

Capitol Buildings Master Plan

Findings and
Recommendations:

State Records Center and
Archives (SRCA)



November 16, 2009
Capitol Buildings
Planning Commission
Meeting

CBPC_SRCA_11_16_09v2 - Original
CBPC_SRCA_11_16_09v5_followup-noPlans - Updated 3.18.10

Updated 3.18.10

Agenda

✓ Summary

- ▶ *Study Goals*
- ▶ *Summary Findings*
- ▶ *Recommendations*

✓ Additional Information

- ▶ *Background*
- ▶ *Supply Factors*
- ▶ *Demand Factors*
 - *Historic*
 - *Projected*

Study Goals

Study Goals

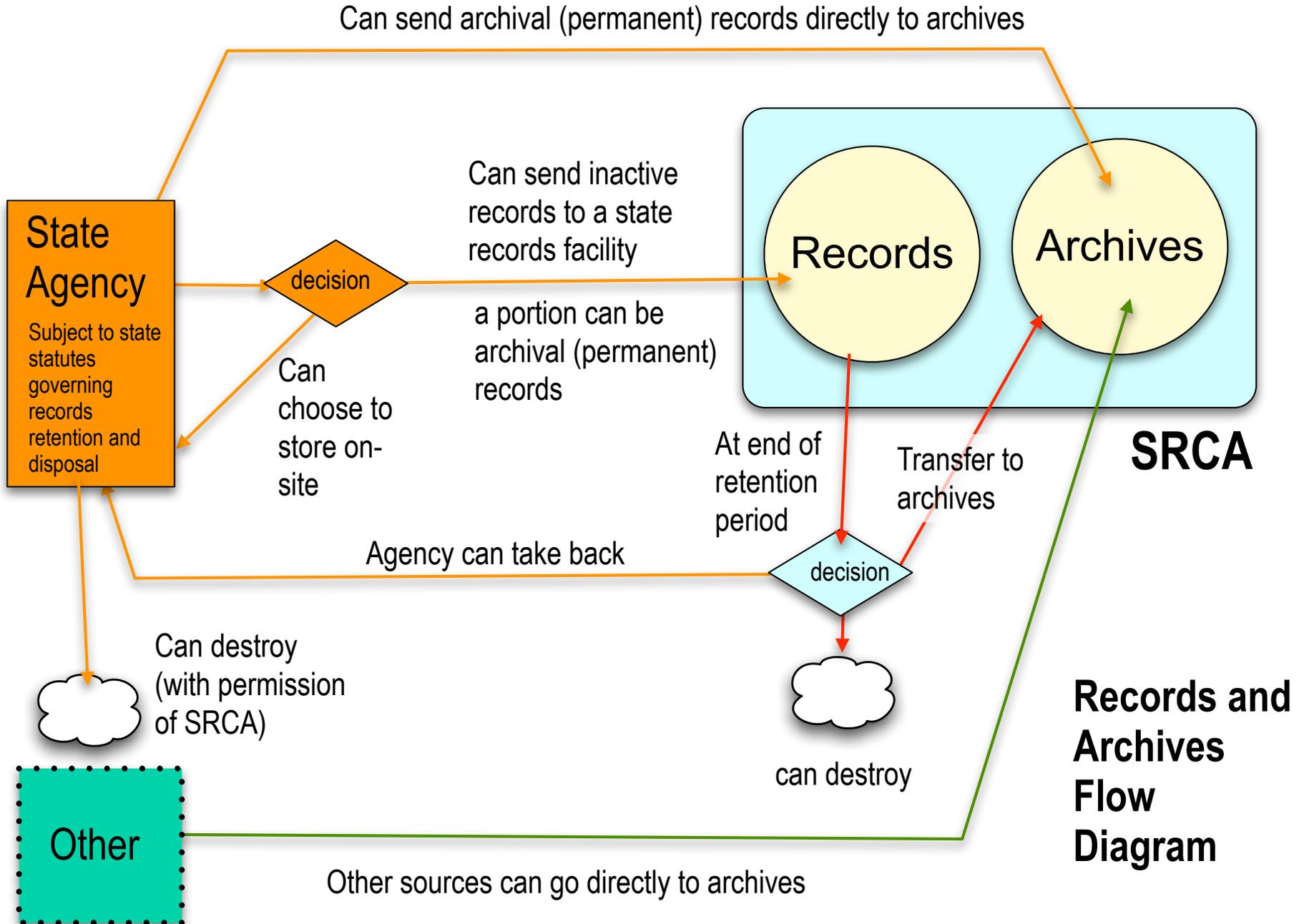
- ✓ **Project long-range records and archives growth by type (paper, electronic, microfilm), agency, and general location in the Santa Fe, Albuquerque and Las Cruces metropolitan areas;**
- ✓ **Identify space requirements to meet projected demand;**
- ✓ **Identify capacity of existing facilities to meet existing and projected demand; and**
- ✓ **Identify alternatives and strategies to meet needs in the Santa Fe, Albuquerque and Las Cruces metropolitan areas**

Summary Findings

Summary Findings

- ✓ **SRCA is established by statute and provides at no cost to state agencies storage facilities for inactive and permanent records**
- ✓ **“Records” means information preserved by any technique in any medium now known, or later developed, that can be recognized by ordinary human sensory capabilities either directly or with the aid of technology (paper and electronic records)**
- ✓ **To meet this statutory requirement, the Records Center Bureau operates two State Records Centers with locations in Santa Fe and Albuquerque with about 74,000 NASF**
- ✓ **The purpose of these centers is to handle storage, withdrawals, and disposition of records**

Summary Findings



**Records and
Archives
Flow
Diagram**

Summary Findings

✓ SRCA has two sites

▶ *Santa Fe (state-owned)*

- *West Capitol Complex*
- *Carruthers Building*
 - 133,402 GSF (shared by the SRCA and the State Library)
 - » 52,500 NASF of this total is dedicated to the SRCA
 - » 11,000 of this total is common space (shared with the State Library)
 - Has a records center and archives vault

▶ *Albuquerque (leased)*

- *4320 Yale Blvd NE, Renaissance Area*
 - 11,870 LSF, 10,555 USF, current lease \$82,496.50 / year
- *Just a records center*

Space Devoted to
Records and Archives

Area	NASF
Santa Fe	63,500
Albuquerque	10,555
Total	74,055

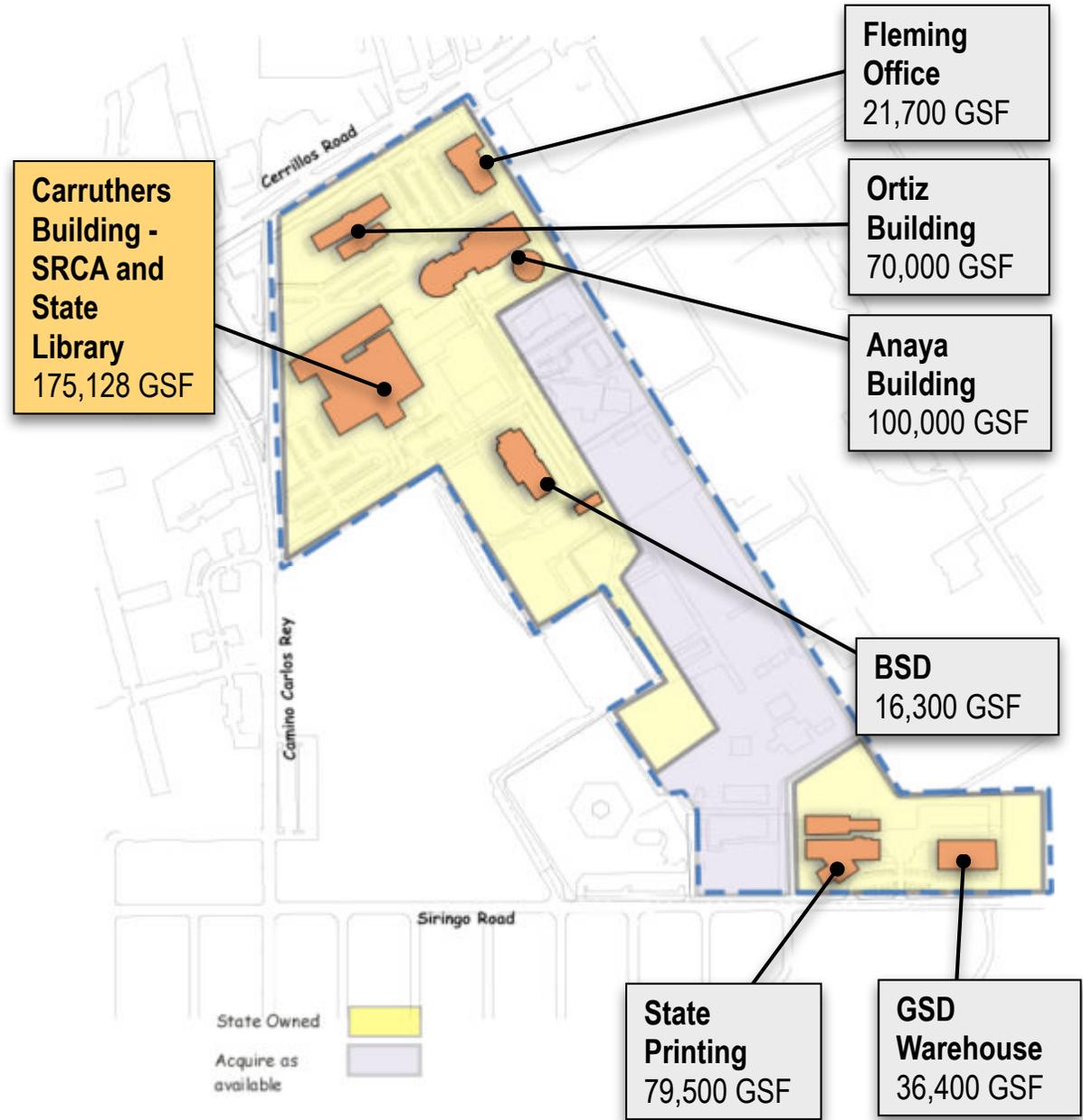
NASF - Net assignable square feet (square footage you use)
GSF - Gross Square Footage (square footage you pay for)
DGSF - Departmental Gross Square Feet (NSFA plus internal corridors)
Tare - Difference between NASF and GSF (e.g., walls, corridors, restrooms, stairs, mechanical spaces)
Efficiency - Ratio of NASF/GSF

LSF - Leasable Square Feet (similar to DGSF)
USF - Usable Square Feet (similar to NASF)

Summary Findings



**Carruthers Building -
SRCA and
State
Library**
175,128 GSF



West Capitol Campus

Building Plans have been omitted for security reasons.

Building Plans have been omitted for security reasons.



Summary Findings

Albuquerque Records Center



Building Plans have been omitted for security reasons.



Existing Storage

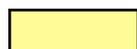
✓ Agencies with most records stored at the Records Center, 1996 and 2008

Sorted by 2008 rank

*Have *Enterprise Content Management System* (defined as the technologies used to Capture, Manage, Store, Preserve, and Deliver content and documents related to organizational processes)

Records Stored by Agency

Agency Code	Agency	1996	2008	Rank 1996	Rank 2008
770	Corrections, Dept. of	5,288	12,067	3	1
665	Health, Dept. of	10,012	10,507	1	2
630	Human Services, Dept. of	4,486	7,779	5	3
690	Children, Youth & Families Dept.	2,862	4,694	7	4
420	Regulation & Licensing, Dept. of	3,776	4,090	6	5
355	Public Defender's Dept.	2,467	4,005	11	6
264	District Attorney, Administrative Office of	2	3,842	56	7
631	Work Force Solutions Department		3,547	63	8
244	Metro Court (Bernalillo)	2,708	3,525	9	9
	District Attorney Offices	0	3,266	63	10
430	Public Regulation Commission		3,226	63	11
305	Attorney General	2,231	2,779	13	12
667	Environment Dept.	807	2,564	26	13
111	Legislative Council	1,707	2,476	15	14
333	Taxation & Revenue, Dept. of	2,755	2,466	8	15
790	Public Safety, Dept. of	990	2,381	20	16
*	366 Public Employee's Retirement Association	964	2,193	22	17
705	Office of Military Affairs/Dept	1,999	2,089	14	18
924	Education, Dept. Public	1,681	2,087	16	19
350	General Services Department	0	1,544	63	20
*	352 Educational Retirement Board	328	1,427	32	21
394	State Treasurer	677	1,348	27	22
	District Courts	0	998	63	23
644	Vocational Rehabilitation Division	1,175	981	18	24
370	Secretary of State	820	818	25	25
*	341 Finance & Administration, Dept. of	5,225	789	4	26
508	Livestock Board	469	753	28	27
521	Energy, Minerals, & Natural Resources	1,627	743	17	28
760	Parole Board/Adult	265	720	33	29
780	Crime Victims Reparation	1,045	622	19	30

