association for Information and Image Management (AIIM), in 2005, defined ECM as the *technologies used to capture, manage, store, preserve and deliver content and documents related to organizational processes*. While the terminology and technologies continue to evolve, an ECM solution, as the term is used here, incorporates and integrates multiple products that address the range of information and document management requirements across the participating agencies and, ultimately, across State government.

Two components of an ECM solution are Electronic Document Management Systems (EDMS) and Electronic Records Management Systems (ERMS). The ECM solution, proposed in this business case, includes the integration of EDMS implemented within participating agencies with an ERMS that will serve as a Centralized Electronic Records Repository (CERR) for the storage of inactive public records (those records that are no longer in regular use by an agency but that have not met their legal retention). The CERR would be managed by the State Records Center and Archives (SRCA). As pointed out in the

Optimos report, both EDMS and ERMS are concerned with the content and context of information and defining who has access to the information and what they can do to it. The difference is that document management focuses on document creation and process improvements, while records management is concerned with capturing and preserving records according to an agency's records retention and disposition schedule and with the ultimate disposition of the records. Each participating agency will manage and control access to its own documents while transferring inactive electronic records to the CERR and retrieving, as needed, copies of those records.

## **II. BUSINESS PROBLEM AND OPPORTUNITY**

### **THE PROBLEM**

The problem can be stated simply: the State of New Mexico has no adequate means of managing the increasing volumes of public records that are being created and maintained electronically. The ramifications of the absence of an effective management tool are numerous and significant:

- productivity is compromised as employees waste time searching for electronic records residing on hard drives, networks, back-up tapes, etc.;
- public accountability is weakened as electronic records documenting governmental actions and decision-making are lost;
- the reliability of the public record is left to question as multiple and differing copies of the same record are created without standards for authenticating the official version;
- the State's historical record is jeopardized as electronic records of permanent or historical value are not identified and captured; and
- the financial position of the State is placed at risk as the costs of litigation and discovery rise and as litigation is initiated because public records cannot be located or have been destroyed.

The problem exists statewide - in the individual State agencies and in agencies such as the State Records Center and Archives with its statutory mandate to provide effective records management for the State's public records, regardless of format, and the Department of Information Technology with its responsibility to oversee the State's information technology environment.

Many agencies have difficulty managing records in paper and other more traditional formats, especially, but certainly not exclusively, larger agencies with high volume, paper-intensive processes. The concept of records management and the tools available are ill-understood and, unquestionably, paper records are misfiled, are lost. However, these records are tangible; they can be touched, moved in hard copy from person to person, location to location. The official version, often signed by a designated official, or a copy thereof can be placed in a filing cabinet to be accessed while active and, once inactive, moved to a records storage box for storage at the SRCA records center until final disposition. An agency's designated records liaison can be called upon to help identify records series and retention. And, today, while the great majority of records are created electronically, the great majority of those are copied to paper and handled in this manner. (Although with ease of duplication and alteration afforded by personal computers and word processing, spreadsheet and presentation software, whether the "right" version of the document is what is captured on paper is not always a given.) Although this copying to paper may seem the simpler approach, it is not, in an increasingly electronic and digital environment, a reasonable and cost-effective long-term solution. Even in the short run, it creates inefficiencies and is not without cost - for paper, for storage containers and space, for resources used in searching through filing cabinets and storage boxes, etc.

However, records created and maintained electronically or scanned and digitized present a more complex set of management demands. With a work station at every desk the rule in most agencies, every employee can potentially create, alter, maintain and, with a click, delete electronic documents that may well meet the definition of public records - and every employee must, if effective control of the records management process is to be established, become, at least to some degree, a records manager.

However, to expect every employee to recognize a document he or she has created or received as a public record, to classify it appropriately based on content and apply correct retention and move it to electronic holding areas is not realistic. How to identify, capture, retain, retrieve and assure the authenticity of what ultimately becomes the official version of an electronic record has proven problematic. And the inability to locate, retrieve and authenticate electronic records carries substantial risks.

The proliferation of electronic information in the day-to-day operations of State agencies, along with the new US Federal Rules of Civil Procedure for e-discovery, Inspection of Public Records Act (IPRA) requests and e-mail management issues, has created a critical business challenge for State agencies. Multiple forms and sources of records and data have profoundly increased the complexity of procedures required to manage information and records. This presents a new area of risk for State government when agencies are confronted with litigation that requires the production of electronic documents and information. The courts have uniformly concluded that electronic data are subject to disclosure in litigation. When electronic information cannot be located and retrieved, the costs can be high; productivity is compromised as staff search for the information, which, if not located or located timely, can cost the taxpayer as monetary sanctions are imposed against State agencies. When called upon to produce electronic data, State agencies have found the process of culling back-up tapes and producing hard copies as well as electronic versions of documents a difficult and time-consuming task.

Further, the historic patrimony of the State is at risk as electronic records of permanent and historic value are lost or destroyed - records that cannot be recreated. Permanent records are key to documenting the actions and decisions of elected and appointed officials and the decision-making processes of State government as well as the rights of the people of New Mexico. The gaps in the historical record created by their loss or destruction can deprive future generations of historical knowledge and alter historical perspective. While the ECM solution, with its CERR component, will not serve as an electronic archive (with a current preservation standard of 500 years, the costs of preserving electronic records in electronic format are prohibitive), it will permit the identification and capture of records with permanent retention and facilitate their eventual conversion to microfilm for transfer to the State Archives.

## **THE OPPORTUNITY**

An ECM solution, integrating agency-level EDMS, using standardized file formats and metadata schemata, with a central ERMS (the CERR) offers the opportunity to realize operational efficiencies and improved productivity. It affords a means of addressing the problems identified in the first paragraph of the *Executive Summary*, above, and of mitigating the risks associated with ineffective management of electronic records and discussed in more detail later in this document.

The longer the State continues without effective management of its electronic records, the greater the risk it incurs and likely the greater the cost and complexity of the solution. A comprehensive solution to the challenges of managing electronic records will, of necessity, involve not only the SRCA and the agencies participating in this project as well as the Department of Information Technology (DoIT) but, ultimately, also all agencies. An initial but separate EDMS project begun several years ago with participation of the SRCA, the TRD and the HSD has provided a collaborative structure that can be, and is being, built upon to guide the State's pursuit of a workable enterprise-wide solution for the management of electronic records. That project also led to initial EDMS/ECM solutions being implemented at the HSD and the TRD - projects that included the application of standard file formats and metadata schemata developed by the SRCA. A key link between that earlier project and the broader ECM solution proposed here is that the first transfers of inactive records to the CERR are expected to be motor vehicle records from the TRD, captured through its now operational EDMS/ECM solution.

