

Records and Information Management Manual



This manual was created as a reference tool for Record Liaison Officers and Record Managers. It is a quick guide that provides helpful information on storage, destruction, records retention and disposition schedules, etc. If additional information or training is needed the Records Management Division can be contacted by e-mail leo.lucero@state.nm.us or by telephone at 476-7921.

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Part One. Purpose, description and use of a Records Retention and Disposition Schedule

A records retention and disposition schedule is that component of an organization's records management program that establishes the period of time which **public** records must be maintained. Records retention and disposition schedules (RRDS) are critical to every records management program. The regular use of records retention and disposition schedules provides the following benefits:

- reduced space requirements;
- improved operational efficiency;
- equipment and supply cost savings;
- consistency in records disposition;
- compliance with legal retention requirements; and
- protection during litigation or government investigation.

Records retention and disposition schedules are developed by using the information compiled from agency surveys, state and federal statutory requirements, and from discussions with records custodians, staff, and legal counsel. The scheduling process is ongoing and involves the cooperation of an agency's records custodian, liaisons, and legal counsel.

A key component in developing a records retention and disposition schedule is the records survey. The purpose of the survey is to identify an agency's records and to gain an understanding of how the information is used within the agency. The information gathered during the survey is used to determine the retention period, methods of disposition, identifies vital records, historical records, filing systems, media type, etc. The survey is conducted through interviews with agency staff.

The information gathered during the records survey is used to determine the administrative, legal, financial or historical value of the records. Once the value of the records is established a retention period is set based on the amount of time the record is required to be maintained by the agency. After a record series has met its retention period an agency is required to follow the procedure outlined in SRCA rule 1.13.30 NMAC, Destruction of Public Records and Non-Records.

SRCA issues two categories of records retention and disposition schedules. The first category is the general schedules that provide the retention periods for records that are common to all agencies (e.g., administrative records, personnel records, and financial records). The second category is agency specific schedules that provide the retention periods for records unique to an agency. Listed below are samples of each category of records retention and disposition schedules.

General Schedule - A record common to all agencies.

1.15.2.109

GENERAL CORRESPONDENCE FILES (NON-EXECUTIVE LEVELS):

- A. Program:** administrative records
- B. Maintenance system:** agency preference
- C. Description:** routine correspondence created or retained below the levels of agency director, deputy director and division director. Letters and memoranda reflect communication regarding program procedures, general work activities, and responses to information requests.

D. Retention: one year after close of fiscal year in which created
[5-19-97; 1.15.2.109 NMAC - Rn, 1 NMAC 3.2.90.10.A109, 10/01/2000; A, 1/6/2002]

Agency Specific Schedule - A specific record created by the agency (State Records Center & Archives).

1.18.369.37 NEW MEXICO REGISTER WORK PAPERS:

- A. Program:** administrative law
- B. Maintenance system:** numerical by volume number, then numerical by issue number
- C. Description:** Records used to compile the documents that are published in the New Mexico register. File may contain multiple proofed copies of register issues, work notes, etc.
- D. Retention:** one year after publication

[1.18.369.37 NMAC - N, 1/10/2005]

The schedules are organized to provide the following information on each record:

- Record series number: This is the item number for each record.
- Records series title: This is the record title most commonly used.
- Program: A collection of operations (projects) that are directed toward a common goal.
- Maintenance system: A manual or automated system in which records are collected, organized and categorized to facilitate their preservation, retrieval and disposition.
- Description: A comprehensive explanation of the record purpose (why is a record produced and what entities are involved). The description may also include a list of what type of information or documents comprise a record.
- Retention: The time period indicates the minimum length of time that the record/information should be retained by the agency before disposition. Retention periods apply to the information, regardless of the physical format (paper, microfilm, computer disk or tape, optical imaging, CD-ROM or other medium).
- Confidentiality: A record or document requiring protection against unauthorized disclosure, modification, or destruction.

For easy reference, the definitions of public record and non-record are listed below.

Public Record - means 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 (Section 14-4-2 NMSA 1978).

Non-Record - means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity, and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters; and reading file or informational files.

Part Two. Designation of a Records Liaison Officer

The record liaison officer for a state agency is designated by the record custodian. The record custodian for a state agency is the cabinet secretary, executive director or their designee.

A. Role of the Record Liaison Officer (RLO). Every agency has one or more record liaison officers whose major responsibility is to work with SRCA in the development of an appropriate and effective Records and Information Management (RIM) program for their agency. In addition to assisting in the development of the RIM program for the agency the record liaison officer is responsible for administering the agency's records retention and disposition schedule.

B. The records liaison officers act on behalf of the records custodian and are responsible for authorizing the transfer, withdrawal or destruction of public records. They may appoint pick-up only personnel for the agency. The RLO should possess the following knowledge, skills and abilities:

- basic knowledge of records management so that guidance can be provided to agency staff on records management issues;
- good working knowledge of the agency's organizational structure, the mission of the agency and the type of program records created by the various organizational units;
- ability to develop and implement departmental procedures for the orderly transfer, withdrawal, and destruction of their agency's public records in accordance with the rules established by SRCA;
- ability to process storage, withdrawal and access or transfer of agency records to SRCA;
- ability to track and maintain a history of all storage, withdrawals and transfer of records to SRCA.
- ability to establish and maintain an effective records management program;
- excellent organizational skills that can be applied to the maintenance of a comprehensive, up-to-date inventory of all the agency's public records;
- analytical skills that will be put to use in the annual review of the agency's records retention and disposition schedule and submitting all required changes to the assigned SRCA analyst for incorporation into their schedule;
- excellent communication skills in reporting to SRCA any revisions in law that may affect retention of the agency records; and
- ability to provide guidance to agency staff on SRCA rules that deal with records management.