 Top 15, 1996 & 2008

Summary Findings

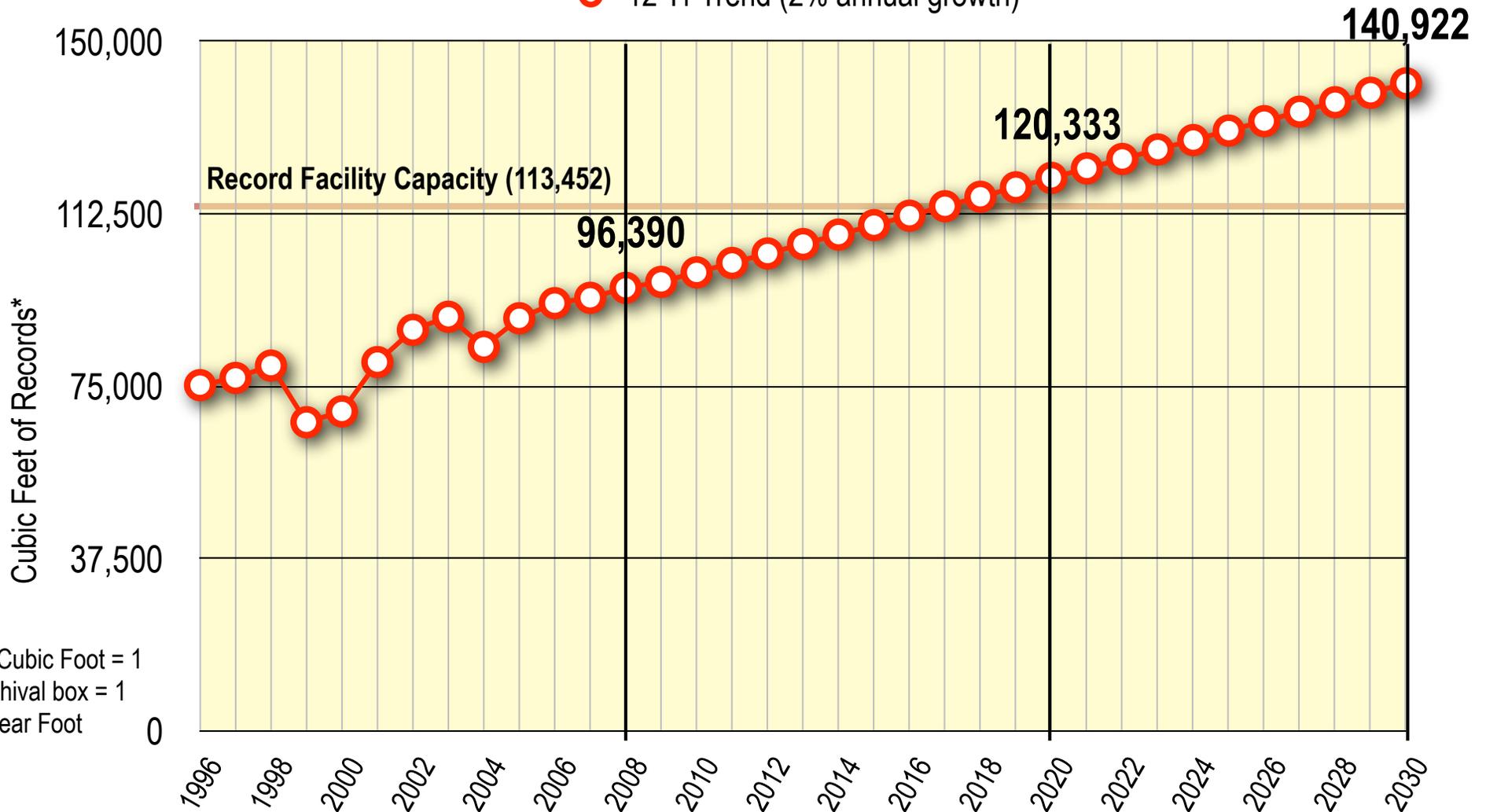
✓ Assuming current conditions

- ▶ ***Existing SRCA (records and archives) are at about 85% capacity and will be full in ~6-7 years***
- ▶ ***Space for another 2 years or so can be made available in the records center by transferring records to archives - this will only accelerate filling of the archives***
- ▶ ***About 5,300 gross square feet is needed (3,400 gsf for records storage, 1,900 gsf for the archives vault) by 2020 to meet projected demand***

Projected Demand – Trend Analysis

New Mexico State Records Center and Archives Projected Total **Records** Stored (cubic feet) based on Historic Trends

○ 12 Yr Trend (2% annual growth)

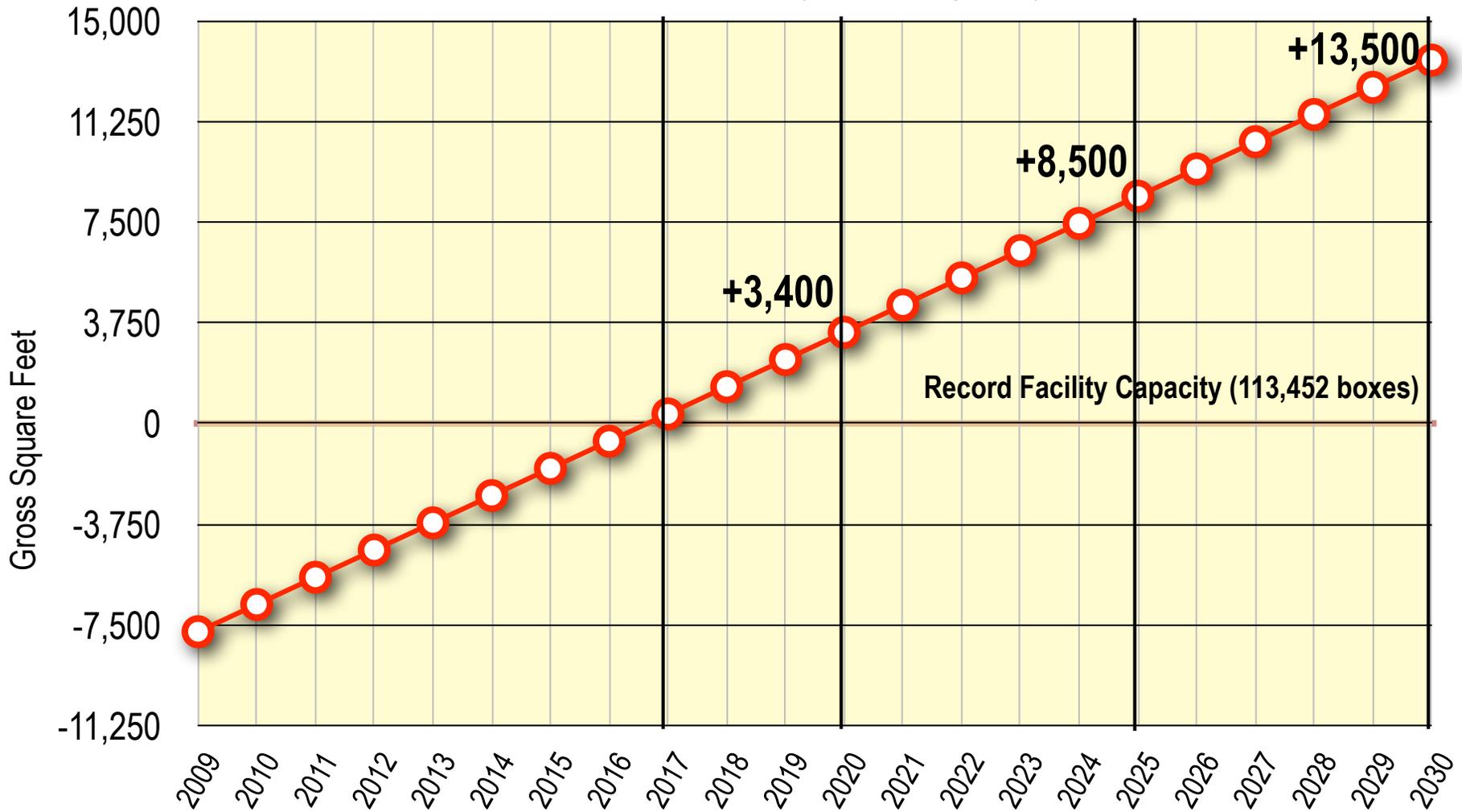


*1 Cubic Foot = 1
archival box = 1
Linear Foot

Projected Demand – Trend Analysis

New Mexico State Records Center and Archives Projected Additional **Records** Space Required (gross square feet) based on Historic Trends

○ 12 Yr Trend (2% annual growth)

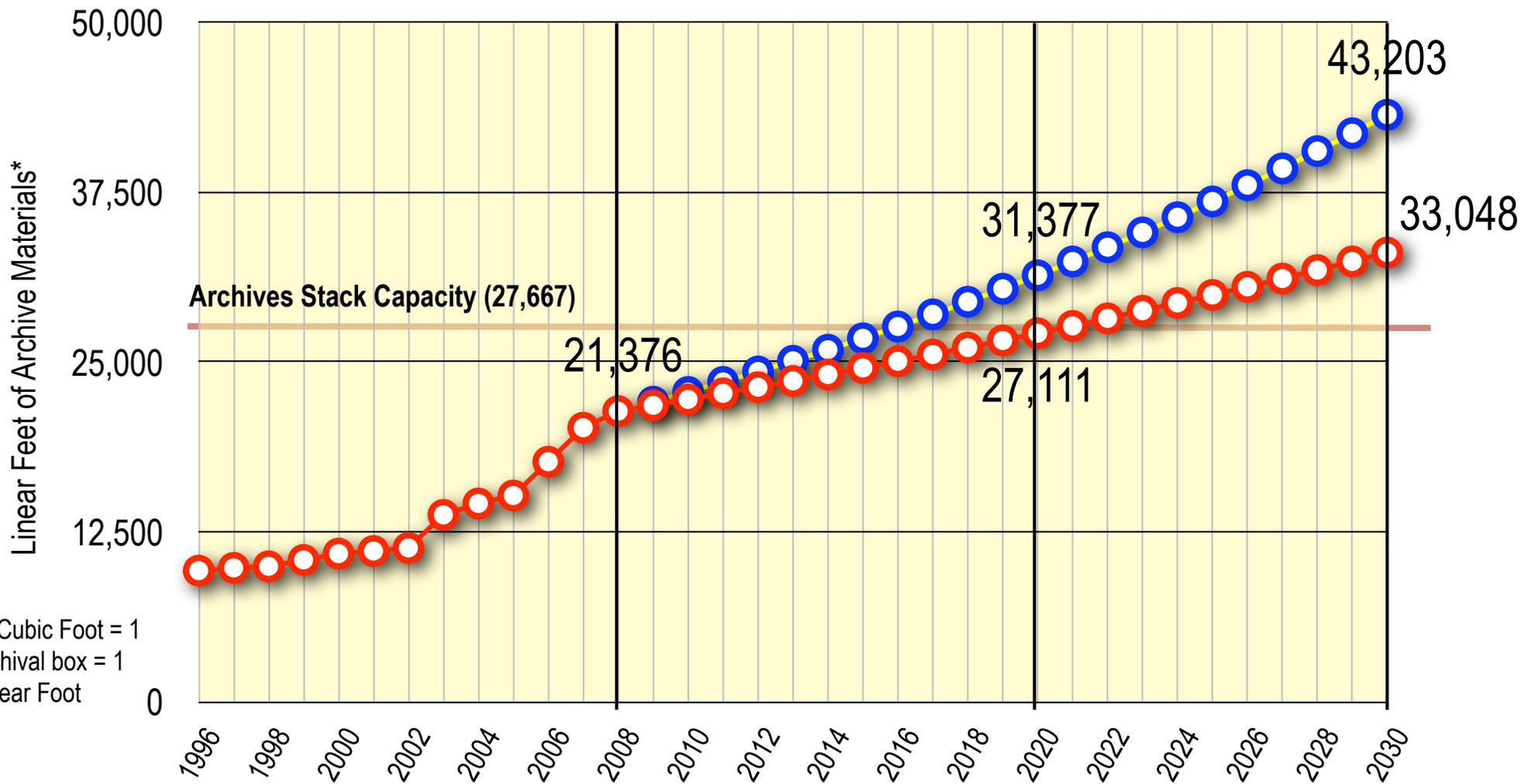


Projected Demand – Trend Analysis

New Mexico State Archives

Projected Total Archives Stored (linear feet) based on Historic Trends

○ 12 Yr Trend (6.9% annual growth) ○ 7 Yr Trend (11.2% annual growth)

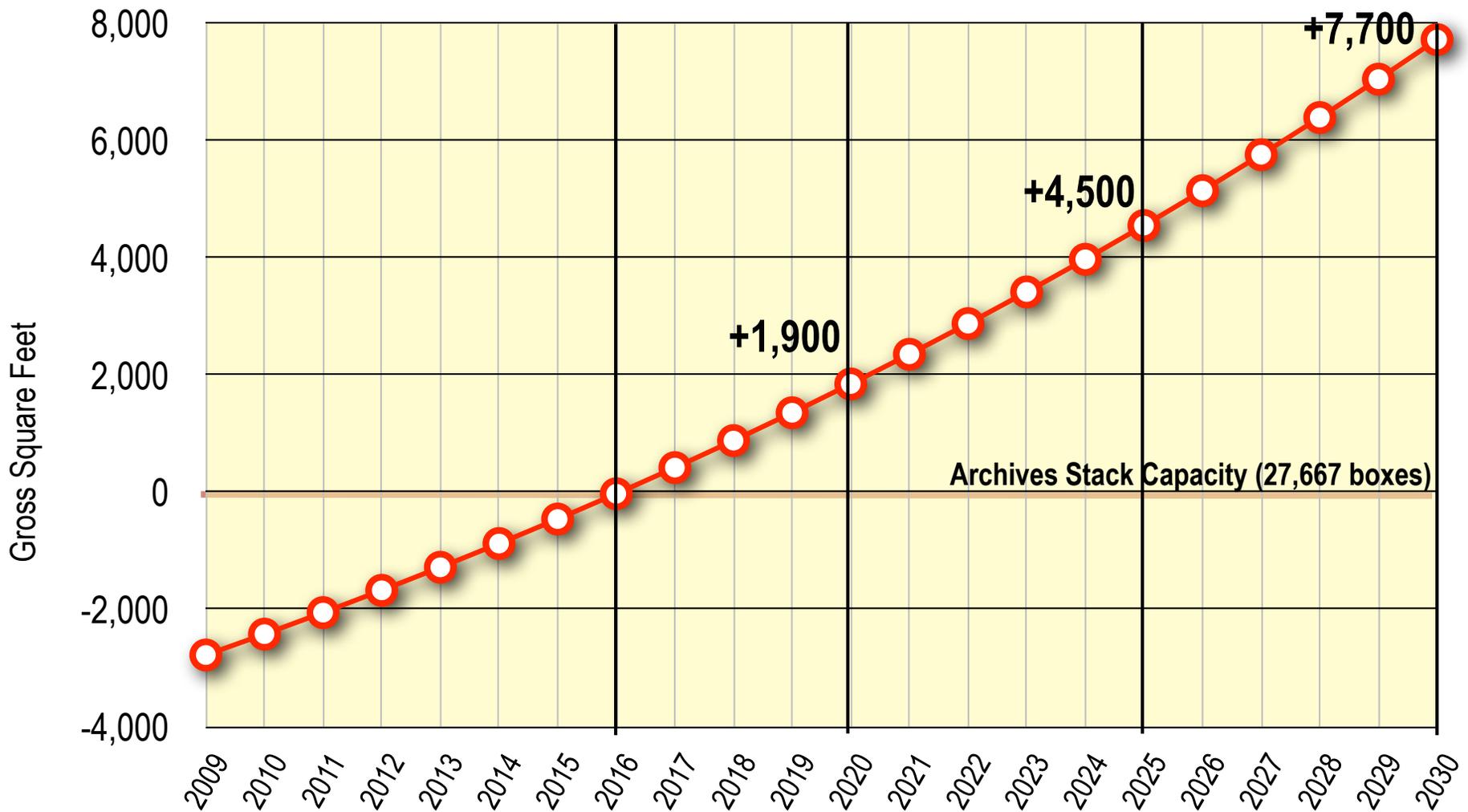


*1 Cubic Foot = 1
archival box = 1
Linear Foot

Projected Demand – Trend Analysis

New Mexico State Records Center and Archives Projected Additional **Archive** Space Required (gross square feet) based on Historic Trends