Since it is unlikely that any single EDMS will satisfy the requirements of every agency, the ECM approach envisioned here would permit the implementation of agency-specific EDMS solutions, provided those solutions meet certain national standards and provided the agencies adopt the standardized file formats

and metadata schemata developed in concert with the SRCA. These file formats and metadata schemata provide the all important link between the individual agency EDMS and the centralized ERMS or CERR, managed by the SRCA. They enable the application of records retention and disposition to the records in the individual EDMS and the identification, capture and transfer of inactive electronic records to the CERR.

The CERR, which is described in detail in the business case submitted by the SRCA, sits at the center of the ECM solution, as is shown in the diagram of the conceptual architecture appended to this business case (as well the SRCA submittal). It is but one component of that larger overall solution, but a key component - a single, centralized repository for the inactive electronic records of State agencies, with those records managed in accord with accepted records management standards. Without the CERR, agencies are left without a management and storage solution for electronic and digital records with longer-term retentions or are compelled to seek funding for their own ERMS components; this would defeat the economies offered by a central repository and leave much of the records management responsibility to agencies without the knowledge and expertise or staff to effect it.

In summary, the State of New Mexico faces considerable and potentially costly risks until it is able to come to grips successfully with the challenges and problems of managing electronic and digital records. The operational inefficiencies deriving from attempting to apply paper-based processes to an electronic and digital records environment will continue and undoubtedly grow. The threat to the completeness of the historical record will remain and compound. With the implementation of the ECM solution proposed here, the State of New Mexico has the opportunity to take a major step in slowing and eventually halting the degradation of those portions of its public and historic record documented in electronic format.

Managing electronic records through the ECM solution proposed in this business case also offers the opportunity to reinforce three of the State's strategic IT goals, specifically to:

- reduce cost of government operations through information technology;
- reduce cost and complexity of information technology operations through an enterprise model;
- improve delivery of services to the citizens of New Mexico; and
- support economic development.

The relationship of an ECM solution to these strategies and associated tactics is discussed in the table below. Further, the State of New Mexico FY10 Information Technology Strategic Plan recognizes *enterprise content management and centralized records repository system* (ECM and the CERR) as a strategic initiative.

<b>State Strategy</b>	<b>State Tactics</b>	<b>Enterprise Content Management (ECM) Project Outcomes</b>
<b>Reduce cost of government operations through IT</b>	Ensure coordination, simplify integration, build a consistent architecture and promote greater efficiencies in the development of IT solutions to support agencies' missions to serve the citizens of NM.	ECM reduces costs and increases the efficiency of paper-based and electronic processes, especially the imaging and workflow components. ECM supports and enhances sharing of data from existing systems by improving access. ECM streamlines and integrates processes that cross business units, multiple applications, and agency boundaries. With the requisite standardization of file formats, adoption of metadata dictionaries, and compliance with uniform standards for EDMS applications, ECM simplifies integration and supports development of a consistent architecture.

State Strategy	State Tactics	Enterprise Content Management (ECM) Project Outcomes
<b>Reduce cost and complexity of IT operations through an enterprise model</b>	<p>Improve the delivery and management of enterprise IT services.</p> <p>Implement cost-effective and efficient technologies to improve the State infrastructure and further promote consolidation efforts.</p> <p><i>Develop and promote ECM best practices and a centralized records repository system</i></p>	<p>As a multi-agency project, the goal is to implement an ECM that leverages existing experience in records management, document management and processes within the SRCA, TRD, OSE, NMCD and DPS. The ERMS/CERR component, along with the creation of standard file formats and metadata dictionaries, will enable the transfer of inactive public records from across the enterprise to the SRCA-managed CERR and obviate the need to acquire separate ERMS for individual agencies.</p>
<b>Improve delivery of service to the citizens of NM</b>	<p>Continue the development and support of internet and technology-based channels for the delivery of State information and services.</p>	<p>An ECM solution will provide faster and more efficient retrieval of information, enabling more rapid responses to requests for information. It should also help to reduce wait time for processing other transactions dependent on information stored in electronic formats.</p>
<b>Support economic development</b>	<p>Facilitate business interaction with State government</p>	<p>AN ECM solution allows easier and timelier access to records, which facilitates conducting business with State government.</p>

### III. Proposed Project Objectives/Performance Metrics

The broader objectives of the ECM solution include those shown in the table below.

Objective	Comments
<p>Develop and maintain consistent ECM rules for State government based on best practices, agency input and lessons learned.</p>	<p>The SRCA and the DoIT are collaborating on an ECM rule that will provide direction to State agencies that have an existing EDMS or would like to implement an EDMS. The SRCA will also promulgate rules on digital standards and the CERR.</p>
<p>Improve operational efficiencies and reduce costs.</p>	<p>Effective records management leads to smooth operations by making the records and information needed for decision making and operations readily available. An ECM solution can also reduce costs by decreasing time spent in searching for records</p>
<p>Promote better service delivery to constituents.</p>	<p>Through streamlining of business processes (a prerequisite to implementation) and simplifying records and information retrieval, services can be delivered faster. Delivery of services involving</p>

	verification of data held in electronic formats can be facilitated.
Promote open government.	By improving the ability to locate and retrieve records, both active and inactive, through an ECM solution, requests for information can be satisfied more readily. By facilitating the identification and capture of records of permanent and historic value, the documentation of governmental decisions and actions is preserved and protected.
Mitigate risks.	By automating current manual business processes, facilitating proper retention of records in accordance with retention and disposition schedules and enabling efficient location and retrieval of records, risks associated with lost or prematurely destroyed records can be lessened. These risks include financial exposure resulting from litigation, loss of public confidence, political embarrassment, an incomplete and distorted historical record, etc.
Integrate records management functions into agency work processes, IT enterprise architecture and information systems.	A well-designed records management system helps protect an organization legally, helps the organization demonstrate compliance with regulatory obligations, and increases organizational efficiency by promoting the proper disposition of records and non-records.
Ensure the integrity of electronic records.	The application of a common metadata schema to a record will help to identify the official record. Once an inactive document has been declared the official record and transferred into the CERR, it will be held there until final disposition, with copies transferred out when custodial agencies request. This practice, along other with technological and human safeguards built into the CERR, will help to ensure the authenticity, reliability, integrity and usability of the record..