For additional information on RLO duties please see 1.13.10 NMAC, Custody, Access, Storage and Disposition. Rules regarding records management can be found by visiting the State Records Center and Archives website (www.nmcpr.state.nm.us). For your quick reference listed below is section 1.13.10.9 that focuses on the role of the RLO.

1.13.10.9 RECORDS LIAISON OFFICER:

A. A records liaison officer may be designated by a records custodian to handle the storage, withdrawal and access or transfer of agency records to the state records center and archives.

B. All records liaison officers shall attend the required basic records management training offered by the state records center and archives before they can store, withdraw or access records stored in the records center.

C. Records liaison officers shall be required to attend additional training when notified by the state records center and archives of changes to records management policies, procedures or regulations.

D. The records liaison officer shall be re-appointed annually by the record custodian, using a form approved by the state records administrator.

E. The form shall include but not limited to the following: name and signature of the records custodian (agency head or cabinet secretary); name and signature of the records liaison officer; division or bureau (if

acceptable); agency code; agency name and mailing address; fiscal year of designation; phone number; fax number and e-mail address.

F. If a records liaison officer leaves the employment of an agency or is released from records management duties, the agency shall immediately notify the state records center and archives (agency analysis bureau) regarding the change, and the records custodian shall appoint a new records liaison officer.

[1.13.10.9 NMAC - Rp, 1 NMAC 3.2.10.1.9, 6/30/2005]

Part Three. Storage Process

A. How the storage process works at the Records Centers for paper records.

The State Records Center will accept for storage inactive non-permanent (temporary) records. These records must have a low retrieval or reference rate and be scheduled for disposition at a future date. Records must be scheduled on a records retention and disposition schedule before they can be transferred and space must be available. Records center storage differs from an archival transfer in that the records ultimately will be destroyed.

Requests for records center storage should be made as soon as the need is identified. The agency is to work through their designated records liaison officer. The request must be in writing using the SRCA storage transmittal forms. These forms can be downloaded from the SRCA Website. Call your assigned SRCA analyst if you need assistance preparing these forms. Once the SRCA storage transmittal form is approved, the agency needs to ensure the following is done:

- The records must be placed in approved records storage boxes (cubic foot boxes).
- The boxes are available for purchase from the SRCA Records Center, Santa Fe Records Center telephone number (505) 476-7904 or Albuquerque Records Center (505) 841-4399.
- The records need to be correctly indexed for access purposes. An index must be submitted with the storage transmittal form for records that have a permanent retention period. All file folders in the box must be clearly labeled and identify the contents of the folder.
- The record storage boxes must be identified with the barcode labels that are provided by SRCA.
- Once the barcode labels have been received by the agency and placed on the boxes (two to three inches below the grip handle), the boxes can be delivered to the State Records Center.
- Upon delivery of the storage boxes, the agency will receive copy of the storage transmittal forms containing the permanent box number for each box delivered.

The agency may opt to use its own staff or a private company for delivery of storage. In any case, the agency must bear the responsibility for transfer or shipping costs.

B. How the storage process works for electronic records.

SRCA (Electronic Records/Micrographics Bureau) provides storage space for records stored on electronic media. These records must have a low retrieval or reference rate and be scheduled for destruction at a future date. Records must be scheduled on a records retention and disposition schedule before they will be transferred and space must be available.

Requests for records center storage should be made as soon as the need is identified. The agency is to work through their designated records liaison officer. The request must be in writing using the SRCA storage transmittal forms. These forms can be downloaded from the SRCA Website. Call your assigned SRCA analyst if you need assistance preparing these forms. Once the SRCA storage transmittal form is approved, the agency needs to ensure the following is done:

- The electronic media must be identified with the barcode labels that are provided by the SRCA.

- Once the barcode labels have been received by the agency and placed on the media the units can be delivered to the Electronic Records/Micrographics Bureau.
- Each unit (tape, disk, etc.) of electronic media must be clearly identified with the agency name, record series and disposition date.
- Upon delivery of the electronic media, the agency will receive copy of the storage transmittal forms containing the location for each unit delivered.

C. How the storage process works for microfilm.

- An agency must have an approved microphotography plan on file with SRCA (Electronic Record/Microphotography Bureau) before master microfilm can be stored.
- The microphotography plan must indicate that the master microfilm will be stored at SRCA.
- Microfilm needs to pass inspection before it is approved for storage.
- Microfilm that meets the required criteria is entered into a computer tracking system and assigned a permanent container number.
- The microfilm inspection sheets are returned to the agency with a notation indicating the assigned permanent container number.
- The agency is responsible for notifying the microfilm vendor that the microfilm as passed inspection.
- After the microfilm has passed inspection and is approved for storage, the agency can submit a Request for Disposition form to SRCA (Agency Analysis Bureau) requesting authorization to dispose of the source documents.
- If the microfilm fails inspection the agency will be notified by SRCA (Electronic Records/Micrographic Bureau) that the microfilm can not be stored and that the source documents must be re-filmed before they can be destroyed.