○ 12 Yr Trend (6.9% annual growth)



Summary Findings

✓ Demand for record storage is influenced by a number of factors

▶ ***Factors that may tend to decrease demand***

- *Agency lack of understanding of record storage rules*
- *Gradual adoption electronic imaging systems (aka Enterprise Content Management) by state agencies (decrease in demand for paper storage, but increase demand for electronic media storage)*
- *Lack of sufficient agency resources for records management*

▶ ***Factors that may tend to increase demand***

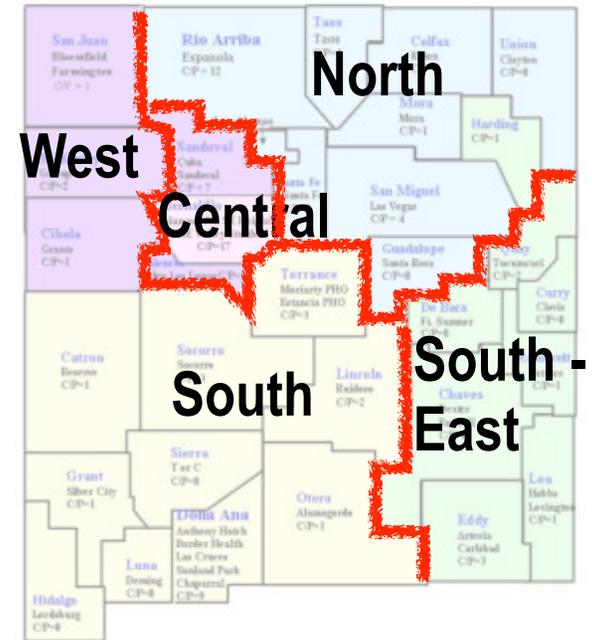
- *Growth in state government (staffing, people served)*
- *Provision of additional storage options convenient to users*
 - Highest potential demand for convenient record storage is in the south and south-east portions of the state

Summary Findings

✓ Projected Demand – Assuming Convenient Facilities

**Total Potential Additional Record* Demand (Boxes)
by Area, 2010-2030****

	2010	2015	2020	2025	2030
North	20,841	23,010	25,405	28,049	30,968
Central	3,876	4,280	4,725	5,217	5,760
South	12,284	13,562	14,974	16,532	18,253
South - East	24,889	27,480	30,340	33,498	36,984
West	1,908	2,106	2,325	2,567	2,834
Unknown Location	6,955	7,679	8,478	9,361	10,335
Total	70,752	78,116	86,247	95,224	105,134



*Inactive and Permanent

**Assumes 2% growth per year

Most of the demand will likely be in the south, south-east, and west since convenient facilities do not exist in these areas

Summary Findings

✓ If the state constructs additional record centers

▶ ***Southern region***

- *~8,000 gross square feet (accommodate about 15,000 boxes)*
- *~\$1.21 million* (2009 dollars) without land*

▶ ***Southeastern region***

- *~15,000 gross square feet (accommodate about 30,000 boxes)*
- *~\$2.1 million* (2009 dollars) without land*

▶ ***Any facility will have added operational cost (facilities expense and new personnel)***

****Assumptions:***

- Facilities are for records storage. Archives would continue to be centralized in Santa Fe
- Space for records storage (at .33 sf / box) plus shipping and receiving
- Space to accommodate 1 manager and 2 clerks at each facility
- \$140 / gsf total project cost (CMU, steel frame)

Summary Findings

- ✓ **No significant operational savings (e.g., lease expense, personnel expense of agencies directly funded from the state) was found to offset potential capital expenditures for new facilities**
 - ▶ *No data for significant state agency leases tied directly to record storage*
 - ▶ *Cost of existing Albuquerque Records lease is less than what we estimate the cost of building a new facility*

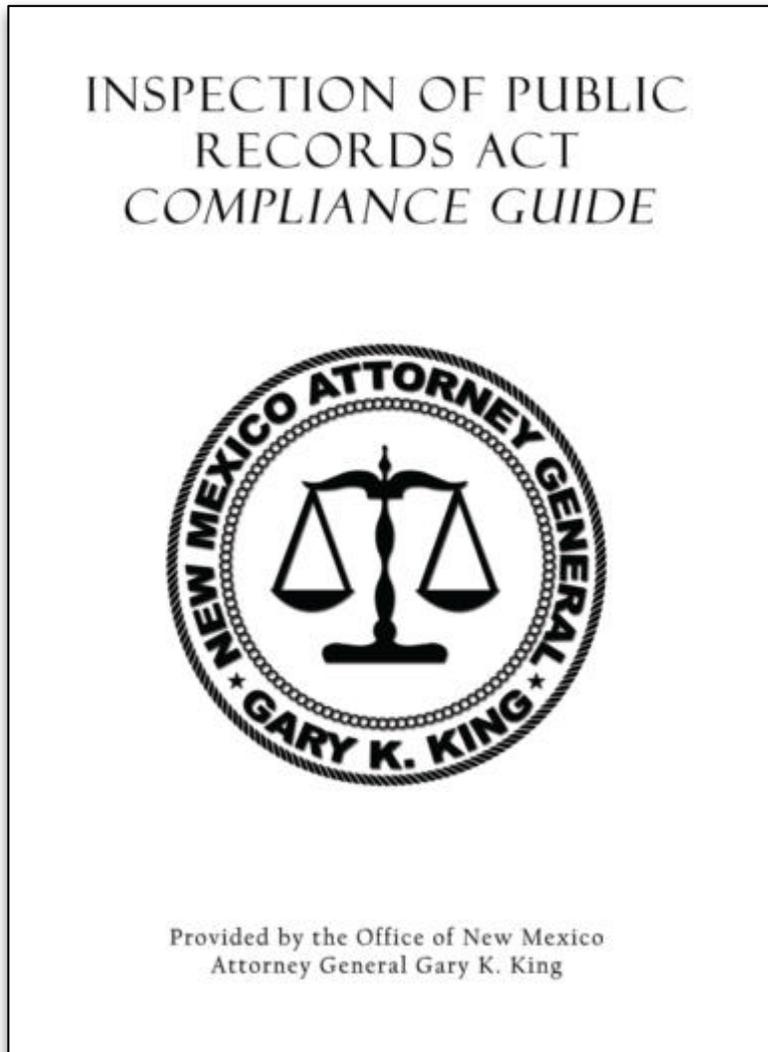
Summary Findings

✓ Why Provide Funds for additional State Records and Archives Facilities?

- ▶ ***Promotes adherence to state statute and records and archives rules***
- ▶ ***Promotes public access to records and archives***
- ▶ ***Preserves important documents***
 - *From improper storage*
 - *Archival availability*
- ▶ ***Decreases liability risk to the state regarding***
 - *Retaining information that should have been disposed*
 - *Finding information that should be available*

Summary Findings

✓ Liability risk



THE INSPECTION OF PUBLIC RECORDS ACT NMSA 1978, Chapter 14, Article 2

The Law

Every person has a right to inspect any public records of this state except:

The Law

Each public body shall designate at least one custodian of public records who shall:

- A. receive and respond to requests to inspect public records;
- B. provide proper and reasonable opportunities to inspect public records;
- C. provide reasonable facilities to make or furnish copies of the public records during usual business hours; and
- D. post in a conspicuous location at the administrative office of each public body a notice describing:
 - (1) the right of a person to inspect a public body's records;
 - (2) procedures for requesting inspection of public records;
 - (3) procedures for requesting copies of public records;
 - (4) reasonable fees for copying public records; and
 - (5) the responsibility of a public body to make available public records for inspection.

The Law

A. An action to enforce the Inspection of Public Records Act may be brought by:

- (1) the attorney general or the district attorney in the county of jurisdiction; or
 - (2) a person whose written request has been denied.
- B. A district court may issue a writ of mandamus or order an injunction or other appropriate remedy to enforce the provisions of the Inspection of Public Records Act.
- C. The exhaustion of administrative remedies shall not be required prior to bringing any action to enforce the procedures of the Inspection of Public Records Act.
- D. The court shall award damages, costs and reasonable attorneys' fees to any person whose written request has been denied and is successful in a court action to enforce the Inspection of Public Records Act.

Summary Findings

✓ Liability risk

New Mexico owes \$117,000 in open records settlement

November 17, 2008 · Leave a Comment

New Mexico district judge Valerie Huling determined recently that records requested by Eric Griego from the state's Taxation and Revenue Department (TRD) are public under the [New Mexico Inspection of Public Records Act](#).

However, TRD illegally withheld the records. It has now agreed to pay Griego \$117,000 in a settlement. TRD has also agreed not to appeal the case.

The New Mexico government has also dropped its appeal of a judicial order that it the [New Mexico Foundation for Open Government](#) \$31,000 in legal fees that the group sustained when it joined Griego's lawsuit.

The taxpayers of New Mexico will now have to pay nearly \$150,000 in legal fees, in addition to a possibly similar amount of legal bills the state's own attorney to unsuccessfully argue for its non-right to withhold the records.

Griego's lawsuit was filed in 2006.

Court: \$500,000 for errors related to a single Public Records Act request

POSTED ON JULY 12, 2009 BY [RAMSEY RAMERMAN](#)
Update July 13, 2009

Here is another story/editorial from the TNT on this case: "[L&I, Justice Sanders run up the bill](#)." Even the TNT notes the harsh nature of the L&I judgment:

A half-million dollars does seem stiff, given that L&I did not contest that it was at fault for withholding the records. An agency spokesman told The Olympian that an employee had failed to take proper action in response to the records request.

Original Post

As noted in this [Olympian article](#), the Washington State Department of Labor & Industries was recently ordered to pay \$500,000 because of errors related to a single Public Records Act Request. This case demonstrates that the failure

to properly respond to a single public records request can have significant economic consequences. One consequence of the judgment will be a significant increase in electrical utility rates, because it is public dollars that will pay this judgment.

[In the courts, In the news, Public Records, Public Records Act, Public Records Act costs, Taxpayer interests](#)

City of Prosser Settles PRA Suit for \$175,000

POSTED ON JULY 20, 2009 BY [RAMSEY RAMERMAN](#)

The City of Prosser provides the latest example of how the Public Records Act can be very profitable for some. The City has agreed to pay a requester \$175,000 to settle a PRA lawsuit. As recorded by the Yakima Herald, the requester caught the City up in 11 mistakes after making 213 requests. The PRA requires strict compliance and puts no limits on the number of requests a person can make at no cost to the requester.

Taxpayers, of course, will pay the tab. And this may not be the end of it -- the requester has already warned "They've got to be fully prepared to go the next round."

D'Amico wins \$41,515 in public records case against county and Commissioner Sullivan

By Allison Arthur and Barney Burke of The Leader

Joe D'Amico has won a \$41,515 judgment against Jefferson County and Commissioner David Sullivan in an open records lawsuit stemming from an ongoing battle over permits for his security company.

STATE OF NEW MEXICO
COUNTY OF BERNALILLO
SECOND JUDICIAL DISTRICT COURT

FRANK C. FOY,

Plaintiff,

v.

No. D-202-CV-2009-01864

NEW MEXICO STATE INVESTMENT COUNCIL, and
GARY BLAND, State Investment Officer

Defendants.

**COMPLAINT FOR INSPECTION OF PUBLIC RECORDS,
DAMAGES, AND DECLARATORY AND INJUNCTIVE RELIEF**

This is a complaint under the Inspection of Public Records Act, NMSA 1978, §§ 14-

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Recommendations

✓ Options to address storage issues at SRCA

▶ *Demand side*

- *Increase education / training of state agencies*
 - So that only appropriate records are sent to SRCA
 - Improve records management
- *Invest in electronic record management systems*
 - Provide potentially more efficient access and protection of records/archives (operational cost impacts)
- *Serve direct state agencies as a priority*
 - Accept records from local government, school districts, and higher education only as space permits

Recommendations

✓ Options to address storage issues at SRCA

▶ **Supply side - *Records* will reach capacity in 6-7 years**

- *Mid Term*

- Improve storage efficiency within existing facilities
 - » Invest in additional high capacity storage shelving at the Albuquerque Records Center (gains about another 10 years)
- Lease additional storage space in Albuquerque (gains another 10 years)
- Creates additional operational expense to balance storage demand between Albuquerque and Santa Fe

- *Mid - Long-term*

- Investigate creating additional record storage space in Santa Fe
- Consider creating additional records centers (without archival facilities) in other parts of the state (Priority in southern and southeastern regions) to encourage proper record storage convenient to user agencies
 - » Additional records centers will likely create new demand, rather than relieve any space issues in existing facilities in Santa Fe and Albuquerque
 - » Investigate lease of existing facilities to test demand prior to constructing new facilities

Recommendations

✓ Options to address storage issues at SRCA

▶ *Supply side - Archives will reach capacity in about 6 years*

- *Maintain one central archives in Santa Fe*
 - More convenient to researchers
 - Provides better security
 - Takes advantage of more specialized environmental requirements
 - Makes most efficient use of limited archives staff
- *Mid-term*
 - Expand archive vault
 - » Fund architectural study to determine best means to meet archival expansion and library needs
 - » Will likely require some interior modification, expansions, and/or off-loading of selected functions

Additional Information

Background

Background

- ✓ **Section 14-3-8 NMSA 1978 establishes a State Records Center under the supervision and control of the State Records Administrator**
- ✓ **The State Records Center in accordance with the regulations established by the State Records Administrator and the State Commission of Public Records shall be the facility for the receipt, storage or disposition of all inactive and infrequently used records of present or former state agencies**
- ✓ **To meet this statutory requirement, the Records Center Bureau operates two State Records Centers with locations in Santa Fe and Albuquerque. The purpose of these centers is to handle storage, withdrawals, and disposition of records.**

Background

- ✓ **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*
- ✓ **SRCA is organized into a single program –records, information and archival management – and four sub-programs: administration, public records management, and administrative law, and New Mexico history**

Background

- ▶ ***The State Records Center serves as an off-site storage facility for all State government agencies that are required to maintain public records for a fixed length of time but do not have space in their offices to do so***
 - *“Agency” means any state agency, department, bureau, board, commission, institution or other organization of state government (e.g., includes courts, local governments [county, city, town], higher education, and school districts)*
 - *State agencies may choose to use the SRCA or store their own records*
 - *SCRA provides records storage at no cost to state agencies*
 - *“Records” means information preserved by any technique in any medium now known, or later developed, that can be recognized by ordinary human sensory capabilities either directly or with the aid of technology*