### Agency Project Objectives

Detailed objectives and related performance metrics for each of the components of this enterprise proposal are delineated in the individual agency business cases. However, following are summaries of the purposes and objectives of the individual business cases submitted by the participating agencies.

#### **State Records Center and Archives - Centralized Electronic Records Repository - \$1,370.0**

The goal of the SRCA is to obtain an electronic records management system (ERMS) that will function as a centralized electronic records repository (CERR) for the inactive records of State agencies. The CERR is a component of a wider enterprise content management (ECM) solution that will enhance the agency's ability to provide State agencies with a state-of-the-art tool for the efficient management of electronic records. In order to meet its statutory obligations for the efficient and effective management of public records as mandated by the Public Records Act (Sections 14-3-1 through 14-3-25 NMSA 1978), the SRCA is requesting funding for expenditure in fiscal years (FYs) 2010 and 2011 in the amount of \$1,370.0 to implement the CERR. This multi-phase, multi-year project supports managing electronic records according to records retention and disposition schedules, adopted by the Commission of Public Records as rules in response to its statutory mandate. The project includes integration of records management functions into agency work processes, information systems and the enterprise architecture; reengineering and streamlining business processes in State government; and integration of the established ECM project

with the CERR. Funding for phase I was appropriated during the 2008 legislative session (Laws 2008, Chapter 3, Section 7, Item 16). Phase I includes a high-level design of the CERR IT architecture, proposed system requirements, possible software solutions (COTS), hardware recommendations, bandwidth requirements, and assessment of potential server space for current and future needs. The \$1,370.0 requested by the SRCA will be used to implement the second and third phases of the CERR. Funding is required for software and hardware purchases, integration services, an IV & V vendor and a project manager.

The proposed project objectives for the CERR are to:

- improve compliance with Federal and State laws pertaining to the creation and retention of, and access to public records;
- improve compliance with State rules and standards pertaining to the management and disposition of public records;
- enable efficient location and retrieval of public records;
- automate the process for identifying and classifying electronic public records;
- create structured and standardized metadata dictionaries to ensure identification and retrieval of records as well as system interoperability;
- provide complete records lifecycle management and support for all State agencies;
- provide structured access and security to ensure reliability and trust worthiness of records;
- standardize terminology and application of business rules and constructs; and
- integrate records management functions into agency work processes, information systems and the enterprise architecture.

As these objectives are achieved, other corollary benefits should be realized, including:

- the capability to identify and capture more easily electronic records of permanent or historical value;
- a decrease in the time spent in searching and retrieving electronic records;
- improved service delivery through better access to information;
- an improved ability to conduct business in an orderly, efficient and accountable manner;
- improved documentation of policies, decisions and outcomes for constituents and the legislature;
- an ability to meet legislative and regulatory requirements, including audits, more easily through organized, accessible information;
- a reduction in or avoidance of litigation and discovery costs to the State by providing timely access to records; and
- a reduction in storage costs through the application of automated records retention requirements.

Another important benefit of the CERR is the capability it offers of maintaining authentication of the official version of an electronic record. Currently, with multiple copies of records in electronic format possible, questions may well arise, particularly over time, concerning which is the "official" copy. The EDMS/ECM of the individual agencies should, through the application of metadata schemata developed in concert with the SRCA, enable identification of the official version and assure the transfer of that version to the CERR. Records will remain in participating agencies document management systems until they become inactive, at which time they will be moved into the CERR and retained until the legal retention period has been met. However, just as with paper records, the inactive electronic records stored in the CERR may be retrieved by the storing agencies. The CERR will serve as the repository for the authenticated version and only copies will be transferred out or opened to review, thus preventing alteration of the official version.

***NOTE: The language in the following summaries is extracted from the agencies' individual business cases.***

**Taxation and Revenue Department - Expansion/Enhancement of Existing COTS ECM Solution - \$150.0**

State agencies are increasingly relying on information technology to manage work; make decisions; carryout business processes; and as the primary means of communication. Many business transactions that were once paper-based are now being performed electronically. While agencies continue to generate paper, most records are being created electronically, remaining in an electronic format for at least a portion of their life cycle. *"It is estimated that more than 90% of the records being created today are electronic. Coupled with the overwhelming growth of electronic messages - most notably e-mail and instant messaging - the management of electronic records has become a critical business issue."*<sup>A</sup>

The shift from a paper to an electronic record-keeping environment requires a viable solution to manage the large quantity of computer-based information created by State agencies in accordance with State and federal laws. The Public Records Act defines a public record as any book, paper, map, photograph or other documentary materials regardless of physical form or characteristics, made or received by an agency in pursuance of law or in connection with a business transaction. While many State agencies have established records management programs for paper records, most do not have active records management programs for electronic records.

The Taxation and Revenue Department (TRD) receives a massive amount of paper documents for audits, federal tape match projects, bankruptcy documents from the courts, registration applications, registration update forms, tax credit applications, and correspondence from taxpayers. The paper is either microfilmed or stored, which is very time consuming, makes it difficult to retrieve, and takes a massive amount of room to store. TRD intends to implement ECM solutions to allow offices located across the state to image the various types of paper documents they receive, while allowing for easy retrieval from any office in the state.

- Scan all audit and tape match project files with related documents;
- Scan all business registrations and update forms, while allowing access to the images by all GenTax tax processing users;
- Scan all bankruptcy notifications and related documents received from the bankruptcy courts, attorneys, and taxpayers;
- Scan all tax credit application and supporting documentation provided;
- Scan all taxpayer correspondence received and attach the images to taxpayer client registrations;
- Allow specific security to be implemented to control access to documents.

The objectives for implementing ECM solutions within TRD multiple divisions include:

- Compliance with federal regulations;
- Document management including indexing and search capabilities;
- Audit trails for document check-in and check-out;
- Security for digitally stored personal identification documents;
- Maintaining records authenticity;
- Easy access for taxpayer information in every Audit & Compliance office across the state;
- Archival records management.

TRD is requesting FY10 funds of \$150,000 to expand and enhance our existing COTS ECM solution.