D. Storage Transmittal Form - The Storage Transmittal Form is used to provide information on the records that an agency is requesting to store with SRCA. An agency can list up to five boxes on one form. Do not write in the boxes that are grayed-out. Submit your forms to the New Mexico Records Center and Archives (SRCA), attention the Agency Analysis Bureau, 1205 Camino Carlos Rey, Santa Fe, New Mexico 87507 for review and approval. Please send the originals only.

See appendix C for instructions on completing the Storage Transmittal Form.

DISPOSITION/DESTROY DATE DETERMINATION FORMULA

$$\begin{array}{r}
 \text{Disposition trigger date} \\
 + \text{ number of years to be retained} \\
 \hline
 = \text{Month / Year} \\
 + \text{ 1 Month} \\
 \hline
 = \text{Disposition/Destroy Date}
 \end{array}$$

$$\begin{array}{r}
 \# \text{ Month / Year} \\
 + \frac{\# \text{ Years}}{\text{}} \\
 = \# \text{ Month / Year} \\
 + \text{ 1 Month} \\
 \hline
 = \text{Disposition/Destroy Date}
 \end{array}$$

Example:

If the retention is 3 years after close of calendar year in which created

The records were created between: 1/94 and 8/94.
 The close of the calendar year in which created is 12/94;
 therefore, the **disposition trigger** date in this example is
 the close of the calendar year

$$\begin{array}{r}
 \text{December 1994} \\
 \hline
 \text{3 years} \\
 = \text{December 1997} \\
 + \text{ 1 Month} \\
 \hline
 \text{January 1998}
 \end{array}$$

Minor Medical Records: inactive records shall be kept 10 years, or one year after the person reaches the age of majority; whichever period of time is greater. In New Mexico the age of majority is 18, one year after that is 19 years.

***INCLUSIVE DATES FOR MINOR MEDICAL RECORDS** mean the dates of birth of all the minors whose records are in the box.

****DISPOSITION TRIGGER DATE:** Since the youngest minor will reach the age of majority last, use the youngest date of birth.

Minor A - DOB=8/16/93
 Minor B - DOB=1/22/94**
 Minor C - DOB=6/12/93
 Minor D - DOB=1/17/93

EXAMPLES

* Inclusive dates	/ **Disposition trigger date
1/93 - 1/94	1/94
1 / 1994	1 / 1994
+ <u>10 years</u>	+ <u>19 years</u>
= 1 / 2004	= 1 / 2013
+ <u>1 Month</u>	+ <u>1 Month</u>
2/2004	2/2013

Use the destroy date that is longer.

DISPOSITION TRIGGER DATES

three years after audit report released	Date Audit Report is released
three years after case closed.....	Date case closed
until proved to payroll register, 1.15.4.404 NMAC	Date proved to register
six years after close of federal fiscal year in which case closed	See page 6.

Part Four. Withdrawal of Records

If an agency needs to withdraw records stored at the SRCA Records Center the following procedure must be followed.

- Only the records custodian or the designated record liaison officer may withdraw records from the SRCA Records Center.
- Requests by the public to view an agency's records stored at the Records Center will be referred to the records custodian or the designated records liaison officer. If access is allowed the records custodian or the designated records liaison officer must provide written authorization to the records center.
- Routine requests from agencies to withdraw records must be submitted on a "Request for Records" form (see appendix E). If the form does not contain the requested information or the required signatures the request will not be processed.
- An agency has three options for the length of time records can be checked out on withdrawal status.

Review - A minimal amount of boxes/records (five boxes) need to be reviewed by agency staff. The agency does not remove the records from the records center but reviews the records on-site at SRCA.

Temporary - Record(s) are withdrawn for 60 days. Before or on the 60th day the records are returned to the records center.

Permanent - Record(s) are permanently removed from the records center and will not be returned.

- Fax the "Request for Records" form to the appropriate Records Center.
- If the "Request for Records" form is completed correctly, the request will be processed within 24 hours.

*Albuquerque Records Center (Fax number) - 841-4398

*Santa Fe Records Center (Fax number) - 476-7905

- Since inactive records are stored at the Records Center, withdrawal requests should be minimal.

Part Five. Pick-up Only Personnel

- Pick-up only personnel are a "runner" on behalf of an agency. The pick-up only personnel retrieve records that have been withdrawn.
- Pick-up only personnel may be designated by the records custodian or a designated record liaison officer. See appendix B for the Pick-up Personnel Form.
- Pick-up only personnel are appointed annually. Agencies will receive a notice from SRCA that it is time to update the appointment.
- If there is any change in who is assigned to pick up records for the agency the SRCA needs to be notified of the change.

Part Six. Disposition of Records

Disposition is the final action that puts into effect the retention period for a series of records (destruction, transfer to Archives). Records are generally destroyed when the minimum retention periods have been met unless they are needed to meet specific legal or audit requirements, or are designated for permanent (archival) retention. Agencies are encouraged to destroy records at the end of their minimum retention periods. Records eligible for destruction should not occupy costly and often needed office, storage or computer space.

The destruction of non-records is the sole responsibility of the custodial agency and does not require the prior approval of the State Records Administrator. That responsibility includes identifying whether the information is a non-record or a public record.

Non-records that contain confidential or sensitive information must be destroyed in such a manner that the information cannot be read, interpreted or reconstructed. Non-records that contain confidential or sensitive information shall be destroyed by shredding, macerating or recycling through a bonded document destruction vendor.