Background

- ✓ **The administrator establishes a records management program and records disposal schedules for the orderly retirement of records**
- ✓ **1.13.10.17 NMAC, Disposition, specifies the disposition processes for records that have met the required retention periods based upon the records retention and disposition schedules**
 - ▶ ***The records eligible for transfer to archives may be transferred from the Records Center or directly from the client agency to the Archives Division***
 - ▶ ***The Records Center disposes records based on disposal schedules (with due notification) and also approves disposal of records of all state agencies held outside the Record Centers***

Background

- ✓ **The Archives and Historical Services Division is the central archives of New Mexico State Government**
- ✓ **The agency is mandated by law to collect, preserve and make available to the public and all branches of government, permanent public records, historical manuscripts, photographs and other materials that contribute to the understanding of New Mexico history**
- ✓ **The Records Center transfer permanent records to the Archives**
- ✓ **The Archives can accept archival material from all sources**

Supply Factors

Existing Facilities

✓ SRCA – Programmed vs. Actual

State Library and Archive Program Phase Comparison - 1995 / 2009

Access Code	Space Description	1995 Program NASF	2009 Takeoff NASF	Agency - Description
1.0.0	Common Space	5,260	10,945	Common
2.0.0	Agency Management			
2.1.0	Director's Suite	1,620		
2.2.0	Public Relations	300		
3.0.0	Administrative Services	120		
3.1.0	Personnel	220	3,205	DCA
			1,065	R&A
3.2.0	Fiscal	500		
4.0.0	Networking & Computer Services	2,320	2,187	R&A
3.3.0	Operations	4,090	4,735	DCA
5.0.0	Technical Services	1,420	2,550	DCA
6.0.0	Library Development	120		
6.1.0	Consulting, Training and Grants	900	3,550	DCA
6.2.0	Talking Book Library	8,540	8,228	DCA
6.3.0	Rural Services	1,080	1,286	DCA
7.0.0	Government Information Services			
7.1.0	Circulation and Inter Library Loan	2,050	2,375	DCA
7.2.0	Reference	22,196	33,157	DCA - General Ref., Government Docs., Office
8.0.0	Archives and Historical Services			
8.1.0	Archives	19,525	18,804	R&A - Archive Research
8.2.0	Historical Services and SW Room	8,146	9,183	DCA
9.0.0	Records Center	240	2,178	R&A - Records Management
9.1.0	Records Analysis	770		
9.4.0	State Rules	670	1,483	R&A - Admin Law
9.2.0	Records Warehouse	23,666	21,551	R&A
9.3.0	Micrographics	3,171	3,528	R&A
	Office of the State Historian	0	1,643	R&A - OSH
	Administration - GSD	0	1,749	GSD
Total Net Assignable Square Feet		106,924	133,402	
Gross Square Feet			175,128	
Efficiency (NASF / GSF)			76.2%	

NASF - Net assignable square feet (square footage you use)
 GSF - Gross Square Footage (square footage you pay for)
 DGSF - Departmental Gross Square Feet (NSFA plus internal corridors)
 Tare - Difference between NASF and GSF (e.g., walls, corridors, restrooms, stairs, mechanical spaces)
 Efficiency - Ratio of NASF/GSF

R&A	49,592	52,439
DCA	48,642	68,269
Common	5,260	10,945
GSD	0	1,749
Total	103,494	133,402

Existing Capacity

Records Capacity

	Storage Boxes
Santa Fe	77,312
Albuquerque	36,140
Total Capacity	113,452
2008 Storage	96,390
Percent Capacity	85.0%

Microfilm Capacity

	Microfilm Reels
Santa Fe Capacity	177,870
2008 Storage	147,481
Percent Capacity	82.9%

Microfilm Storage

Existing Capacity

✓ Archives

COUNT OF ALL MEDIA BY LINEAR FEET

	2006	1995
Space Occupied in Stacks	22,564	9,303
Space Occupied by Films	357	142
Space Occupied by Maps	24	24
Space Occupied by Photos	226	153
Space Occupied Inner Vault	417	417
Space Occupied by Microfilm	386	386
Space Occupied by Outsized Books	384	384
TOTAL	26,364	12,804

2009 SRCA - Archives

Total Space in Stacks	27,667
Space Occupied	22,569
Space Remaining	5,098
Percent Capacity	81.57%

Demand Factors

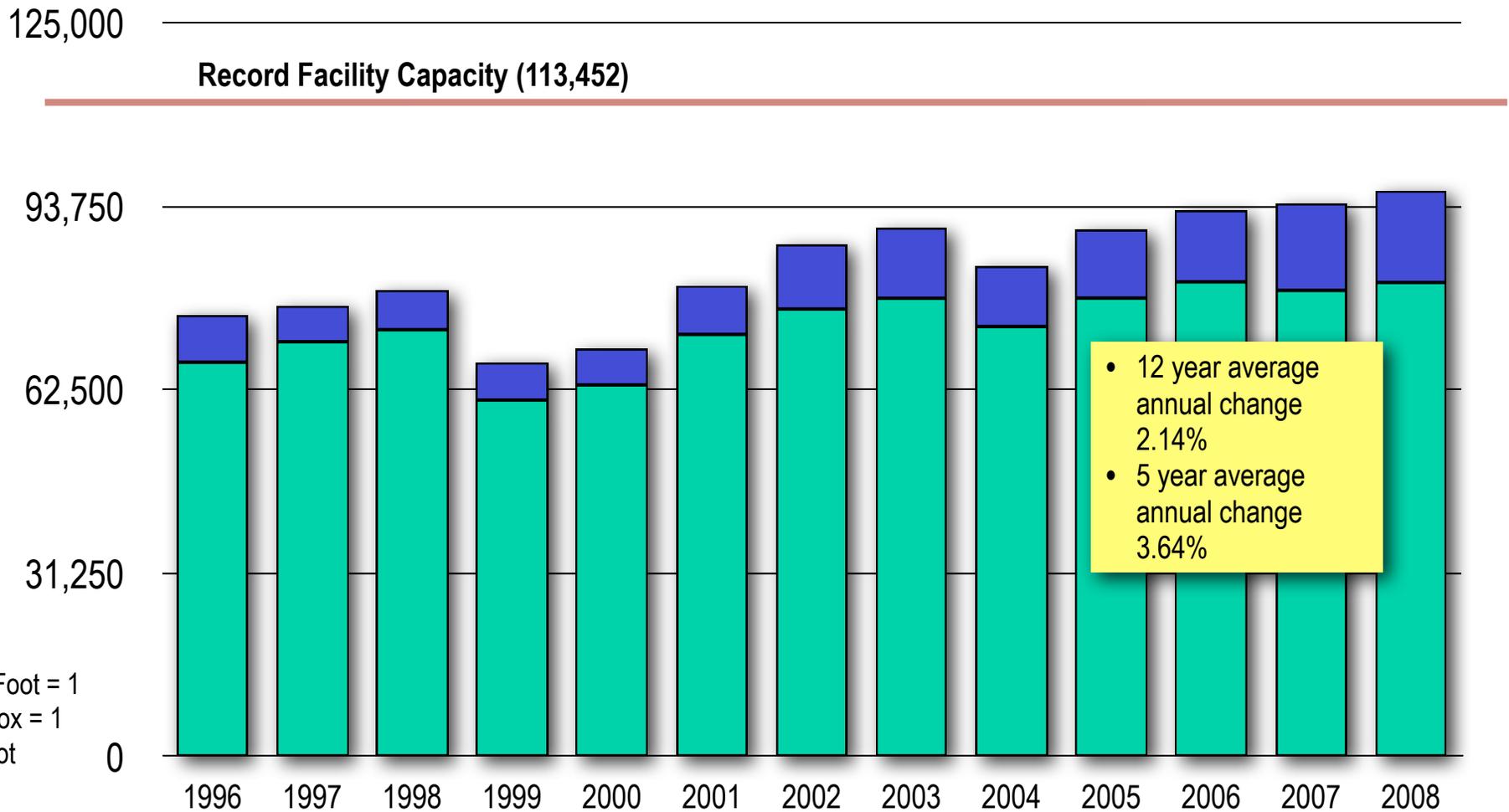
Historic Demand

Existing Storage

* Approximately 20% of the boxes stored at the State Records Center *(about 5,000) are eligible for transfer to the Archives Division

New Mexico State Records Center and Archives Total Paper Records Stored*

Executive Non-Executive



*1 Cubic Foot = 1
archival box = 1
Linear Foot

Existing Storage

✓ There is approximately 20% legacy material (~5,000 boxes) in the records center that has not been processed awaiting transfer to the archives

Archival Storage at Records Center

	Paper	Microfilm
Santa Fe	17,480	81,369
Albuquerque	3,733	
Total	21,213	81,369
% total Records (2008)	22.0%	55.2%
% total Records (2009)	20.4%	55.4%
%total capacity	18.7%	45.7%

Agencies with the Greatest Amount of Archival Records at SRCA

	Boxes	% Total
Children, Youth & Families	2,819	13.3%
Legislative Council Service	2,566	12.1%
Attorney Generals	2,179	10.3%
State Records Center & Archives	1,553	7.3%
Public Regulation Commission	1,481	7.0%
Bernalillo County Metro Court	1,037	4.9%
2nd Judicial District Court	937	4.4%

Existing Storage

New Mexico State Records Center and Archives Total Microfilm Stored

Executive Non-Executive

200,000

Microfilm Facility Capacity (177,870)

Cubic Feet of Records*

150,000

100,000

50,000

0

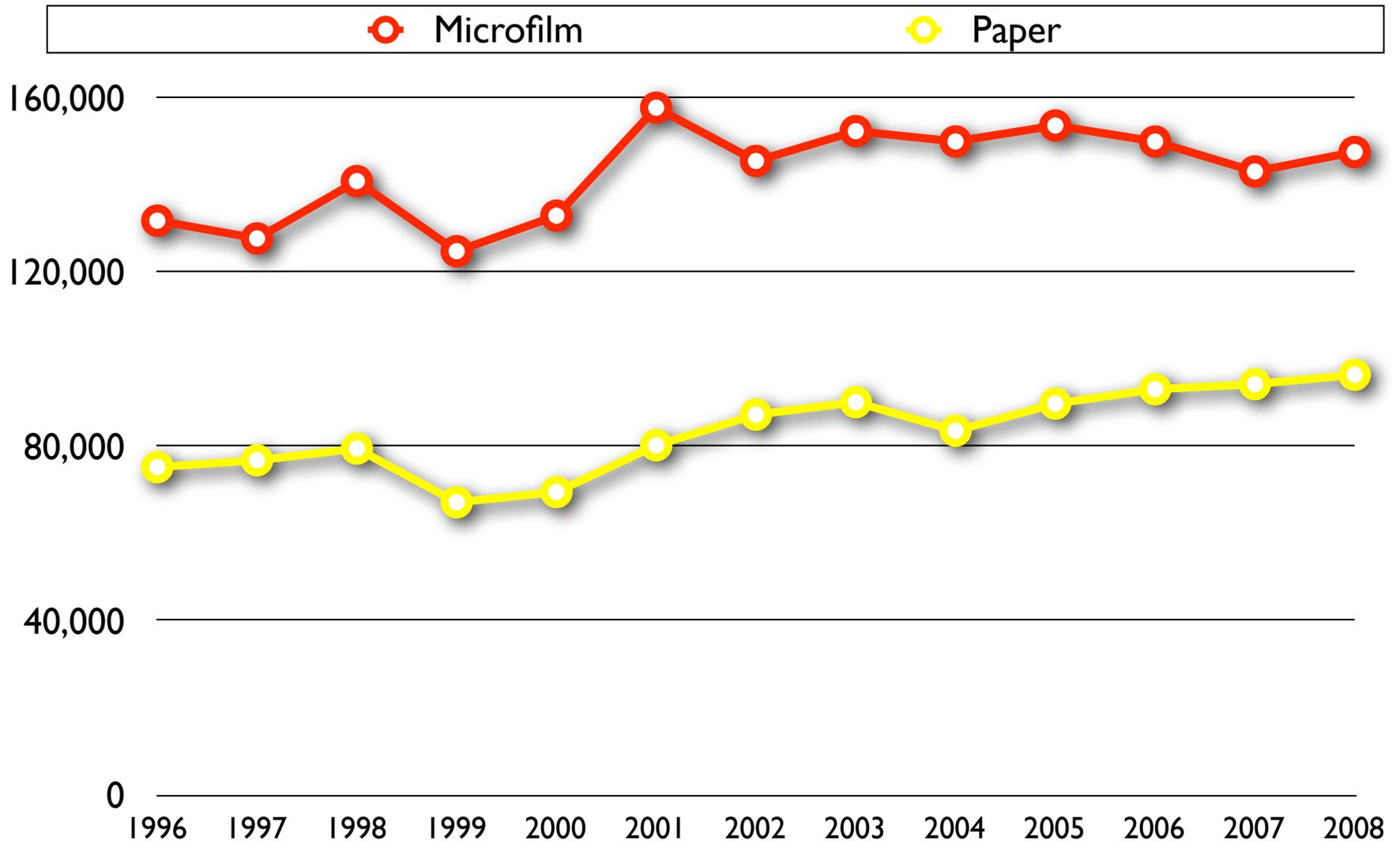
1996 1997 1998 1999 2000 2001 2002 2003 2004 2005 2006 2007 2008