This request is an extension of an Electronic Document Management System (EDMS) project initially funded in the General Appropriation Act of 2004 submitted by three agencies, the Human Services Department (HSD), Taxation and Revenue Department (TRD) and the Commission of Public Records - State Records Center and Archives (SRCA). The project initially funded in 2004 for expenditure in Fiscal Year (FY) 2005, was extended through FY06, FY07 and FY08. The initial project funding provided for: 1) an assessment of the electronic records environment in State government; 2) establishment of functional

and technical requirements for an Electronic Document Management System (EDMS); and 3) the implementation of an EDMS at HSD and TRD that could serve as a standard for all State agencies.

<sup>1</sup> ARMA International, The Association of Records Management Professionals, [www.arma.org](http://www.arma.org)

### **Office of the State Engineer and Interstate Stream Commission - EDMS/ECM SOLUTION - \$180.0**

The following Office of the State Engineer and Interstate Stream Commission (OSE/ISC) business processes and technology systems can achieve significant process improvements through the implementation of integrated Enterprise Content Management (ECM) solutions:

- The Water Administration Technical Engineering Resource System (WATERS) - a non-graphical system to access water right information;
- The Enterprise Water Administration Technical Engineering Resource System (eWATERS) - provides web based system to access water right information;
- The Internet Water Administration Technical Engineering Resource System (iWATERS) - uses the web browser to access water right information;
- Litigation Management includes the discovery process, evidence organization, and search capability. Concordance is the OSE system used to manage litigations from beginning to end.

The OSE has the Data Capture Web based software from Datacap, Inc. and FEITH Document Database (FDD) from FEITH Systems and Software. OSE staff develops and continues to maintain integration between its business systems and disparate document management systems. The OSE/ISC desires to achieve substantial process improvements through ECM solutions including providing improved service to customers, increasing the productivity of clerical, professional and management staff, and providing integration and access to OSE/ISC files and data systems from individual workstations and Internet users.

### **Department of Public Safety - Business and Infrastructure Needs Assessments - \$250.0**

The recommendation is for the Department of Public Safety (DPS) to procure contract services to perform a needs assessment for electronic document management and electronic records management. The outcome of the needs assessment is a prioritized plan for implementing Enterprise Content Management (ECM) solutions within the DPS. The needs assessment completed in FY10 prepares DPS to begin implementing ECM solutions proposed for FY11. There are two components of the Needs Assessment, 1) Business Needs Assessment, and 2) Infrastructure Assessment.

The goal of the Business Needs Assessment is to gather basic information on what content, documents and records the system will (and will not) manage. Defining the scope will establish what end users can expect the system to accomplish. Stakeholders for each bureau within DPS are involved in the Needs Assessment. Another goal is developing an inventory of the various types of DPS documents, content and records from Input, through Processing to Output. The contractor develops high level 'as-Is' workflow maps; this initiates business process reengineering and change management. The result of the needs assessment determines the project priorities and scope.

The Infrastructure Assessment involves identifying the unique agency infrastructure or architecture that could result in unique requirements for the ECM system. The DPS infrastructure needs to align with an enterprise-wide IT architecture that provides the baseline for the existing infrastructure and lays the foundation for future infrastructure improvements. Any ECM system must fit within the existing infrastructure as well as the IT enterprise architecture.

The Department of Public Safety's desired outcomes include improving productivity, achieving cost savings, and improving service delivery to constituents through the implementation of Enterprise Content Management solutions in alignment with the NM IT Enterprise Architecture.

### **New Mexico Corrections Department/Adult Parole Board - Business and Infrastructure Needs Assessments - \$250.0**

The New Mexico Corrections Department (NMCD) / Adult Parole Board currently has several business processes that utilize manual record keeping based on the information stored in paper documents. These processes and the records that are managed could greatly improve by utilizing an Electronic Document Management System.

One such process is the tracking of Judgment and Sentence documents generated by the courts. This document is used by NMCD / Adult Parole Board to calculate length of sentence, and release dates. The documents are stored at the facilities where the offender is currently housed in the offender jacket. This jacket/folder contains all manual documents regarding all his activities while incarcerated. Currently this document arrives at NMCD with the offender as he is accepted into the jurisdiction of the NM Corrections Department / Adult Parole Board. This has made it difficult for NMCD Legal Division to quickly review the document to ensure NMCD has calculated release dates correctly. NMCD is submitting this business case to seek funding for a Business Needs Assessment for an ECM project. The goal of the Business Needs Assessment is to gather basic information on what content, documents and records the system will (and will not) manage. Defining the scope will establish what end users can expect the system to accomplish. Stakeholders for each bureau within NMCD / Adult Parole Board will be involved in the Needs Assessment. Another goal is developing an inventory of the various types of NMCD / Adult Parole Board documents, content and records from Input, through Processing to Output. The contractor develops high level 'as-Is' workflow maps; this initiates business process reengineering and change management. The result of the needs assessment determines the project priorities and scope.

Studying the business process at NMCD / Adult Parole Board determines what processes and records could be enhanced utilizing an ECM system. The Infrastructure Assessment involves identifying the unique agency infrastructure or architecture that could result in unique requirements for the ECM system. The NMCD / Adult Parole Board infrastructure needs to align with an enterprise-wide IT architecture that provides the baseline for the existing infrastructure and lays the foundation for future infrastructure improvements. Any ECM system must fit within the existing infrastructure as well as the IT enterprise architecture. Setting realistic timeframes and project goals is another NMCD / Adult Parole Board ECM project objective.

#### **IV. BUSINESS RISKS**

Any project - and particularly one of this magnitude - carries risks. Obviously what is important is to recognize those risks, plan for them and develop mitigation strategies and, importantly, not lose sight of the risks as the project progresses.

The internal business risks should be delineated in the individual business cases. External risks affecting the agency-specific components should also be included in the separate business cases. More global risks are set forth in the table contained in this section; however, before moving to the table, discussion of two primary risks is merited.