Non-records that do not contain confidential or sensitive information may be destroyed in accordance with approved methods of destruction.

- (1) incineration;
- (2) dumpsite burial
- (3) recycling through a bond recycler; or
- (4) shredding.

Electronic non-records that do not contain confidential or sensitive information may be destroyed by physical destruction of the media or erasure of the data from all media including back-up media.

Destruction of public records

The State Records Center and Archives is responsible for the timely and appropriate destruction of all public records. The Commission of Public Records has delegated to the State Records Administrator the authority to order the routine destruction of public records, in accordance with adopted schedules. For complete information and instruction on the destruction of records, please refer to **1.13.30 NMAC Destruction of Public Records**.

Agencies must ensure the proper authorized disposition of their records regardless of format or medium so that permanent records are preserved and records no longer of use to an agency are promptly deleted or destroyed based on retention periods established in records retention and disposition schedules. Destruction of public records must be approved by the State Records Administrator and may occur on-site at the custodial agency or through the State Records Center. Agencies that choose to store public records on-site for the life cycle of the records may either contact the State Records Center for transfer and destruction or may elect to use the following procedure for disposition of public records.

Agency procedure for on-site destruction of public records

Destruction of public may occur on-site at the custodial agency.

- The record liaison officer for the agency must complete and submit to the State Records Administrator a Request for Disposition Form listing the public records that have met their legal (established) retention period. Please see appendix F for instructions on completing a Request for Disposition Form.
- The State Records Administrator reviews the request and will order in writing either the transfer to Archives or the destruction of the public records. Once written permission has been received, the agency is required to destroy the records via an approved method of destruction.
- For records that contain confidential or sensitive information the approved methods of destruction are witnessed shredding and macerating or pulping of records by a bonded document destruction vendor.
- For records that do not contain confidential or sensitive information the approved methods of destruction are the following: witnessed incineration; witnessed shredding; and pulping through a bonded recycler.
- For electronic records, please see 1.13.3 NMAC, Management of Electronic Records.
- Agencies that choose to destroy records on-site must certify the destruction in writing. A certificate of destruction is required and is submitted to the Agency Analysis Bureau (SRCA). For legal and audit purposes, it is recommended that the records liaison officer keep a copy of the certification on file.

Agency procedure for destruction of public records delivered to the Records Center

Agencies storing public records on-site may choose to deliver public records that have met their established retention period to the records center for destruction.

- The record liaison officer for the agency must complete and submit to the State Records Administrator a Request for Disposition Form listing the public records that have met their legal (established) retention period.
- The State Records Administrator will review the request and order in writing either the transfer to Archives or the destruction of the public records.
- If the records listed on the Request for Disposition have met the established retention period and are approved for destruction, the request will be forwarded to the appropriate records center.
- Records Center staff will contact the agency to arrange a date and time for the records to be delivered to the records center.
- The records series title (description) and the number of boxes delivered to the records center must match what is listed on the approved Request for Disposition Form. Upon

delivery if there is a discrepancy between what is listed on the request form and what is delivered, the shipment will be rejected and sent back to the agency for clarification.

Destruction or transfer to the Archives Division of records stored in the Records Centers

- Prior to the disposal of any records stored at the State Records Center a report will be sent to the agency records liaison officer and to the agency head notifying them that the records listed on the report have met the established retention period and are eligible for destruction or transfer to Archives.
- Agencies are required to review the report and the record liaison officer is to notify the State Records Center and Archives of any records that must be held and the reason why (e.g., pending litigation, audit in process, or audit pending). No records will be destroyed so long as it pertains to litigation or an audit.
- If there is no reason to withhold records from final disposition the record liaison officer or the head of the agency is required to approve in writing the notice of destruction or the transfer to Archives and return the notice to the records center by the due date.
- If an agency receives a destruction notice from the State Records Center and Archives but chooses to hold on to records without a good reason, the agency will be charged \$0.25 per month per box.

Disposition of county and municipal records

In accordance with 14-3-18, NMSA 1978, the administrator may advise and assist county and municipal officials in the formulation of programs for the disposition of public records maintained in county and municipal offices. Section 14-1-7, NMSA 1978 identifies a number of county records that shall be deemed obsolete and may be destroyed after a specific amount of time. For the disposition of those county records not provided for in 14-1-7, NMSA 1978, it is recommended that the counties use the general schedules (for local government) and the county schedules developed by the State Records Center & Archives. Notice of proposed destruction of obsolete county records shall be given by registered or certified mail to the state records administrator. Said notice shall be sent at least six days before the date of proposed destruction (14-1-8, NMSA 1978). County officials shall allow the State Records Administrator to have any records earmarked for destruction by the counties that the State Records Administrator wishes to preserve.

Records made or kept by a municipality under its own authority or for its own purposes may be disposed of as the municipality sees fit. What the municipality has power to create, it has power to destroy, but what is created by the state, or by authority of the state, can only be destroyed by the state, or with its permission (1961-62 Attorney General Opinion No. 61-36). Therefore, it is strongly suggested that the municipalities use the general schedules for local government and Records Retention and Disposition Schedule for municipalities.

Part Seven. Storage of Electronic Media

Storage of Disaster Recovery Backup Files

The State Records Center and Archives provides secure, vault storage for public records contained in electronic disaster recovery files, electronic vital record files, and electronic retention files. For complete information and instruction, please refer to 1.13.20 NMAC, Storage of Electronic Media at the State Records Center and Archives.