- 12 year average annual change 0.95%
- 5 year average annual change -0.40%

*1 Cubic Foot = 1
archival box = 1
Linear Foot

Existing Storage

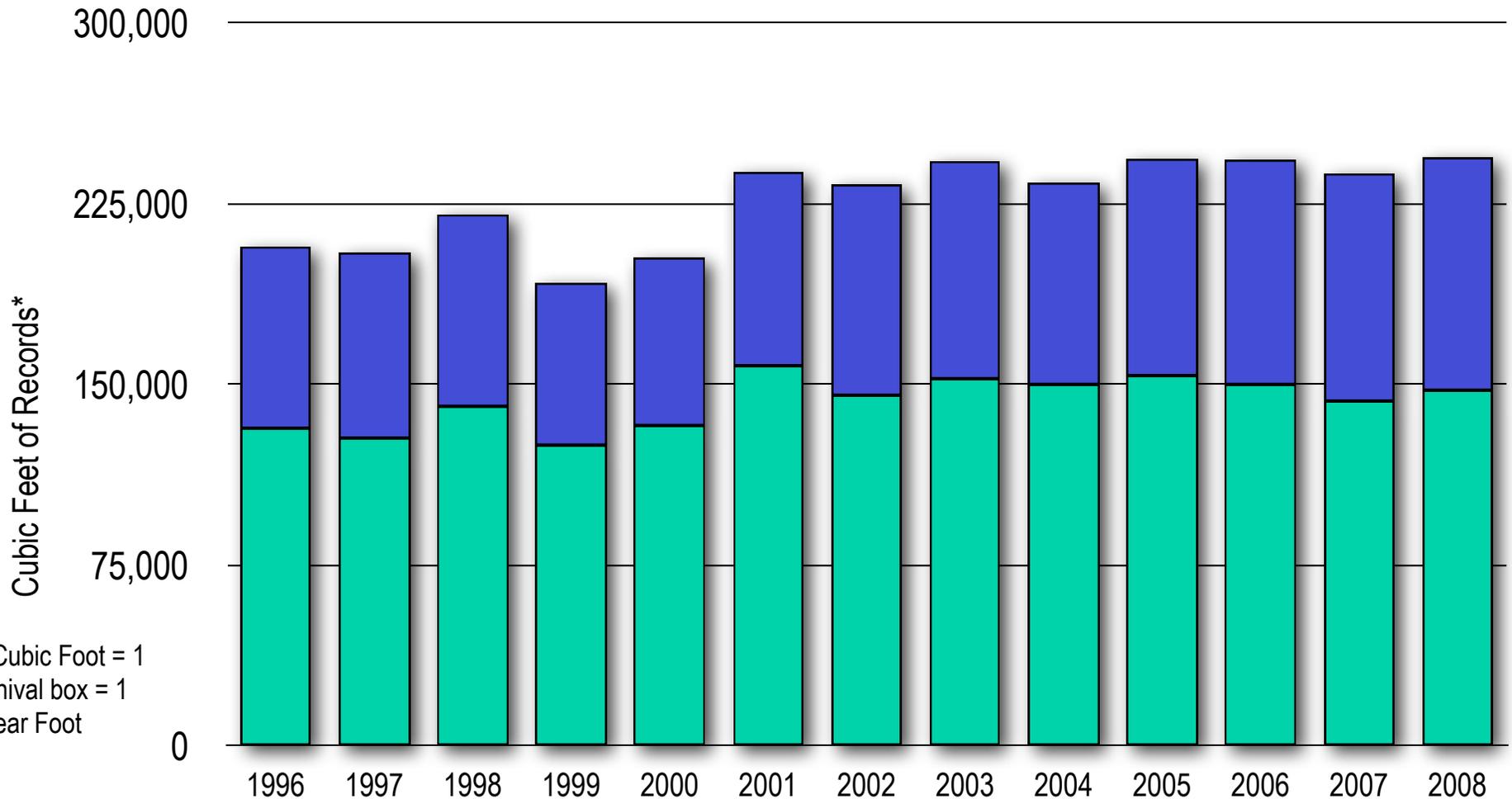
New Mexico State Records Center Total Paper and Microfilm Stored



Existing Storage

New Mexico State Records Center and Archives Total Paper & Microfilm Stored

Microfilm (reels) Paper (cubic feet)



*1 Cubic Foot = 1
archival box = 1
Linear Foot

Existing Storage

✓ Agencies with most microfilm stored at the Records Center, 1996 and 2008

Sorted by 2008 rank

*Have Enterprise Content Management System

Microfilm Stored by Agency

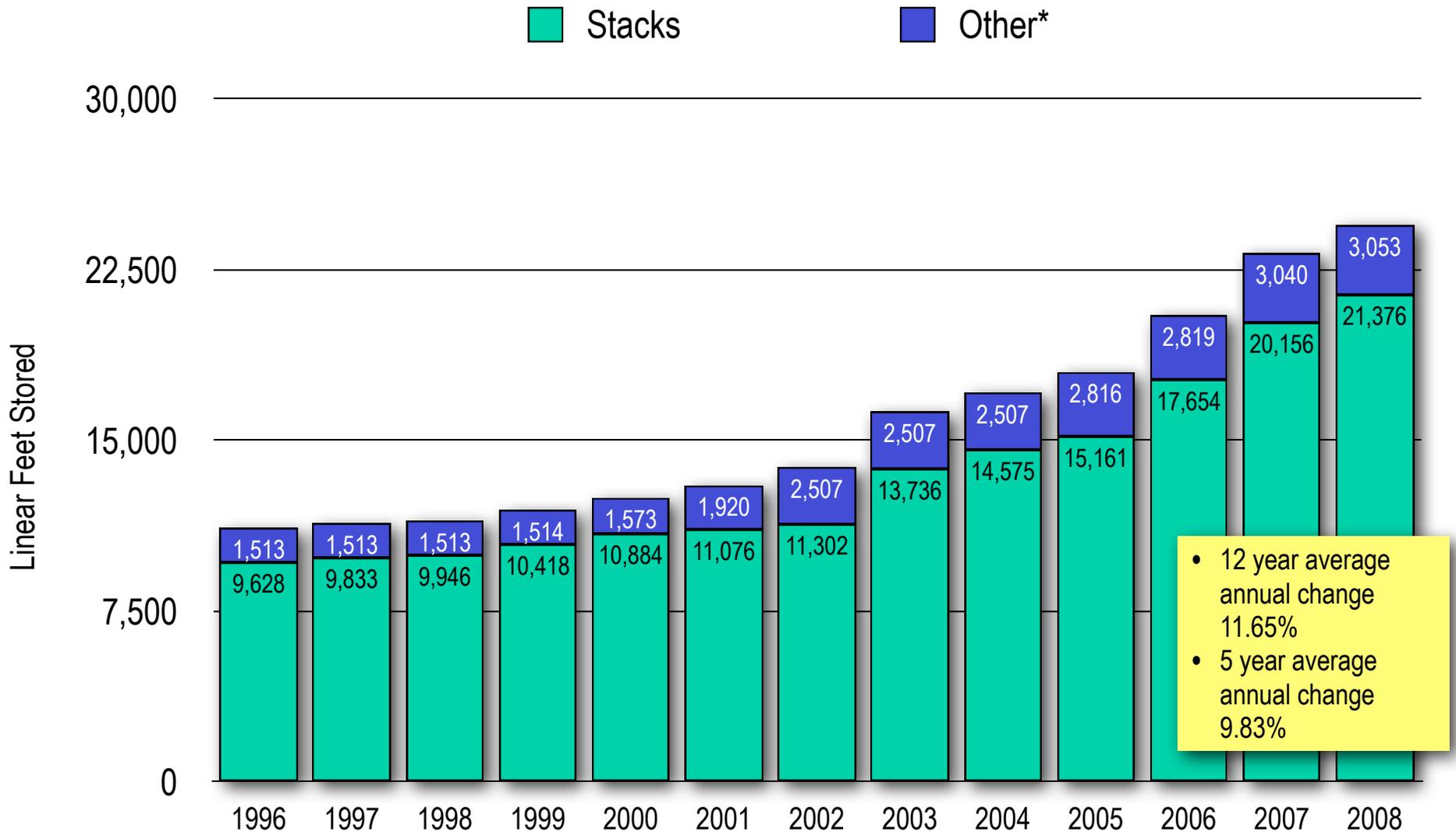
Agency Code	Agency	1,996	2,008
333	Taxation & Revenue, Dept. of	67,017	50,845
430	Public Regulation Commission		17,998
550	Engineer, Office of the State	630	10,459
805	Highway & Transportation Dept.	10,074	5,552
	State Records Center and Archives	320	2,939
369	State Treasurer	2,054	1,939
539	Land Office	2,072	1,829
630	Human Services, Dept. of	4,023	1,593
632	Workers Compensation Administration	849	1,358
521	Energy, Minerals, & Natural Resources	1,344	1,147
378	State Personnel	1,903	1,085
665	Health, Dept. of	1,021	943
505	Office of Cultural Affairs/Dept of	1,218	867
* 341	Finance & Administration, Dept. of	3,456	764
* 352	Educational Retirement Board	609	709
770	Corrections, Dept. of	420	401
420	Regulation & Licensing, Dept. of	1,369	389
464	Professional Engineers & Land Surveyors	29	346
370	Secretary of State	0	273
667	Environment Dept.	210	189

Rank 1996	Rank 2008
1	1
29	2
15	3
2	4
20	5
7	6
6	7
4	8
14	9
11	10
8	11
13	12
12	13
5	14
16	15
19	16
10	17
28	18
29	19
21	20

 Top 10, 1996 & 2008

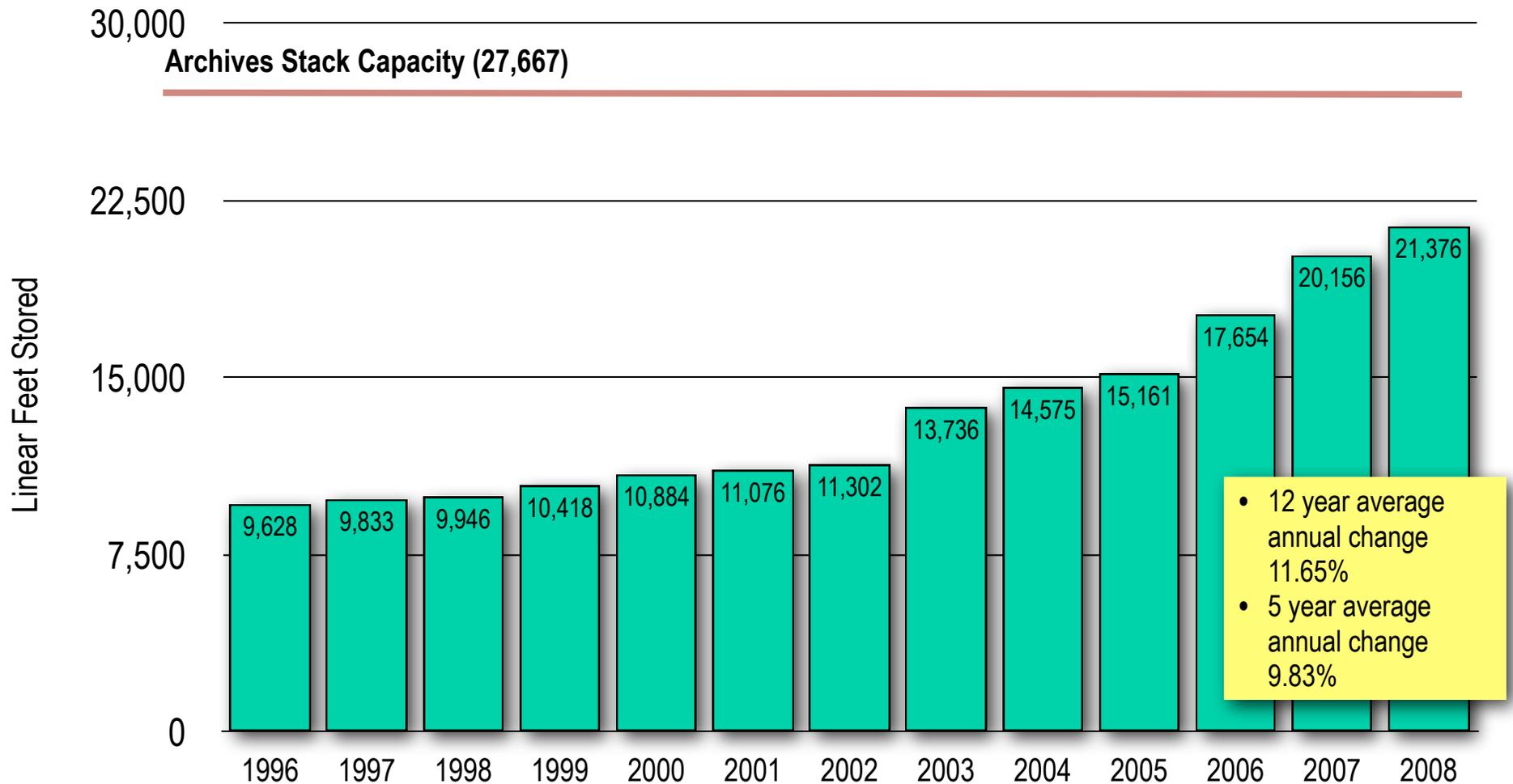
Existing Storage

New Mexico State Records Center and Archives Total Linear Feet Stored at the Archives



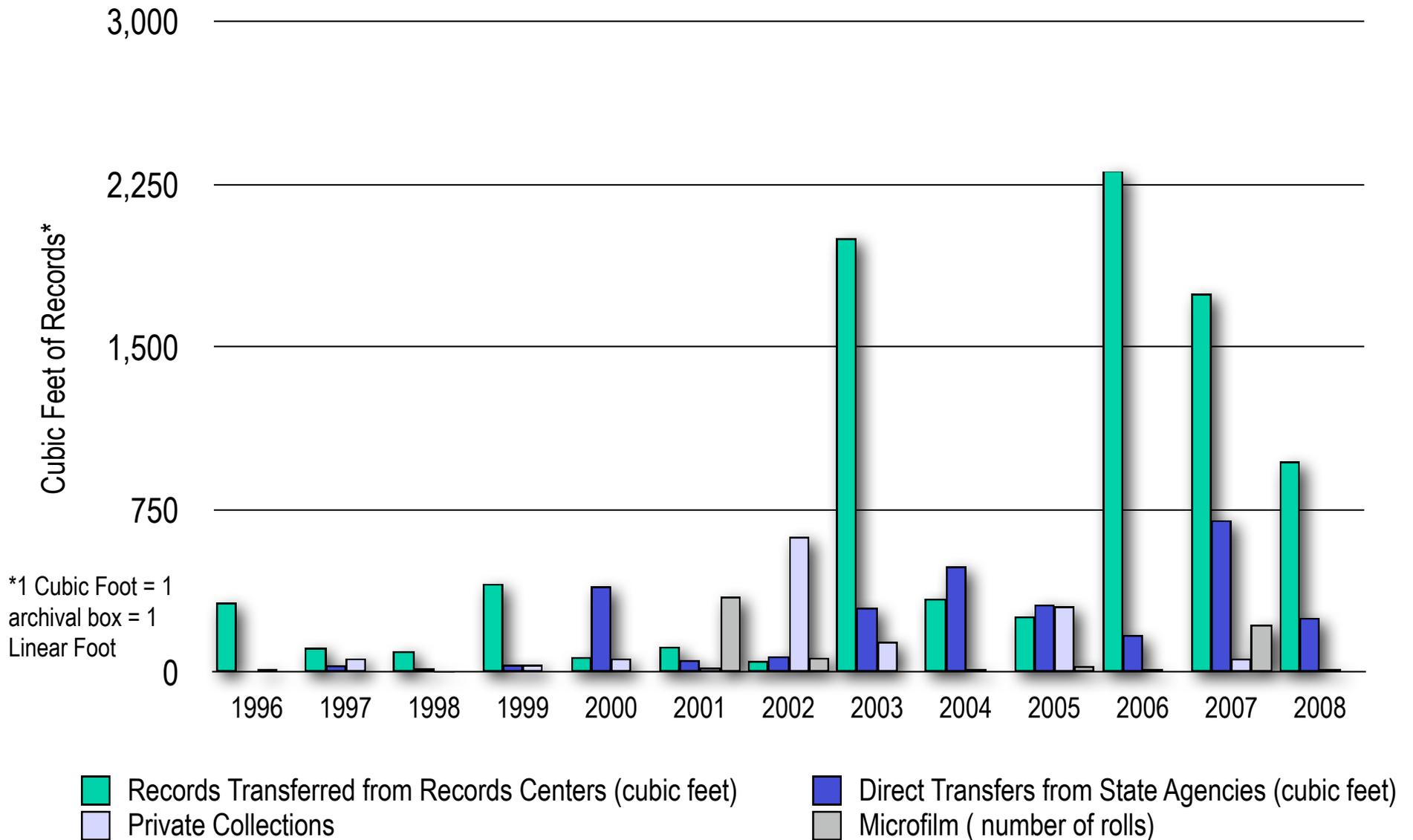
Existing Storage

New Mexico State Records Center and Archives Total Linear Feet Stored in Stacks at the Archives