First, are those risks associated with funding, or lack thereof. Obviously, full funding of all proposed projects is desirable. The consequences of reduced funding on each project should be addressed within the individual business cases. The individual requests, as noted previously, each represent essential steps in the development of an ECM solution for the State. Business and infrastructure needs assessments, as requested by the DPS and NMCD, are requisite first steps in moving toward a solution for agency-specific document management needs. Without those assessments, informed decisions about EDMS acquisitions will be difficult. The request submitted by the OSE is for an integrated EDMS/ECM solution to replace and/or integrate existing, disparate document management applications and thus improve productivity and customer service. The TRD request is for money to expand and enhance its EDMS/ECM solution to enable TRD offices across the state to scan paper documents and facilitate retrieval. The SRCA is asking for funding to implement a central repository for the inactive, electronic records of agencies and, without which, agencies are left no management and storage solutions for their inactive records. Each proposal

is important if the State is to continue the, frankly, limited progress made to date in addressing the ever-growing problems associated with management of electronic records. The risk in not funding any given proposal is that the problems and risks inherent in the failure to come to grips with electronic records management will continue to compound within the given agency and, with respect to the CERR, across agencies.

A second, serious risk is that the success of an ECM solution for the State rests on the ability to build and maintain a strong collaborative relationship among participant agencies. A foundation was created over the past several years with the working structure established to oversee initial efforts towards an electronic records management solution. This will need to be continued, expanded and strengthened as the move to an ECM solution for the State widens. It will also require the adoption of standards (promulgated as rules) by the SRCA as the agency responsible for a records management program for State government and, as appropriate, by the DoIT as the agency responsible for oversight of the State's IT environment - and enforcement of those standards.

This process will involve formalizing the national standards used in the implementation of the ECM solutions at the TRD and the HSD and applying them across agencies. The successful implement of the CERR by the SRCA will demand that the SRCA work closely with agencies moving to EDMS/ECM solutions to ensure that appropriate file formats and metadata schemata are in place to enable a seamless transfer to the CERR. It will also require that those in management positions at all agencies understand the significance of electronic records management and of implementing internal EDMS/ECM solutions. Despite a decade of SRCA efforts to direct attention to the importance of electronic records management, it has only been in the last several years that a few agencies have begun to address the issue. It will take continued educational efforts on the part of the SRCA, the cooperation of the DoIT and the IT community as well as records managers, and the active support of elected and appointed officials if the State is to gain effective control of the problem.

The following table identifies other risks and their estimated levels and provides mitigation notes and explanatory comments.

Risk	Level	Mitigation	Comment
Agency resource availability	Medium	Ensure stakeholders are involved and support the project. Ensure ECM-EDMS implementation is a priority among agency project team members	Lack of resources to complete project activities can lead to delays in project schedule. Loss of key personnel due to resignations, retirement, etc. can cause delays with the project.
Extended timeline caused by Federal/State approval processes	High	Understand process requirements and build them into the project timelines.	Federal and State requirements for oversight as well as the procurement process provide numerous opportunities for extended project delays. For example: The Federal Administration for Children and Families (ACF) took nine months to approve the application for ECM-EDMS Federal Financial Participation funding The procurement process for the ECM Architecture Design Contract took five months to approve a \$26,000 contract
An ECM increases accessibility to the State's content	High	A statewide identity management program is a prerequisite to rolling out an ECM so that personal and other confidential information is safeguarded.	Keys to identity management are: authentication - proving that you are who you say you are - and authorization - now that we know who you are, determine permissions for the content you are allowed to access. Delegated administration is also critical; leaders in each agency are responsible for securing access to their content. The task of assigning permissions is delegated to associates who know who is allowed access to what content.

## V. ALTERNATE SOLUTIONS

Discussions of alternate solutions for each individual agency proposal are contained in the individual business cases.

One obvious alternative to the ECM solution proposed here is to do nothing. The benefit is that no immediate outlay of money is required but, as discussed elsewhere in this document, to do nothing is to allow the risks, inefficiencies and loss of public records to continue and grow. Current State information systems do not address electronic records management issues. Issues such as establishing metadata, declaration of official record, retention requirements, legal holds, etc. are not even considered in most systems developments. State agencies will continue printing paper documents, originally created electronically, to meet records retention rules and electronic records will not properly be managed. They will continue losing historic documents originally created in electronic form (for example, there is no solution in place to index or archive the Governor's email correspondence for historical reference). Should the State be unable to produce electronic records for use in investigations, audits and especially litigation, the monetary as well the less tangible costs of lost of trust and confidence may well be high.

A second alternative is to fund only select, individual agency components of this ECM multi-agency request. It is certainly possible, but, again, each agency request represents an essential element in moving toward an enterprise-wide answer to the problems of electronic records management. Failure to

fund a given agency request will simply defer action and allow problems to proliferate. Again, please refer to the individual business cases for more detailed explanations of possible alternatives.

## VI. COST-BENEFIT ANALYSIS

Following is a general discussion of costs and benefits of the proposed ECM solution examined through the concept of a return on investment, with the information derived from a number of articles. Here, also, please refer to the individual business cases for cost-benefit analyses of the agency-specific proposals and possible alternatives.

### **Return on Investment**

The ECM framework consists of three major categories: create and capture, manage and archive, and retrieve and deliver. Create and capture ROI focuses around the number of documents processed, number of hardware devices, and the associated cost. Manage and archive functions yield ROI from cost of hardcopies saved, person-hours saved in document processing, costs saved with associated risk of document and data loss, and reduction in compliance penalty costs. Lastly, the retrieval and delivery function provides a compelling ROI based upon number of applications processed, claims handled, invoices processed, and State constituents served.

One of the difficulties is in obtaining benchmarks *before* the system is implemented, the absence of which makes it impossible to measure the ROI. Some areas where cost savings can be found include decreased cost for physical and electronic storage, decreased numbers of steps in processes, time saved for information workers, the ability to outsource a now totally electronic workflow, and the enablement of customer self-service. Thus, content technologies often result in substantial value on the investment (VOI) in content management.<sup>5</sup> Value on investment is an expanded view of value that includes financial ROI plus many forms of non-financial value, such as reuse, sharing and leveraging the knowledge embedded in the State's content.

Tangible ROI is measured in bottom-line dollars saved—determining metrics of current practices as a baseline, setting goals, and measuring against those goals. Paper processes can cost as much as 24 times electronic — measuring how long it takes to process paper today, setting a clear savings objective, and measuring again after automation. Dramatic timesaving and increased service to State constituents can be achieved. Measuring intangible return by tying content management deployments to a specific initiative that has metrics of success — for example, being able to deliver a document to a constituent in three to five seconds instead of three to five days will yield measurable improved service to the constituents.

In a recent Open Archive Inc. white paper, authors Sandy Schiele and Betsy Delfosse note impressive statistics and savings. BAE Systems conducted a study that discovered that 80 percent of employees waste an average of half an hour per day retrieving information, while 60 percent are spending an hour or more duplicating the work of others.