This service is dependant on the space available. Priority will be given to disaster recovery backup files. An agency wishing to store electronic disaster recovery files must complete a Request to Store Electronic Disaster Recovery Files form and submit it to the State Records Administrator. The agency's records custodian must sign the request. The State Records Administrator may approve a request depending on available space. If an agency makes a change to who has access to the vault, an updated Request to Store Electronic Disaster Recovery Files form is required to be submitted to the State Records Administrator (e.g., deleting or adding authorized personnel).

At a minimum, electronic media (units - tapes, disk, etc.) approved for storage must be clearly identified with the agency name.

Access to the vault is permitted through the use of automated key system. Keys will be issued to agencies by SRCA when a request for storage of electronic disaster recovery files is approved. If an agency should lose or misplace a key card, SRCA needs to be notified immediately so that the key card can be deactivated on the automated system.

Electronic Retention Files

An agency wishing to store electronic retention files must complete an SRCA *storage transmittal form* and submit it to the State Records Center. Similar to the storage of records in paper media, the storage of records in electronic media must be approved by the State Records Center and Archives prior to their delivery. At a minimum, each individual unit (tape, disk, etc.) of electronic media must be clearly identified with the agency name and have the *barcode label* that is provided by the SRCA. Access to these electronic retention files must be through standard State Records Center and Archives warehouse procedures for withdrawal of records.

Part Eight. Microphotography

What is microphotography?

As defined in 14-3-1 NMSA 1978 the Public Records Act, microphotography "means the transfer of images onto film and electronic imaging or other information storage techniques."

What authority does SRCA have over microphotography systems?

Sections 14-3-2, 14-3-15 and 14-3-17 of the Public Records Act (Chapter 14, Article 3 NMSA 1978) gives the state records administrator review and approval authority over microphotography systems of state agencies, and gives the commission of public records authority to establish microphotography standards. The operation of any microphotography system requires the written approval of the state records administrator, and compliance with the minimum standards established by the commission of public records.

Who is required to submit a microphotography plan?

All state agencies and district courts.

How is a microphotography plan created?

It is suggested that an agency review 1.14.2 NMAC, Microphotography Standard and the agency's Records Retention and Disposition Schedule before developing a microphotography plan. Other documents that are helpful are the system template created by the SRCA (Electronic Records/Micrographics Bureau) and a sample plan available from the same Bureau. Training and guidance is also provided to assist agencies and district courts with the development of their system plan.

Part Nine. Management of Electronic Records

E-Mail Management

E-mail is an important communication tool for conducting government business. E-mail systems devices are used to distribute memos, circulate drafts, disseminate directives, transfer official documents, send external correspondence, communicate legal advice, etc. E-messages made or received in pursuance of law or that contain information about agency activities, decisions and policies as well as those that function as evidence of business transactions are public records as defined in the Public Records Act (Sections 14-3-1 through 14-3-25, NMSA 1978). All e-messages that are public records are subject to the requirements of the Public Records Act and the Inspection of Public Records Act. Effective management of e-messages is essential to ensure that all public records, which originate or are transmitted through the e-mail system or other electronic messaging devices, are identified, retained and managed properly.

The value and retention of the e-message including attachments depends on the content. E-messages, like any other public record, must be categorized, filed and retained on the basis of content. Employees are responsible for classifying messages they send or receive according to content and maintaining the context of the message. Careful evaluation by the individual employee shall determine if an e-message (sent and received) is a "public record" or a "non-record".

E-messages and attachments classified as public records shall be linked to a record series identified in a general or agency specific records retention and disposition schedule based on business activity or agency program to determine retention period. Since many copies of a single e-message may exist within an agency, employees must identify the record copy, which often but not always will be the sender's copy. E-messages that are usually records include:

- (1) policies and directive;
- (2) correspondence or memoranda related to official business;
- (3) minutes of governing boards, advisory groups, ad-hoc committees, or work groups developing programs;
- (4) messages that initiate, authorize, or complete a business transaction; or
- (5) final reports or recommendations.

Non-record e-messages includes transitory and informal messages that have short term interest with no documentary or evidential value and may be destroyed without the prior approval of the state records administrator. Non-record e-messages include:

- (1) duplicate copies of messages sent to multiple people;
- (2) personal messages and announcements not related to official business;
- (3) copies of documents distributed for convenience or reference;
- (4) announcements of social events, such as retirement parties;
- (5) spam (unsolicited, commercial e-mail); or
- (6) messages to or from e-mail distributions lists (listserv) not directly related to agency business.

For assistance in establishing an electronic or paper filing system for e-mail messages contact SRCA (Agency Analysis Bureau).

Electronic Records in General

Electronic records are evidence of an agency's activities and include policy documents, memos and letters, and database reports. They are generally the computerized versions of traditional paper records. Sources of electronic records range from desktop applications such as Word, Excel, and e-mail, to state applications such as financial systems, human resource systems and agency databases.

Good electronic record-keeping requires:

- a clear understanding of the nature of electronic records, and the electronic information which should be captured as records in order to document the business processes
- that the procedures to routinely capture these records are designed into the electronic systems generating the records (for example, office systems), and are easy to use and understand
- electronic record-keeping systems that are designed to manage reliable and authentic records, ensuring that the integrity and reliability of electronic records is secured
- a strategy to ensure that electronic records will remain accessible and usable for as long as they are needed
- the ability to apply appropriate appraisal, scheduling and disposal (retention) procedures to managed electronic records
- a culture of best practices record-keeping among managers and end users

Records management is both a professional discipline and a vital business process within an organization.