Existing Storage

New Mexico State Records Center and Archives Archives Accessions



Projected Demand

December 1998 SRCA Study

✓ December 1998 Assessment of Archival Environment in New Mexico State Government

▶ *Purpose of Survey was to gather empirical data to assess how government records are scheduled, disposed and stored*

- *491 surveys were sent to 95 agencies and 342 RLO's.*
- *106 were returned representing 51 agencies*
- *Response rate was 24%, representing 53% of state agencies*

December 1998 SRCA Study

✓ Of the 106 who responded (55% of agencies)

▶ **75% store records at SRCA**

▶ **75% also store inactive records onsite**

- 46% account for ~40,000 cubic feet of storage
- 51% store permanent records
 - 32% of these have 18,500 cubic feet in permanent records
 - » 31% of these have records that are at risk (5,700 cubic feet)
 - » 36% will continue to store onsite

▶ **11% intended to or already had set up their own records center**

- 9% of these understood long-term environmental needs of permanent records, and
- 5% were aware of established environmental standards

▶ **48% are not familiar with the Inspection of Public Records Act**

- 41% state their records are accessible for public inspection
- 36% state their records are NOT accessible 45% do not understand permanent record storage requirements

December 1998 SRCA Study

► **Reasons for reluctance to transfer to State Archives**

- *Records need to remain on site to answer Federal inquiries (DOH)*
- *Needed for onsite fingerprint comparison (DPS)*
- *Problems getting records to SRCA due to distance*
- *Convenience (DOL)*
- *Records transferred to Federal Records Center (DMA)*
- *Personnel records - Do not know what is considered permanent (DOL)*
- *Paperwork is a hassle*
- *Permanent onsite records are used once a week*
- *Permanent records are microfilmed as needed and as budget permits (NMDOT)*
- *Attorneys are of mixed opinion on transfer*
- *Archives are not accessible for retrieval within one hour notice*
- *Public access and use by agency (NMSU)*
- *Maintain permanent records onsite for 1 year then transfer (WNMCF)*
- *Frequently used records kept onsite for convenience and efficiency*
- *Inactive records must be referred to on a regular basis (DOH)*
- *Needed for reference (Lt. Gov)*

ARC 2009 Focused Survey

✓ **Conducted a focused survey on potential high volume users to gather information on possible demand for records and archival storage**

✓ **Process**

▶ ***Contact was made either by telephone or, if requested, by email (mostly telephone)***

▶ ***Questions asked***

- *Do you have inactive or permanent records stored on-site?*
 - If so, how many? (boxes)
- *Where are records stored now?*
- *Do you have rental storage units or use a commercial records storage company?*
 - If so, what costs are associated with current records storage (leases, private company, etc.)
- *What is the primary reason for storing inactive or permanent records stored on-site rather than with SRCA?*
- *If a records center was located convenient to them what they choose to use it?*

ARC 2009 Focused Survey

- ✓ **23 Total telephone interviews with Records Liaison Officers (RLOs) representing**
 - ▶ ***10 State Agencies (awaiting response from AG)***
 - ▶ ***2 Universities***
- ✓ **2 interviews with counties with whom ARC has a professional relationship**
- ✓ **Location of Contacts (by general region)**
 - ▶ ***Santa Fe - 9 RLOs representing 5 state agencies (one has not yet responded)***
 - ▶ ***Albuquerque - 1 RLO representing a State University (UNM)***
 - ▶ ***Las Cruces - 12 RLOs representing 5 state agencies, 1 State University (NMSU) and 2 counties***

ARC 2009 Focused Survey

✓ Summary

Permanent or Inactive Records on Site	Yes	No	No Answer	Total Responses*
# of Agencies	20	1	1	22

Known Boxes Onsite	13 Agencies provided a known number of records	Unknown Boxes Onsite	Multiple divisions, locations, lack of data	Number of agencies waiting on Reply
# of Boxes	35,330	# of Entities	4	1

Locations	Onsite File Storage Room	Onsite Warehouse	Rented onsite or offsite storage units	Commercial Records Management
	19	2	3	1

General Region	Santa Fe	Albuquerque	Las Cruces	Farmington
# of Entities	5	1	8	0
# of RLOs	9	1	12	0

Reason why on Site	Accessibility	Distance	Internal Policy	Other
# of RLOs cited for reason	13	8	4	3
	46.4%	28.6%	14.3%	10.7%

Would you use SRCA if closer	Yes	Maybe	No	No Reply
# of Agencies	12	6	3	1
	54.5%	27.3%	13.6%	4.5%

*Total responses may vary due to multiple or consolidated answers

ARC 2009 Focused Survey

✓ Do you have inactive or permanent records stored on-site?

- ▶ **Yes - 92% (20 of 22)**
- ▶ **No - 1 (CYFD - Juvenile Justice)**
- ▶ **No Answer - 1 (AG did not respond)**

✓ Known number of boxes onsite

- ▶ **35,330 boxes (Total from 13 RLOs not including 13 boxes ready for disposition)**
 - *Includes actual counts 35,150 boxes*
 - *Estimated counts 180 boxes*
- ▶ **The remaining RLOs where unable to provide a box count due to multiple locations and inadequate staffing to address our inquiry**

ARC 2009 Focused Survey

- ✓ **Of the agencies that reported on-site inactive and permanent records storage, three accounted for 96% of the boxes reported**
 - ▶ *UNM - 15,000 (majority are not permanent records)*
 - ▶ *OSE - 10,000*
 - ▶ *Corrections - 9,550*
- ✓ **18 (82%) agencies responded would use the SRCA for Inactive and Permanent Records if a facility was within reasonable distance**
 - ▶ *6 specifically reported distance and ease of retrieval as a primary condition of use*
- ✓ **UNM and NMSU reported that individual departments keep inactive records until destruction, and that few records are considered permanent**
 - ▶ *Some departments do contract for records services or rent storage units, but cost is within departmental budgets and not readily available*

ARC 2009 Focused Survey

✓ Primary reason for storing inactive or permanent records stored on-site rather than with SRCA

▶ **Accessibility and distance**

- 13 (46%) RLOs cited accessibility to records
- 6 (29%) RLOs cited distance to the nearest SRCA facility

▶ **4 (14%) RLOs cited internal policy**

- For example, by NM Statute all OSE water right files must be made publicly available during business hours, so until all water right files are imaged, OSE cannot send to SRCA)

▶ **2 (11%) RLOs cited SRCA requirements**

- Staffing limitations at agencies makes compliance with SRCA preparation for transfer requirements both cost and time prohibitive

▶ **Other Reasons**

- County representatives cited lack of trust in state agencies to preserve local records, and presumed ownership by county elected officials of records as key concerns
- Human Service, Law Enforcement and Public Safety agencies cited recidivism as a major reason for storing records onsite - most files do not remain inactive for long

Observations

- ✓ **Why state agencies do not take advantage of a SRCA “free” records storage service**
 - ▶ *Facility not located conveniently (too far away)*
 - ▶ *Do not have resources to properly prepare records or archives for transfer*
 - ▶ *Have convenient alternate facilities*
 - ▶ *Not aware of records storage /retention responsibilities*
 - ▶ *Not aware of SRCA facilities*
 - ▶ *Need to access records (even permanent records) on a regular basis*
 - ▶ *Do not have significant records / archives holdings*
 - ▶ *Not viewed as a significant issue*
 - ▶ *Other units of government (counties, cities, school districts, higher education) with indirect state funding*

Projected Demand

✓ What is the demand for record facilities in the future?

▶ ***Based on Trend analysis - assumes the future will continue historic trends***

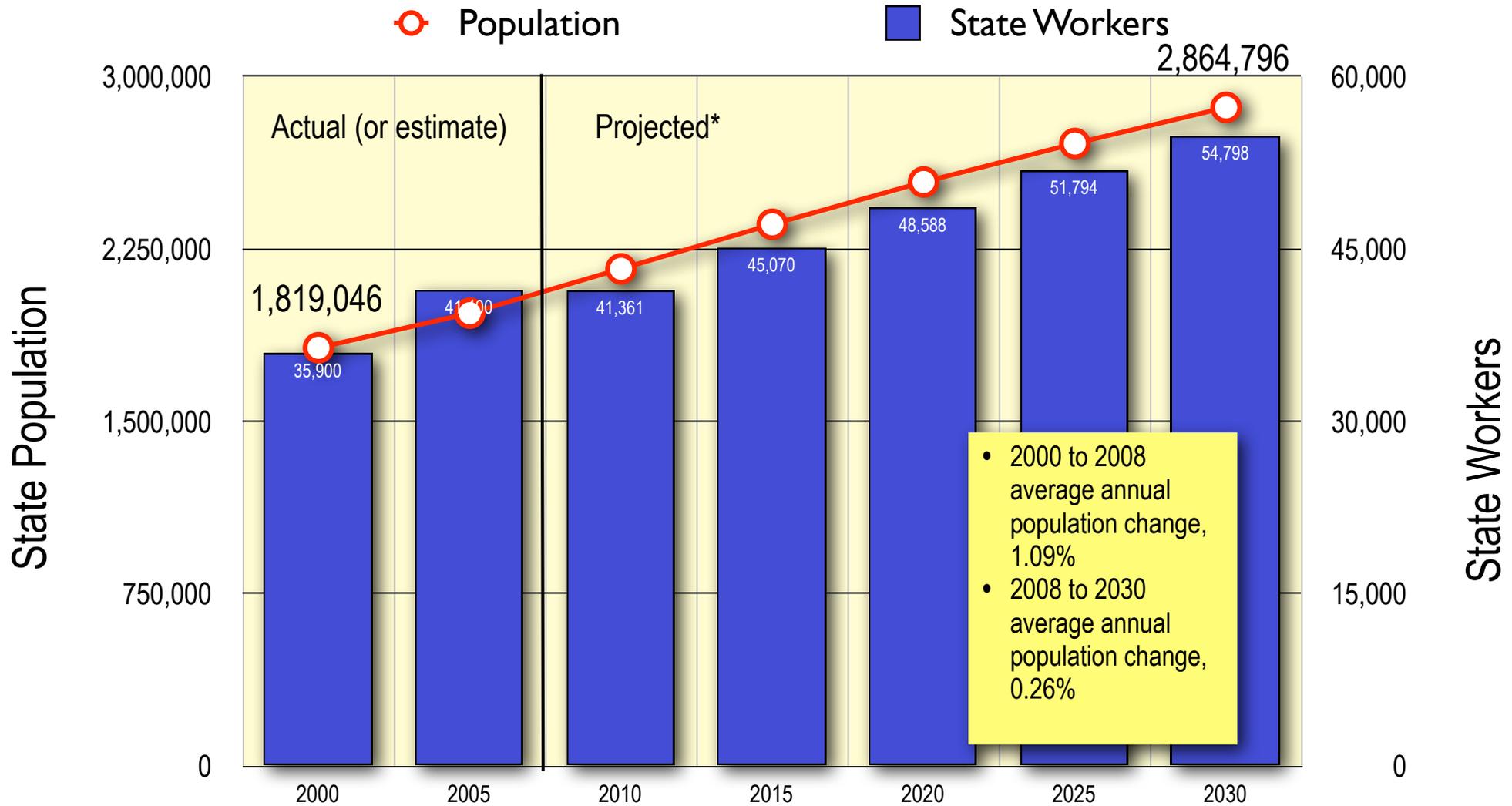
- *Reflects current practices, capacity, and location of records and archives facilities*
- *Continued growth of state population and state government*

▶ ***Three methods***

- *Relationship of general population to public records stored at SRCA*
- *Relationship of State of New Mexico employees to records stored at SRCA*
- *Records and Archives storage trends*

Projected Demand – Trend Analysis

New Mexico Population and State Workers - Historic and Projected



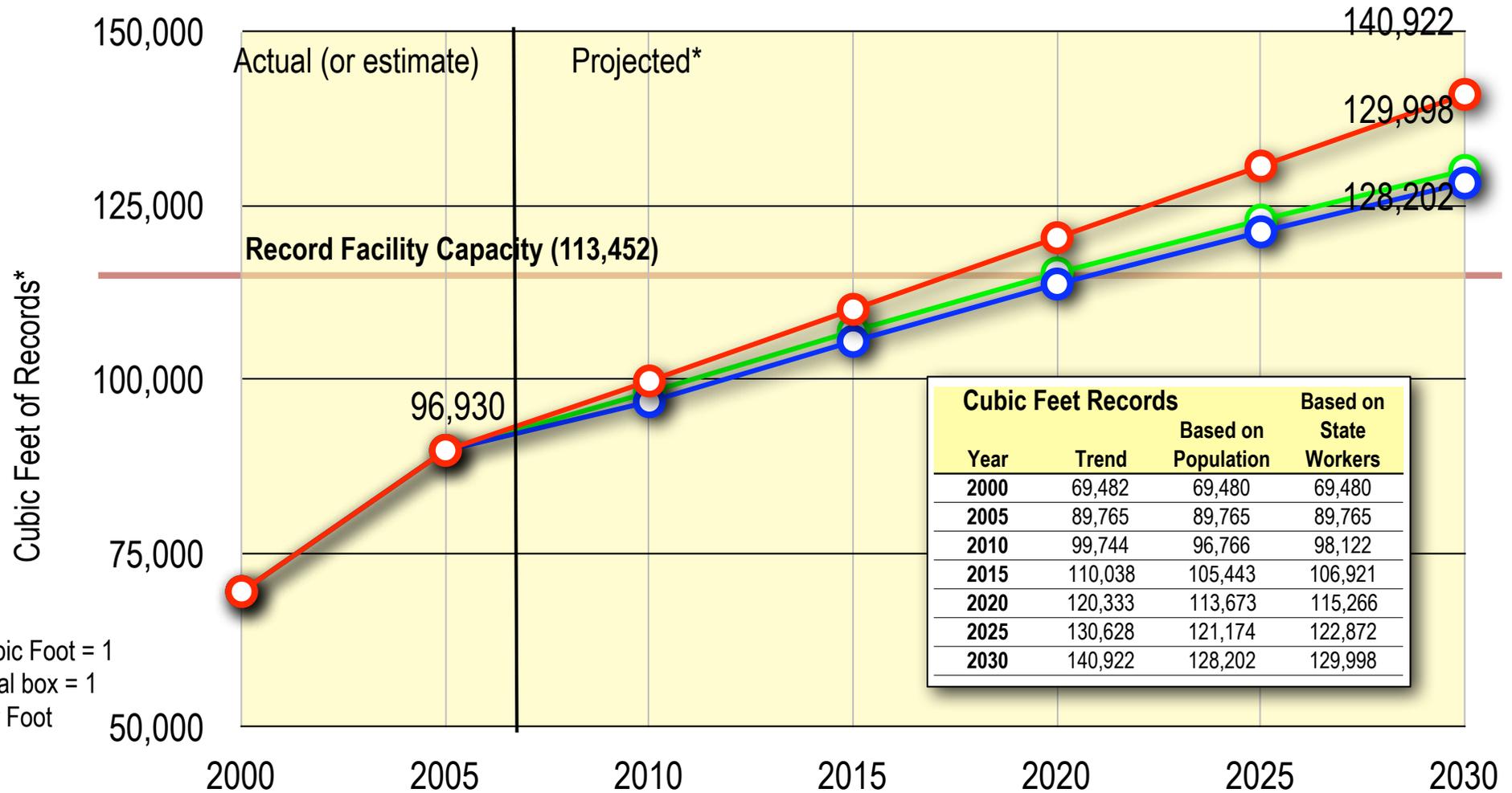
*Population estimates and projection by BBER