More statistics supporting the need for document management include:

- ninety percent of corporate memory exists on paper;
- ninety percent of all the pages that get handled each day in the average office are merely shuffled;
- the average document gets copied 19 times;
- companies spend \$20 in labor to file a document, \$120 in labor to find a misfiled document, and \$220 in labor to reproduce a lost document;
- seven and a half percent of all documents get lost;
- three percent of the remainder get misfiled; and

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<sup>5</sup> “Client Issues for Enterprise Content Management, GARTNER Research, 3 May 2005

- professionals spend five to fifteen percent of their time reading information, but up to 50 percent looking for it.”<sup>6</sup>

Estimates are that efficiencies using modern electronic document management systems and software would result in:

- a 75 percent reduction in time spent locating and retrieving documents,
- a 75 percent reduction in time spent filing,
- a 50 percent reduction in copying costs,
- a 75 percent reduction in off-site storage costs,
- a 75 percent reduction in on-site storage costs,
- a 50 percent reduction in overnight shipping expenses, and
- a 50 percent reduction in filing supply expenses.<sup>7</sup>

## **VII. PROJECT MANAGEMENT**

One of the goals of this multi-agency business case is to demonstrate to decision makers that sufficient consideration has been given to managing a project not only of this magnitude and that also spans multiple agencies. Again, the intent is to build on the framework that has been developed since 2004, when the State legislature first funded a multi-agency project to begin addressing records management issues, including electronic records management issues, in two large agencies (HSD and TRD). That project also included an assessment of the State’s electronic records environment conducted under contract by the SRCA. Since the appropriation for that separate but related project was extended over several fiscal years, the participating agencies had the chance to develop a workable, governing structure for the project. It is anticipated that that existing management and process structure would be continued with this second project, with membership expanded and operating procedures revised and strengthened as needed. Following is a description of the existing structure and how it now functions and would continue to function in managing the development of the ECM solution envisioned in this business case.

Under this structure, the DoIT provides project management oversight and an EDMS Executive Steering Committee provides strategic direction for the project. The ECM-EDMS Executive Steering Committee (ESC) provides strategic, high-level guidance with regard to procedures, progress and risks. The Steering Committee is charged with taking an enterprise view to ensure this project supports the delivery of an enterprise model. The ESC also reviews, and approves deliverables, monitors the activities of the Project Team, assures adherence to the project plan and ensures involvement of participants in order to meet deadlines. The Committee meets once a month and is composed of the State Records Administrator and the CIO for each participating agency.

Each participating agency has a project manager assigned to oversee and coordinate the efforts of the agency-specific work groups. Agency-specific work groups are composed of agency experts in IT, program areas, records management, etc. Tasks performed by the work groups include: project management and planning; requirements analysis; data gap analysis and data mapping; program-specific decision making; determination of system and operational processes; business process reengineering; development of an Imaging System Plan to be approved by the SRCA; metadata development; training; and deployment.

Participating agencies are implementing the method of project management as provided in the DoIT project management plan guide.

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<sup>6</sup> "Return on Investment Sells Document Management to Executives: An Open Archive Paper" by Sandy Schiele and Betsy Delfosse, original data from Coopers & Lybrand (Source: Immersion Technologies, Inc), [http://www.openarchive.com/articles\\_home.htm](http://www.openarchive.com/articles_home.htm)

VIII. FINANCIAL SUMMARY

FY10 THROUGH FY14 BUDGET ESTIMATES

COMMISSION OF PUBLIC RECORDS - STATE RECORDS CENTER AND ARCHIVES (SRCA) CERR REQUEST <i>NOTE: PROJECT WILL SPAN FY10 AND FY11 - AGENCY IS ASKING THAT FUNDING BE APPROPRIATED FOR EXPENDITURE IN FY10 AND FY11 OR FY09 THROUGH FY11, WITH BALANCE REVERTING AT THE END OF FY11</i>	FY10	FY11	FY12	FY13	FY14
<b>300 Contractual Services</b>					
Project Director	198.0				
ECM Integration Services	575.0				
IV&V Services	65.0				
Software Maintenance			15.0	15.0	15.0
<b>400 Other</b>					
Hardware Maintenance					
Hardware	272.0		15.0	15.0	15.0
Software	260.0				
<b>Total - SRCA</b>	<b>1,370.0</b>		<b>30.0</b>	<b>30.0</b>	<b>30.0</b>
<b>TAXATION AND REVENUE (TRD) EDMS/ECM ENHANCEMENT</b>					
<b>300 Contractual Services</b>					
User and Administrator Training	50.0				
IV&V Services	5.0				
<b>400 Equipment and Supplies</b>					
Office Supplies					
Hardware	45.0	9.0	9.0	9.0	0.0
Software	50.0				
<b>Total - TRD</b>	<b>150.0</b>	<b>9.0</b>	<b>9.0</b>	<b>9.0</b>	<b>0.0</b>
<b>OFFICE OF THE STATE ENGINEER (OSE) EDMS/ECM PURCHASE</b>					
<b>300 Contractual Services</b>					
Business Process Needs Assessment	80.0				
ECM Integration Services		500.0	250.0		
<b>400 Equipment and Supplies</b>					
Hardware		50.0	60.0		
Software	100.0	120.0	90.0		
<b>Total - OSE</b>	<b>180.0</b>	<b>670.0</b>	<b>400.0</b>	<b>0.0</b>	<b>0.0</b>

<b>NM CORRECTIONS DEPARTMENT (NMCD) BUSINESS AND INFRASTRUCTURE NEEDS ASSESSMENT</b>					
<b>300 Contractual Services</b>					
Business Process Needs Assessment	200.0				
Project Director	50.0				
<b>Total - NMCD</b>	<b>250.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>DEPARTMENT OF PUBLIC SAFETY (DPS) BUSINESS AND INFRASTRUCTURE NEEDS ASSESSMENT</b>					
	0				
<b>300 Contractual Services</b>					
Business Process Needs Assessment	200.0				
Project Director	50.0				
<b>Total - DPS</b>	<b>250.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

For FY10 agencies are requesting \$2,200,000 for the ECM - EDMS project.