What is Records and Information Management?

Records management is concerned with the generation, receipt, processing, storage, retrieval, distribution, usage and retirement of records. It encompasses a wide variety of activities and sub-disciplines such as the management of mail, correspondence, reports, copies, forms and directives.

How can a formal Recorded Information Management program (RIM) help an organization?

RIM programs have a solid track record of preventing or minimizing recordkeeping problems. When properly implemented, RIM concepts and methods can ensure compliance with record retention requirements in laws and government regulations, reduce risks in civil litigation and government investigations, minimize storage costs for recorded information, organize records for effective retrieval when needed, and protect mission-critical information against loss or destruction.¹

What are the components of a RIM program?

A comprehensive agency program for the efficient management of recorded information includes the following components:

- Written policy directives that define agency records, emphasize their value as assets, affirm agency ownership of recorded information associated with an agency's business operations, and articulate the purpose and scope of RIM initiatives
- Standard operating procedures for storage, retrieval, dissemination, protection, preservation, and destruction of recorded information associated with all business operations
- Systematically developed retention guidelines that specify how long records are to be kept and fully address an agency's legal, fiscal, regulatory, and administrative requirements, as determined through consultation and collaboration with legal, personnel, and finance departments as well as knowledgeable personnel in other bureaus or divisions
- Procedures for the timely, secure destruction of records when their prescribed retention periods elapse, including provisions for suspending the destruction of records if warranted by litigation, audit, etc
- Design and implementation of manual and computerized methods for convenient retrieval and dissemination of recorded information when needed
- Cost-effective arrangements for storing inactive records that need to be retained for legal, fiscal, regulatory, or administrative reasons
- Policies and procedures for identifying and protecting records deemed essential for continuity of mission-critical business operations
- Training plans and programs for agency employees regarding the above.
- Compliance assessment initiatives to monitor, audit, and enforce records management policies and procedures²

¹ ARMA - International, The Association of Records Management Professionals

² ARMA - International, The Association of Records Management Professionals

DESIGNATION OF RECORD LIAISON OFFICER(S)

Records Liaison Officer: Personnel who are designated as a Record Liaison Officer (RLO) routinely process most of the paperwork associated with the transfer, storage and destruction of an agency's records. The Record Liaison Officer should receive specific training from the NM State Records Center and Archives to perform this function. It is extremely important to assign the duties of an RLO to personnel who are very familiar with the general and program records of their respective agency.



RECORD LIAISON OFFICER NAME(S)	AGENCY CODE	AGENCY NAME & MAILING ADDRESS	CONTACT INFORMATION
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:

APPROVAL:

_____ *TYPED OR PRINTED NAME & TITLE; CABINET SECRETARY OF DEPARTMENT OR EXECUTIVE DIRECTOR OF AGENCY*	For FY _____
_____ *AUTHORIZING SIGNATURE*	_____ DATE

This form should only be signed by the Cabinet Secretary of the Department or the Executive Director of the Agency

DESIGNATION OF "PICK-UP ONLY" PERSONNEL

"Pick-up Only" Personnel: Personnel who are designated only to pick up records from the NM State Records Center and Archives (SRCA). These individuals are only allowed to pick up records with prior notification to SRCA through mail or fax by the appropriate Records Liaison Officer. This designation is used by agencies that utilize "runners" to transport records to and from an agency.



PICK-UP PERSONNEL NAME(S)	AGENCY CODE	AGENCY NAME & MAILING ADDRESS	CONTACT INFORMATION
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:
PRINT NAME:			PHONE NUMBER:
SECTION/ UNIT:			FAX NUMBER:
SIGNATURE:			E-MAIL ADDRESS:

APPROVAL:

<p>_____ *TYPED OR PRINTED NAME & TITLE: CABINET SECRETARY OF DEPARTMENT OR EXECUTIVE DIRECTOR OF AGENCY*</p>	<p>For FY _____</p>
<p>_____ *AUTHORIZING SIGNATURE*</p>	<p>_____ DATE</p>

This form should be signed by the current Record Liaison Officer, Cabinet Secretary of the Department or the Executive Director of the Agency

NM State Records Center and Archives Records Storage Transmittal Form

1.AGENCY CODE <div style="text-align: center;">?</div>	2.AGENCY NAME <div style="text-align: center;">?</div>	3.DIVISION NAME <div style="text-align: center;">?</div>	4. DATE PREPARED <div style="text-align: center;">?</div>	5. PAGE NO. <div style="text-align: center;">?</div> <small>of</small>
6. OFFICE LOCATION (Street address and room Number) <div style="text-align: center;">?</div>		7. RECORDS LIAISON OFFICER TYPED/PRINTED NAME <div style="text-align: center;">?</div>	8. RECORDS LIAISON OFFICER SIGNATURE <div style="text-align: center;">?</div>	9. PHONE # <div style="text-align: center;">?</div>
				10. Fax # <div style="text-align: center;">?</div>