State workers projection assumes the average proportion of state workers to population 2000-2008

Projected Demand – Trend Analysis

New Mexico State Records Center and Archives Projected Records based on Population and State Workers*

○ Trend ○ Based on State Workers** ○ Based on Population*



*1 Cubic Foot = 1
archival box = 1
Linear Foot

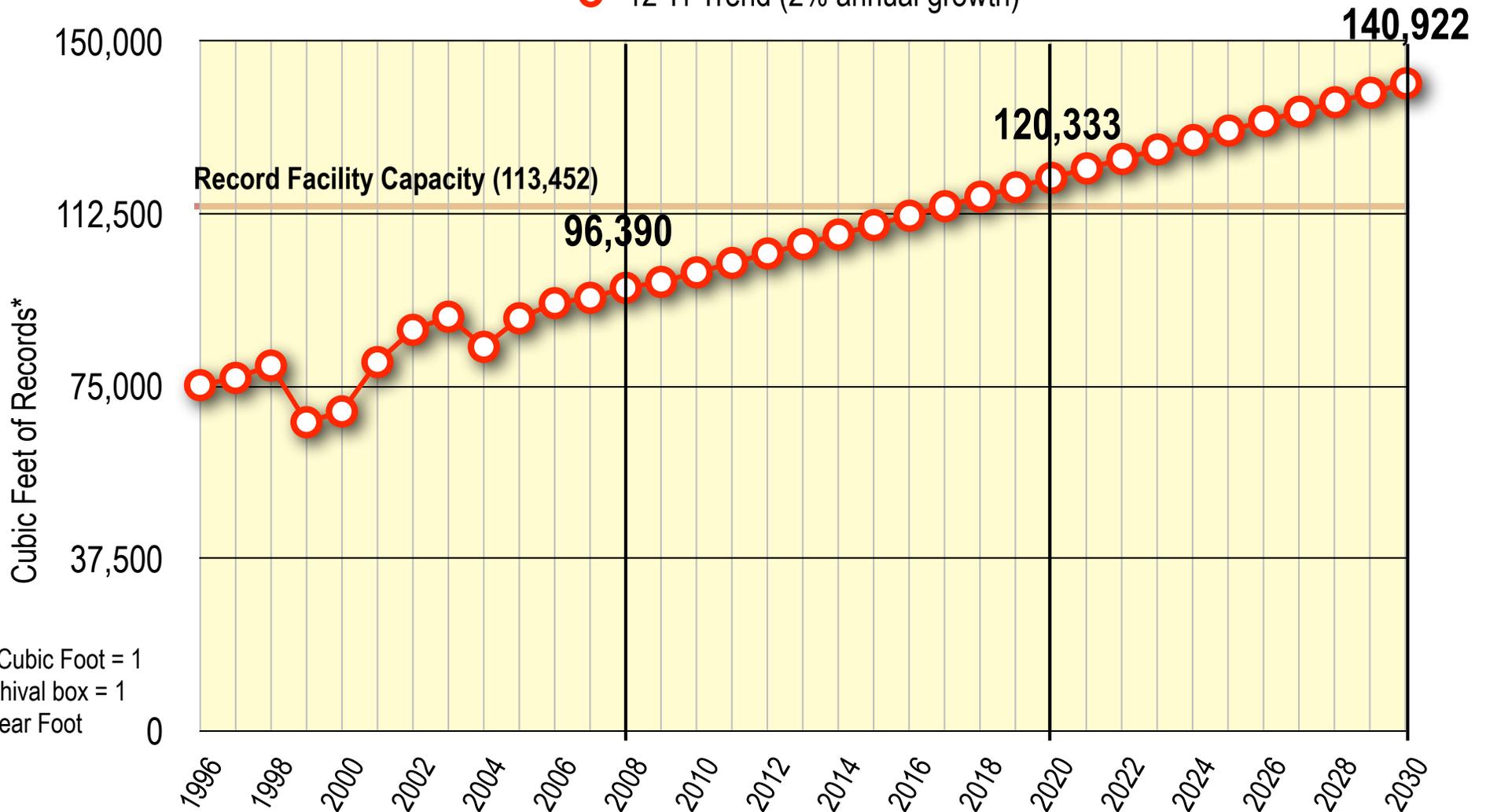
*Population estimates and projection by BBER and the 2000-06 average cubic feet records generated per population

**Assumes the the average proportion of state workers to population and average cubic feet per records generated 2000-2008

Projected Demand – Trend Analysis

New Mexico State Records Center and Archives Project Total Records Stored (cubic feet) based on Historic Trends

○ 12 Yr Trend (2% annual growth)

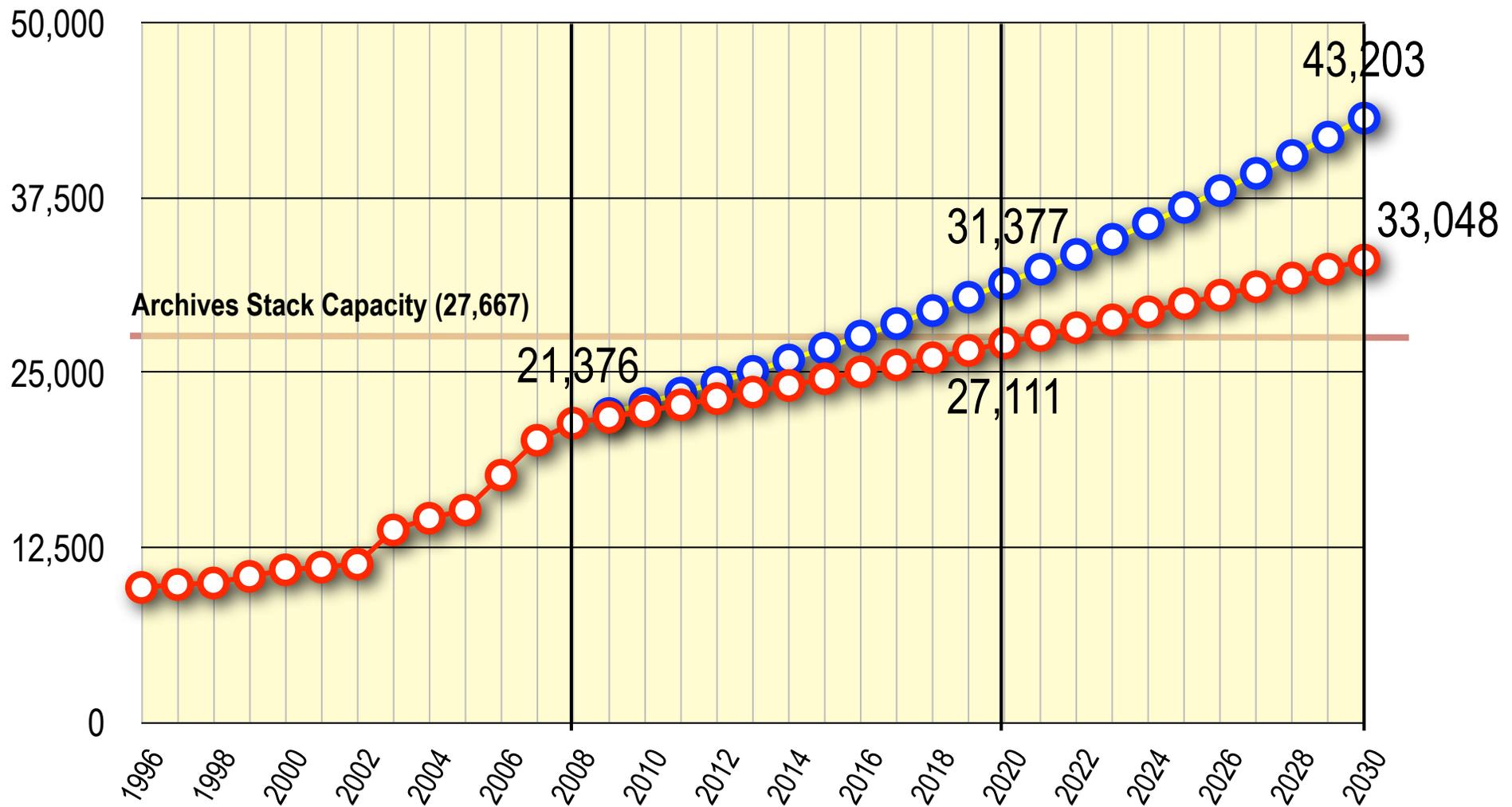


*1 Cubic Foot = 1
archival box = 1
Linear Foot

Projected Demand – Trend Analysis

New Mexico State Archives Projected Total Archives Stored (linear feet) based on Historic Trends

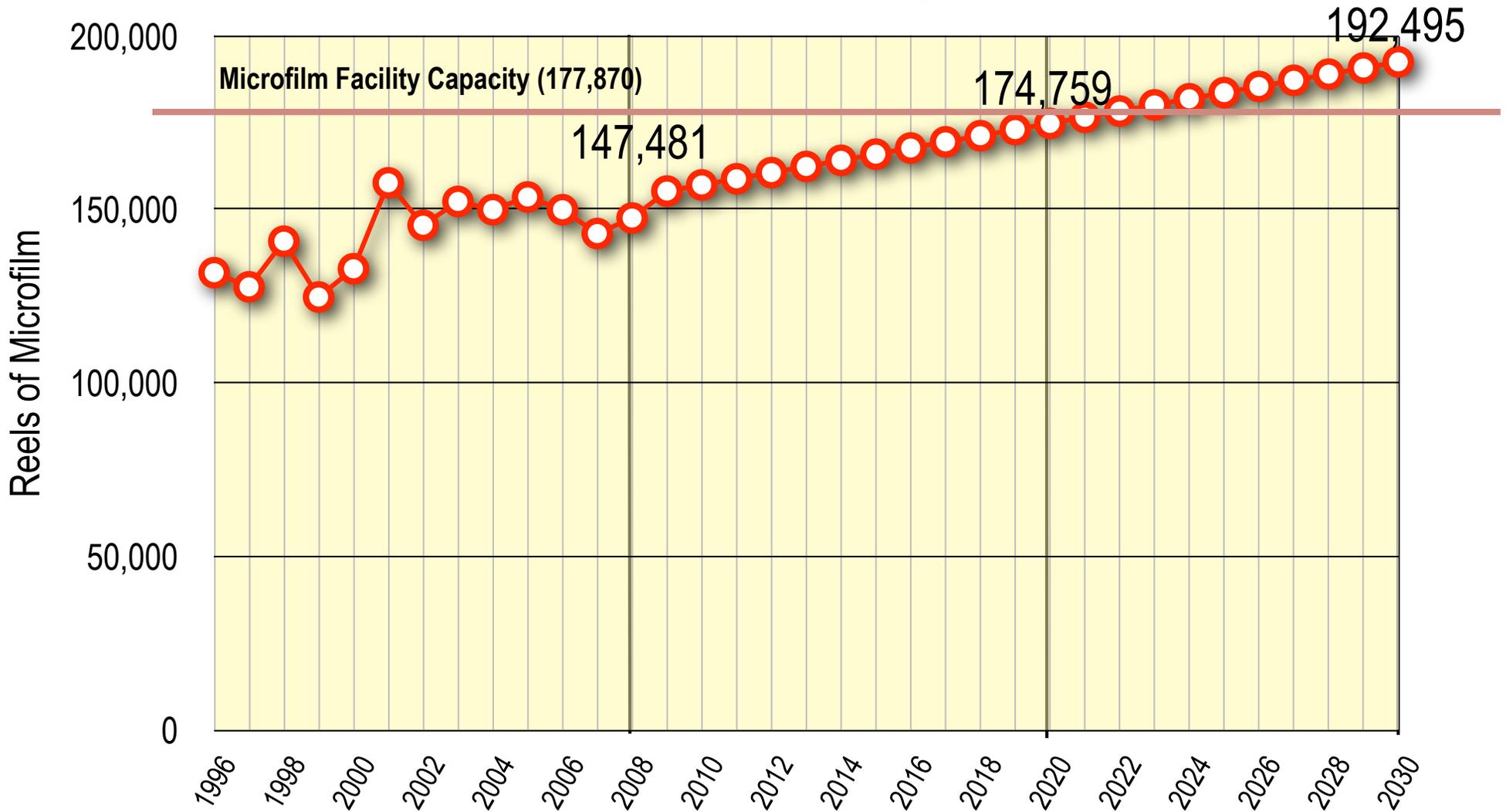
○ 12 Yr Trend (6.9% annual growth) ○ 7 Yr Trend (11.2% annual growth)



Projected Demand – Trend Analysis

New Mexico State Records Center Total Microfilm Stored (reels)

○ 12 Yr Trend (1% annual growth)



Projected Demand

✓ Factors that may influence demand

▶ ***May tend to decrease demand***

- *Lack of understanding of record storage rules*
- *Lack of sufficient resources for record management*
- *Gradual adoption electronic imaging systems (aka Electronic Content Management) by state agencies (decrease in demand for paper storage)*

▶ ***May tend to increase demand***

- *Growth in state government (staffing, people served)*
- *Provision of additional storage options convenient to users*

Projected Demand

✓ ARMA presentation*

ARMA International is a not-for-profit professional association and the authority on managing records and information – paper and electronic.