SRCA	\$1,370.0
TRD	\$ 150.0
OSE	\$ 180.0
NMCD	\$ 250.0
DPS	\$ 250.0
	\$2,200.0

## APPENDIX A CONCEPTUAL ARCHITECTURE

The attached ECM conceptual architecture was designed by 5280 Solutions, LLC, in June 2006. The enterprise model defines an ECM strategy that supports all content types and formats over their entire life cycle. As shown in the diagram on the following page, the Centralized Electronic Records Repository is central to an integrated approach for the capture, maintenance, storage, access, disposition and preservation of electronic records.

The CERR is located at the center of the diagram shown on the next page. Agency records classified at their point of creation or capture can be virtually managed through SRCA controlled file series and retention schedules. As the CERR Administrator, SRCA has the authority to create centralized rules that are replicated in records libraries at the agency hosted document repositories. In turn, agency records can be predicatively transferred to their "sister" SRCA repository based on chronological or vital requirements.

Agency staff will have the ability, based on their authorizations, to review their transferred records using web access. Agency staff will be able to search both agency and SRCA hosted libraries for records.

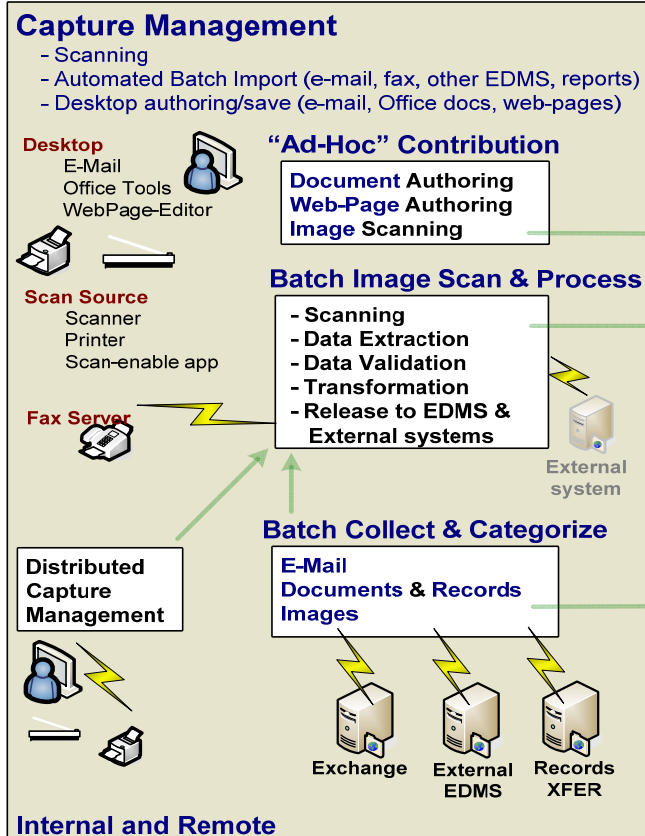
The ECM architecture shows Identity Management and Security as the foundation for the CERR. Agency users must first be authenticated, proving they are who they say they are. An authenticated user is then

authorized to work with selected content or records; the user's permissions determine their authority to view, change, delete or add content within the repository. Disaster Recovery and Business Continuity is also an architecture design foundation for the ECM and CERR.

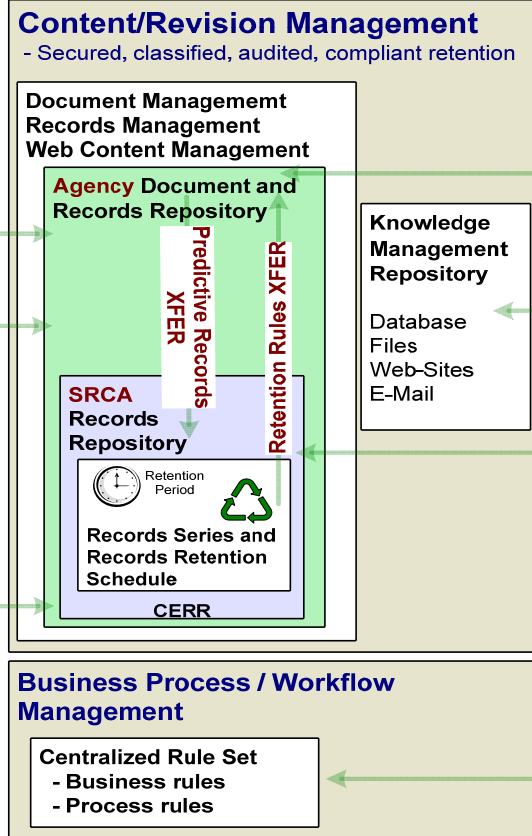
All types of content and documents created and/or captured by NM State agencies are specified in the architecture design for the ECM and the CERR. This includes email, faxes, reports, web pages, and Microsoft Office documents.