*11. PERMANENT BOX # <div style="text-align: center;">?</div>	13A. SCHEDULE ITEM # <div style="text-align: center;">?</div>	14. RECORDS DESCRIPTION (MUST MATCH WORDING ON RETENTION SCHEDULE) <div style="text-align: center;">?</div>	15. DISPOSITION TRIGGER DATE <div style="text-align: center;">?</div>
12. SHIPMENT BOX # <div style="text-align: center;">?</div> <small>OF</small>	13B. MEDIA TYPE: (CHECK ONE) PAPER (DEFAULT) ELECTRONIC	IF THE BOX CONTAINS A SINGLE SERIES SHOW DETAIL OF CONTENTS (FIRST & LAST FILE NAME OR NUMBER)	16. DESTROY DATE <div style="text-align: center;">?</div>

	13A. SCHEDULE ITEM #	14. RECORDS DESCRIPTION (MUST MATCH WORDING ON RETENTION SCHEDULE)	15. DISPOSITION TRIGGER DATE
12. SHIPMENT BOX # <small>OF</small>	13B. MEDIA TYPE: (CHECK ONE) PAPER (DEFAULT) ELECTRONIC	IF THE BOX CONTAINS A SINGLE SERIES SHOW DETAIL OF CONTENTS (FIRST & LAST FILE NAME OR NUMBER)	16. DESTROY DATE

*11. PERMANENT BOX #	13A. SCHEDULE ITEM #	14. RECORDS DESCRIPTION (MUST MATCH WORDING ON RETENTION SCHEDULE)	15. DISPOSITION TRIGGER DATE
12. SHIPMENT BOX # <small>OF</small>	13B. MEDIA TYPE: (CHECK ONE) PAPER (DEFAULT) ELECTRONIC	IF THE BOX CONTAINS A SINGLE SERIES SHOW DETAIL OF CONTENTS (FIRST & LAST FILE NAME OR NUMBER)	16. DESTROY DATE

*11. PERMANENT BOX #	13A. SCHEDULE ITEM #	14. RECORDS DESCRIPTION (MUST MATCH WORDING ON RETENTION SCHEDULE)	15. DISPOSITION TRIGGER DATE
12. SHIPMENT BOX # <small>OF</small>	13B. MEDIA TYPE: (CHECK ONE) PAPER (DEFAULT) ELECTRONIC	IF THE BOX CONTAINS A SINGLE SERIES SHOW DETAIL OF CONTENTS (FIRST & LAST FILE NAME OR NUMBER)	16. DESTROY DATE

*11. PERMANENT BOX #	13A. SCHEDULE ITEM #	14. RECORDS DESCRIPTION (MUST MATCH WORDING ON RETENTION SCHEDULE)	15. DISPOSITION TRIGGER DATE
12. SHIPMENT BOX # <small>OF</small>	13B. MEDIA TYPE: (CHECK ONE) PAPER (DEFAULT) ELECTRONIC	IF THE BOX CONTAINS A SINGLE SERIES SHOW DETAIL OF CONTENTS (FIRST & LAST FILE NAME OR NUMBER)	16. DESTROY DATE

*FOR SRCA USE ONLY: ITEM #11	SRCA Analyst: _____ (reviewing this transmittal form)	DATA ENTERED BY: _____ DATA ENTRY DATE: _____	BOXES RECEIVED BY: _____ DATE BOXES DELIVERED: _____
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Print on Agency Letterhead

Request for Records Form

Date: _____

Page

	of
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Agency Name _____
 Agency DFA Code: _____
 Address: _____
 City, State Zip: _____
 Phone Number: _____
 Fax Number: _____

Instructions: 1. Complete all required fields. 2. Sign and fax a copy to the Records Center.

Length of withdrawal: Review Temporary Permanent

	Box Number	Shipment Box Number	File Name	File Only	Entire Box	Length of withdrawal		
						R	T	P
1.		of						
2.		of						
3.		of						
4.		of						
5.		of						
6.		of						
7.		of						
8.		of						
9.		of						
10.		of						
11.		of						
12.		of						
13.		of						
14.		of						
15.		of						

RLO Printed Name: _____

RLO Signature: _____

REQUEST FOR DISPOSITION

(To be used for destruction of Public Records/ non-records and/or for requests to transfer to Archives.)

AGENCY CODE:
 AGENCY:
 DIVISION:
 CONTACT:
 ADDRESS:
 E-MAIL:
 PHONE:
 FAX:

DATE: / /

SRCA#:

We hereby request permission to destroy the public records and/or non-records described below. The records retention period as established by the appropriate Record Retention and Disposition Schedule (RRDS) has expired, and these records are to be destroyed immediately.

- INSTRUCTIONS:**
- Please complete in duplicate.
 - Use the exact record title, part and section number as given in the Record Retention and Disposition Schedule.
 - Forward to NM State Records and Archives - 1205 Camino Carlos Rey - Santa Fe, NM 87505.
 - Yellow copy will be given back to the agency as receipt when boxes are delivered to SRCA.

- DESTRUCTION:**
- On-site
 - Records Center (circle one: Albuquerque Record Center or Santa Fe Record Center)

RECORDS TITLE AND DESCRIPTION (Please indicate destruction or transfer to Archives.)	DISPOSITION TRIGGER DATE	QUANTITY OF BOXES OR BUNDLES	RRDS PART AND SECTION NUMBER	SRCA USE ONLY TRANSFER TO ARCHIVES

Signed: _____ Title: _____
 (Records Liaison Officer or Agency Head)

Analyst - Received: Date: / /	RMD Director's Review - Transfer to Archives: yes___no___ Date: / /	Delivered to SRC - Received: Date: / /	Delivered to Archives - Received: Date: / /
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FEDERAL AND STATE FISCAL YEARS

Use this chart to find the disposition trigger date and the destroy date for records with retentions based on Federal or State Fiscal years.

Inclusive dates for Federal Fiscal Year		Disposition Trigger Date	Destroy Date					
			FY	3 Yrs.	4 Yrs.	5 Yrs.	6 Yrs.	10 Yrs.
Oct 1, 1990 - Sept. 31,	1991		10/94	10/95	10/96	10/97	10/01	
Oct 1, 1991 - Sept. 31,	1992		10/95	10/96	10/97	10/98	10/02	
Oct 1, 1992 - Sept. 31,	1993		10/96	10/97	10/98	10/99	10/03	
Oct 1, 1993 - Sept. 31,	1994		10/97	10/98	10/99	10/00	10/04	
Oct 1, 1994 - Sept. 31,	1995		10/98	10/99	10/00	10/01	10/05	
Oct 1, 1995 - Sept. 31,	1996		10/99	10/00	10/01	10/02	10/06	
Oct 1, 1996 - Sept. 31,	1997		10/00	10/01	10/02	10/03	10/07	
Oct 1, 1997 - Sept. 31,	1998		10/01	10/02	10/03	10/04	10/08	
Oct 1, 1998 - Sept. 31,	1999		10/02	10/03	10/04	10/05	10/09	
Oct 1, 1999 - Sept. 31,	2000		10/03	10/04	10/05	10/06	10/10	
Oct 1, 2000 - Sept. 31,	2001		10/04	10/05	10/06	10/07	10/11	
Oct 1, 2001 - Sept. 31,	2002		10/05	10/06	10/07	10/08	10/12	
Oct 1, 2002 - Sept. 31,	2003		10/06	10/07	10/08	10/09	10/13	
Oct 1, 2003 - Sept. 31,	2004		10/07	10/08	10/09	10/10	10/14	
Oct 1, 2004 - Sept. 31,	2005		10/08	10/09	10/10	10/11	10/15	
Oct 1, 2005 - Sept. 31,	2006		10/09	10/10	10/11	10/12	10/16	
Oct 1, 2006 - Sept. 31,	2007		10/10	10/11	10/12	10/13	10/17	
Oct 1, 2007 - Sept. 31,	2008		10/11	10/12	10/13	10/14	10/18	
Oct 1, 2008 - Sept. 31,	2009		10/12	10/13	10/14	10/15	10/19	
Oct 1, 2009 - Sept. 31,	2010		10/13	10/14	10/15	10/16	10/20	
Oct 1, 2010 - Sept. 31,	2011		10/14	10/15	10/16	10/17	10/21	
Oct 1, 2011 - Sept. 31,	2012		10/15	10/16	10/17	10/18	10/22	

Inclusive dates for State Fiscal Year		Disposition Trigger Date	Destroy Date						
			FY	1 Yr.	2 Yrs.	3 Yrs.	4 Yrs.	6 Yrs.	10 Yrs.
July 1, 1990 - June 30,	1991		7/92	7/93	7/94	7/95	7/97	7/01	
July 1, 1991 - June 30,	1992		7/93	7/94	7/95	7/96	7/98	7/02	
July 1, 1992 - June 30,	1993		7/94	7/95	7/96	7/97	7/99	7/03	
July 1, 1993 - June 30,	1994		7/95	7/96	7/97	7/98	7/00	7/04	
July 1, 1994 - June 30,	1995		7/96	7/97	7/98	7/99	7/01	7/05	
July 1, 1995 - June 30,	1996		7/97	7/98	7/99	7/00	7/02	7/06	
July 1, 1996 - June 30,	1997		7/98	7/99	7/00	7/01	7/03	7/07	
July 1, 1997 - June 30,	1998		7/99	7/00	7/01	7/02	7/04	7/08	
July 1, 1998 - June 30,	1999		7/00	7/01	7/02	7/03	7/05	7/09	
July 1, 1999 - June 30,	2000		7/01	7/02	7/03	7/04	7/06	7/10	
July 1, 2000 - June 30,	2001		7/02	7/03	7/04	7/05	7/07	7/11	
July 1, 2001 - June 30,	2002		7/03	7/04	7/05	7/06	7/08	7/12	
July 1, 2002 - June 30,	2003		7/04	7/05	7/06	7/07	7/09	7/13	
July 1, 2003 - June 30,	2004		7/05	7/06	7/07	7/08	7/10	7/14	
July 1, 2004 - June 30,	2005		7/06	7/07	7/08	7/09	7/11	7/15	
July 1, 2005 - June 30,	2006		7/06	7/08	7/09	7/10	7/12	7/16	
July 1, 2006 - June 30,	2007		7/08	7/09	7/10	7/11	7/13	7/17	
July 1, 2007 - June 30,	2008		7/09	7/10	7/11	7/12	7/14	7/18	
July 1, 2008 - June 30,	2009		7/10	7/11	7/12	7/13	7/15	7/19	
July 1, 2009 - June 30,	2010		7/11	7/12	7/13	7/14	7/16	7/20	
July 1, 2010 - June 30,	2011		7/12	7/13	7/14	7/15	7/17	7/21	
July 1, 2011 - June 30,	2012		7/13	7/14	7/15	7/16	7/18	7/22	