# Enterprise Conceptual View of ECM (EDMS/ERMS) Components and CERR

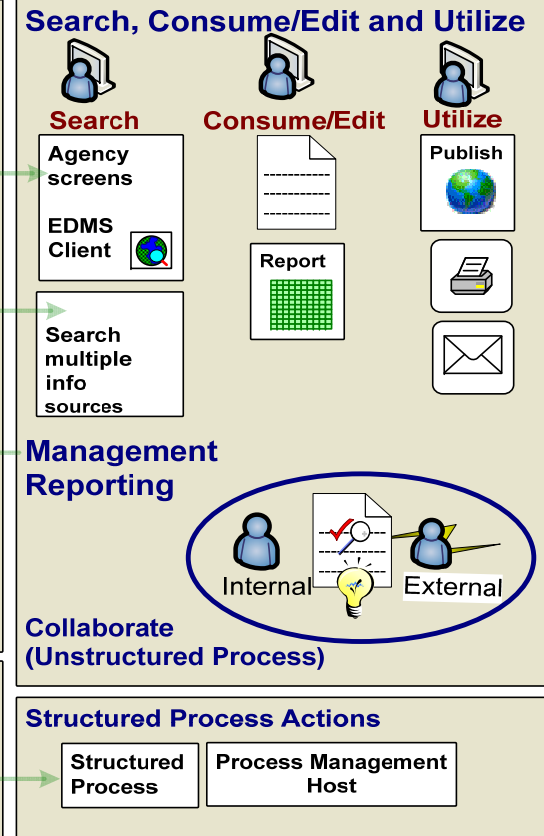
## Creation and Classification



## Administration

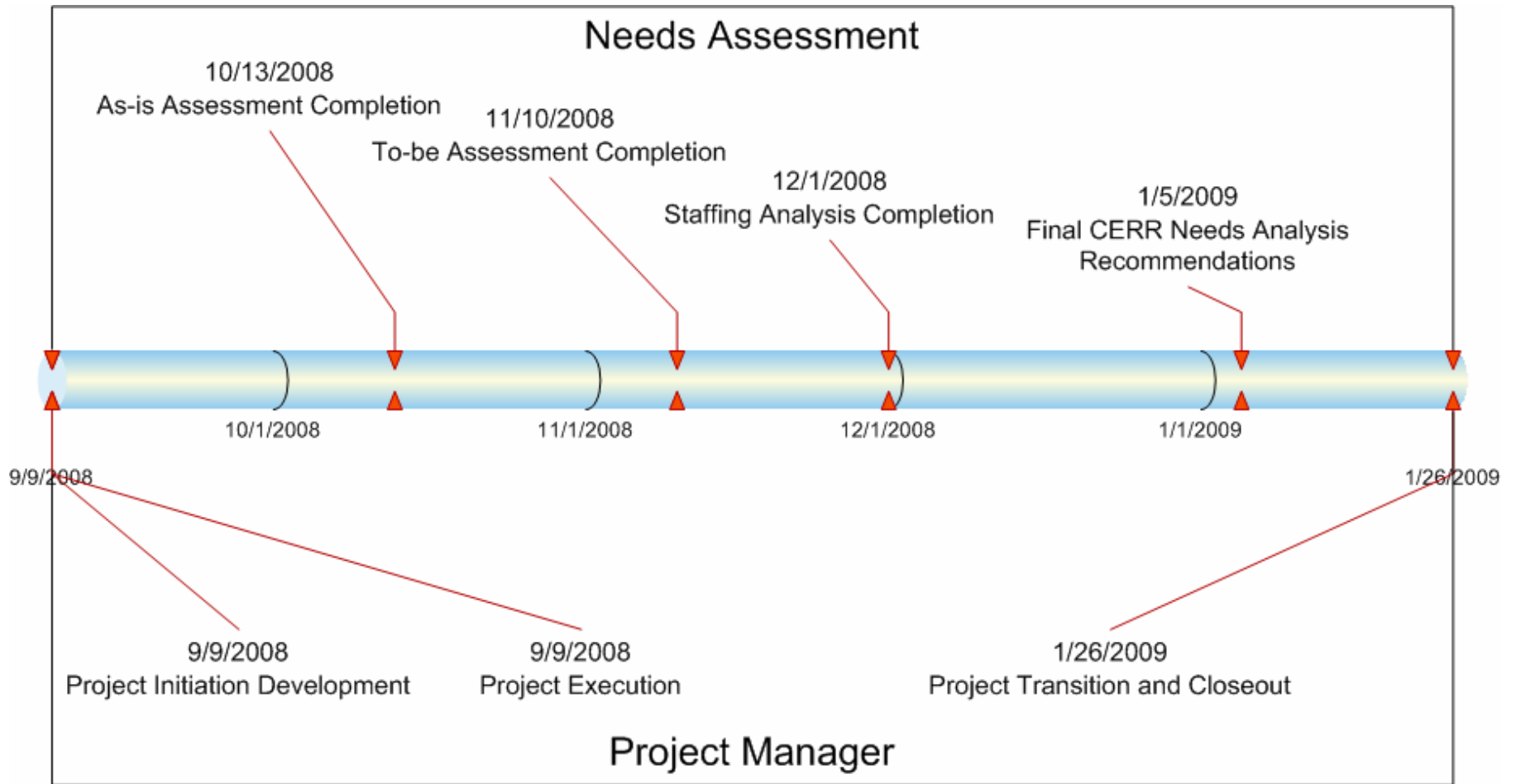


## Process Support



## Identity Management and Security

## Disaster Recovery and Business Continuance



**FORM C2 – ECM MULTI-AGENCY  
C2 FORM**

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
Agency Name:	State Commission of Public Records			Agency Code:	36900
Project Name:	Enterprise Content Management (ECM)		Projected Start/End Date:	10/15/2005 -	
Multi-Agency Project	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	List agencies participating:	TRD – Taxation & Revenue Department OSE – Office of the State Engineer DPS – Department of Public Safety NMCD – NM Corrections Department	
Project Type and Specifics:	<u>Computer Systems Enhancement Fund</u> New System Development <input checked="" type="checkbox"/> Existing Systems <input checked="" type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07* & Prior	FY08 Actual*	FY09 OpBud	FY10 Request	FY11 Estimate**
General Fund	373.3	826.7	150.0	2,200.0	679.0
Other State Funds	0	0	0	0	0
InterAgency Transfers/ Internal Service Funds	0	0	0	0	0
Federal Funds	178.3	621.7	0	0	0
<b>Total</b>	<b>551.6</b>	<b>1448.4</b>	<b>150.0</b>	<b>2200.0</b>	<b>679.0</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits	0	0	0	0	0
Contractual Services	0	0	0	0	0
Professional Services	0	0	0	0	0
IT Services	551.6	827.3	150.0	1473.0	500.0
Other	0	0	00	0	0
Travel	0	0	0	0	0
Maintenance	0	0	0	0	9.0
Supplies/Inv. Exempt	0	621.1	0	727.0	170.0
Operating Costs	0	0	0	0	0
Capital Outlay	0	0	0	0	0
Other Financing Uses	0	0	0	0	0
<b>Total</b>	<b>551.6</b>	<b>1448.4</b>	<b>150.0</b>	<b>2200.0</b>	<b>679.0</b>
Agency Cabinet Secretary/Director (mandatory)		CIO or IT Lead (mandatory)		Budget Director (mandatory)	
Name	Sandra Jaramillo	Lori LeRouge		Judi Hazlett	
Signature					
Phone	476-7911	476-7915		476-7912	
Date					

**NOTE: THE SRCA IS REQUESTING \$1,370.0 FOR THE CERR PROJECT FOR EXPENDITURE IN FYs 10 and 11 or FYs 09 THROUGH FY 11 SINCE THE PROJECT WILL SPAN FY 10 AND 11.**

\* FY 07 and FY 08 funds were expended for a separate but related EDMS project.

\*\*FY 11 estimates are not included as part of the FY 10 funding request.