Cost savings – Reduce off-site vendor costs		
Description of Cost Savings Opportunities	Methods Used	Estimated Cost Savings (based on Industry Studies – Approximate %)
Reduce costs associated with paper records stored at off-site vendors		
Reduce annual storage costs Acquire annual outside vendor spend: •Physical storage •Retrieval and refile costs •Perm-out costs •Transportation costs	Disposition of paper records per retention policy	•Typically – immediate 40% reduction of current paper storage (boxes/costs) with a 2-3 year ROI due to costs associated with destruction of records (boxes) •On-going annual purge can reduce volume of records stored off-site by 10%-15%
Reduce annual retrieval costs Acquire annual retrieval spend: •Retrieval and refile costs •Perm-out costs •Transportation costs	Provide electronic access to records and reduce paper storage off-site	•With a comprehensive records management program, the need for off-site retrieval of boxes (paper records) will be greatly diminished •50% retrieval savings achieved in 1-2 years; 45% savings achieved in 3-7 years; 5% retrieval costs to remain due to retrieval of permanent items

*Charlotte Chapter, 4.16.09, Kami Kistler

Projected Demand

✓ **CEER***
excerpt

▶ **San Diego
County
experience**

**State Records Center and
Archives Central Electronic
Records Repository (CERR),
Vincent and Associates, 2008*

1.2.2. Return on Investment

Many organizations have benchmarked and then tracked changes to understand the return of an investment in electronic document management. Everyone interviewed during the research for this paper has noticed an improvement in their records management processes.

The County of San Diego has published these results, tracking improvements over an 18 month period, with the primary cost savings being staff time⁴:

- mitigation of the potentially large (unknown) costs of disaster recovery, litigation, and staff time in the event of lawsuits and requests for public records;
- increased awareness (throughout all levels of the organization) of risks associated with not having a records management program in place;
- an evolving, proactive ECM program with a significant number of resources available;
- organization-wide reduction of boxes stored offsite and those stored beyond or without a destruction date (see table below)

County Totals	Before Program Merger	Today	Reduction
Total number of boxes in storage	172,810	150,535	13%
Boxes stored past their destruction date*	17,564	4,780	73%
Boxes stored with no destruction date	99,756	0	100%

*Excluding boxes held to comply with pending litigation or public records requests and those in the destruction process

These results come from sound records management practices and the use of a software tool to assist with records management. The county recognizes that records management is an ongoing process, not an effort that can be reduced after a systems launch.

1.3. What Is a Record?

Records are valuable assets to the State of New Mexico. Organizations are held accountable for their actions in part through evidence of business transactions in the form of records. A record is the result of an event, linked to business activities⁵. One of the top challenges for records managers nationally is the distinction of records that should be kept versus all other official business documents.

⁴ Rich Grudman, Program Administrator, County of San Diego, 'Mapping an Approach for Successful Content Management,' Information Management Journal, September/October 2008, http://findarticles.com/p/articles/mi_qa3937/is_200809/ai_n30992399/pg_4/

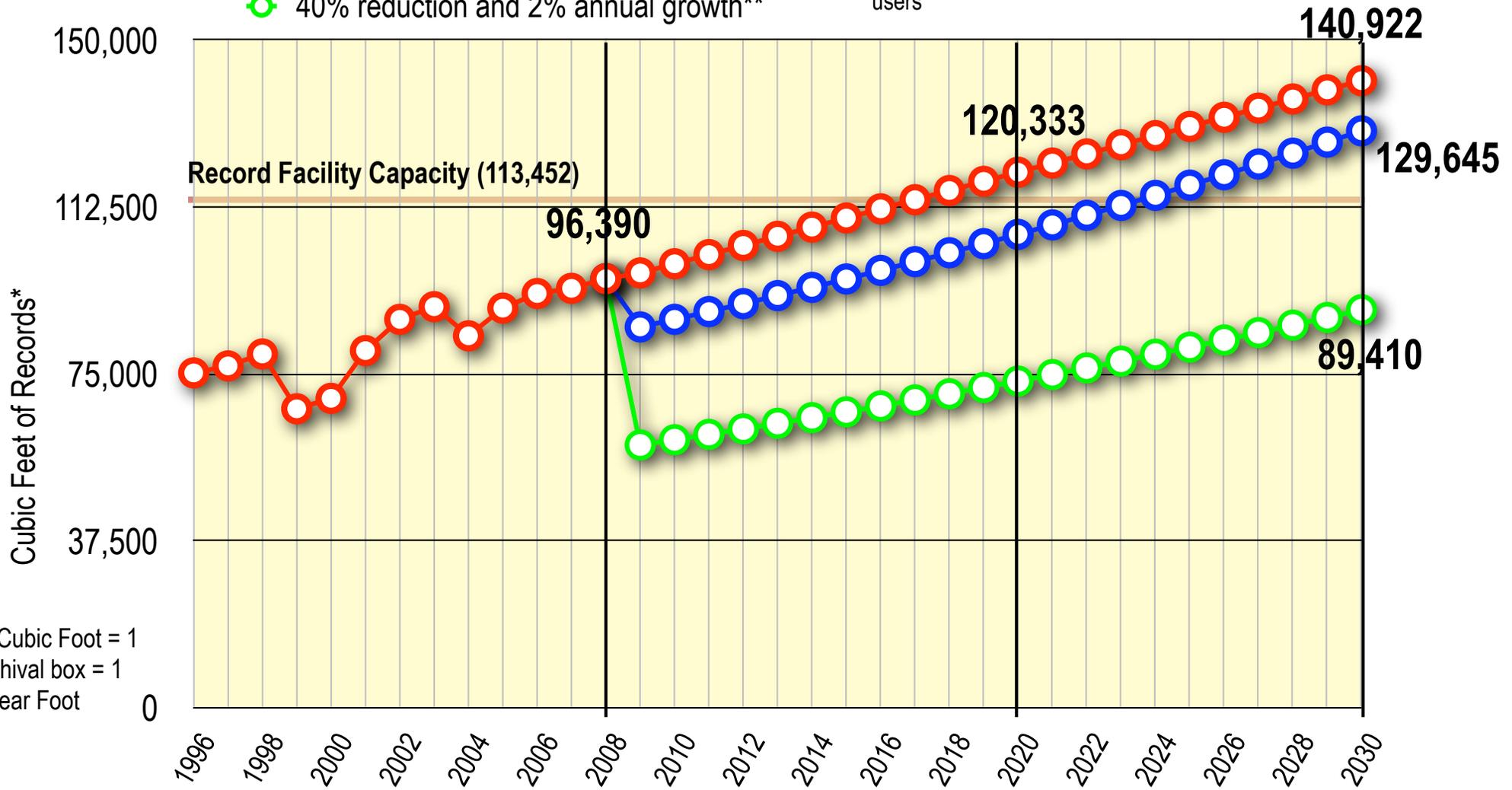
⁵ International Council on Archives, Principles and Functional Requirements for Records in Electronic Office Environments, 2008, <http://www.ica.org/sites/default/files/ICA-Guidelines-principles%20and%20Functional%20Requirements%20Module%202.pdf>

Projected Demand

New Mexico State Records Center Total Records Stored (cubic feet) Reflecting Potential ECM Adoption

- 12 Yr Trend (2% annual growth)
- 13% reduction and 2% annual growth**
- 40% reduction and 2% annual growth**

**Due to initiation of electronic records management by major state agency users



*1 Cubic Foot = 1
archival box = 1
Linear Foot



Projected Demand – Assuming Convenient Facilities

- ✓ **Assume there are state facilities convenient to users - what is likely increase in demand?**
- ✓ **Methods**
 - ▶ *Projections based on 1998 survey*
 - ▶ *Projections based on on-site disposition*

Projected Demand – Assuming Convenient Facilities

✓ Projections based on 1998 survey

▶ Key 1998 survey findings

- 75% store records at SRCA
- 75% also store inactive records onsite
 - 46% account for ~40,000 cubic feet of storage
 - 51% store permanent records
 - 32% of these have 18,500 cubic feet in permanent records
 - 36% will continue to store onsite

▶ If these findings held true for today, then the projected 2009 on-site records is ~ 191,000 cubic feet of records

- Assuming 40% capture rate this equates to **76,000 cubic feet of on-site storage**
 - 46,000 cubic feet of records (60%)
 - 30,000 cubic feet of permanent records (40%)
- Assuming recent on-site disposition data a geographic distribution can be inferred

	2009
Records at SRCA	96,000
Archives at SRCA	21,000
Total	117,000

75% are inactive records
 46% of these have 190,761 cuft onsite
 51% are permanent
 32% have 76,001 permanent records onsite
40% Assumed capture rate

Total	76,000 cuft onsite
60%	Records 46,000
40%	Permanent 30,000

Location Distribution*		Inactive and Permanent Records	Inactive Records	Permanent Records
North	29.6%	22,458	13,593	8,865
Central	5.1%	3,876	2,346	1,530
South	17.3%	13,140	7,953	5,187
South - East	35.3%	26,798	16,220	10,578
West	2.7%	2,054	1,243	811
Unknown Location	10.1%	7,674	4,645	3,029
	100.0%	76,000	46,000	30,000

*Based on 2006-09 on-site disposition records

Most of the demand will likely be in the south, south-east, and west since convenient facilities do not exist in these areas

Projected Demand – Assuming Convenient Facilities

✓ Projections based on on-site disposition of records data (2006-09)

- ▶ *On-site (meaning not at SRCA) disposition proportion as a proxy for records that are not stored at SRCA facilities*

	FY2006	FY2007	FY2008	FY2009	Total
State Records Disposed 2006-2009	9,535	6,514	9,220	12,544	37,813
Total Records Stored	89,765	93,054	94,220	96,390	373,429
% Total	10.6%	7.0%	9.8%	13.0%	10.1%

Proportion of records disposed by state to total records stored at SRCA

	FY2006	FY2007	FY2008	FY2009	Total
Total On-Site Disposition 2006-2009	9,835	2,713	6,420	6,482	25,450
Total Records Stored	89,765	93,054	94,220	96,390	373,429
% Total	11.0%	2.9%	6.8%	6.7%	6.8%

Proportion of records disposed on-site to total records stored at SRCA

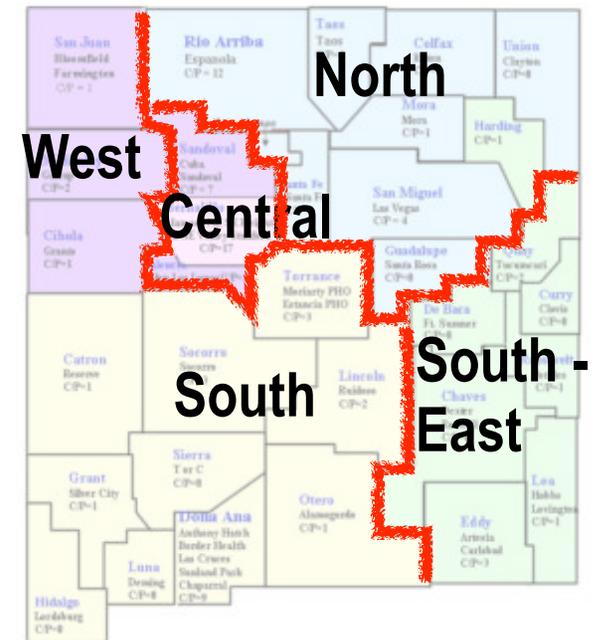
Projected Demand – Assuming Convenient Facilities

Total Potential Additional Demand (Boxes) by Area, 2006-2009

	Boxes Disposed, 2005-2009		Total Potential Record* Demand per Area (not in SCRA)	Total Record Potential Record* Demand per Area (not in SCRA) Typical Year	Current Capacity of SRCA Facilities	Current Records Holdings	% Capacity Used
1 North	7,506	29.5%	81,729	20,432	77,312	96,390	85.0%
2 Central	1,396	5.5%	15,200	3,800	36,140		
3 South	4,424	17.4%	48,171	12,043			
4 South - East	8,964	35.2%	97,604	24,401			
5 West	687	2.7%	7,480	1,870			
6 Unknown Location	2,505	9.8%	27,276	6,819			
Total	25,482		277,461	69,365			

*Inactive and Permanent

Most of the demand will likely be in the south, south-east, and west since convenient facilities do not exist in these areas

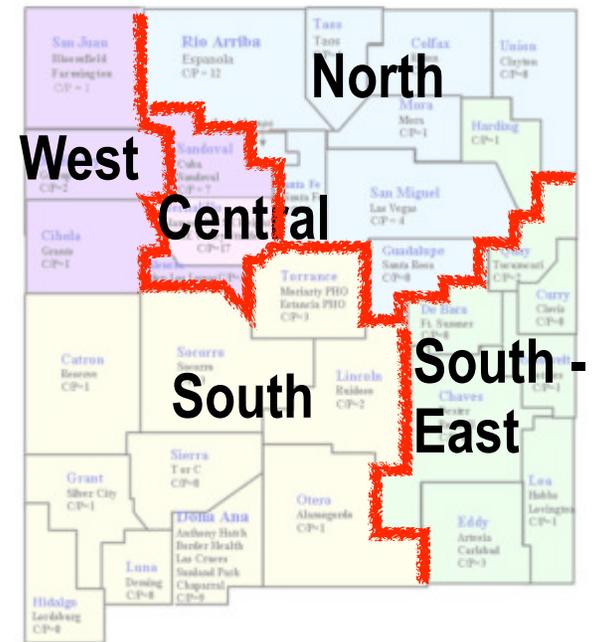


Assumes location of convenient facilities and that the proportion of records disposed to those held off-site is similar to proportions found at the SRCA (a weighted average)

Projected Demand – Assuming Convenient Facilities

**Total Potential Additional Record* Demand (Boxes)
by Area, 2010-2030****

	2010	2015	2020	2025	2030
North	20,841	23,010	25,405	28,049	30,968
Central	3,876	4,280	4,725	5,217	5,760
South	12,284	13,562	14,974	16,532	18,253
South - East	24,889	27,480	30,340	33,498	36,984
West	1,908	2,106	2,325	2,567	2,834
Unknown Location	6,955	7,679	8,478	9,361	10,335
Total	70,752	78,116	86,247	95,224	105,134



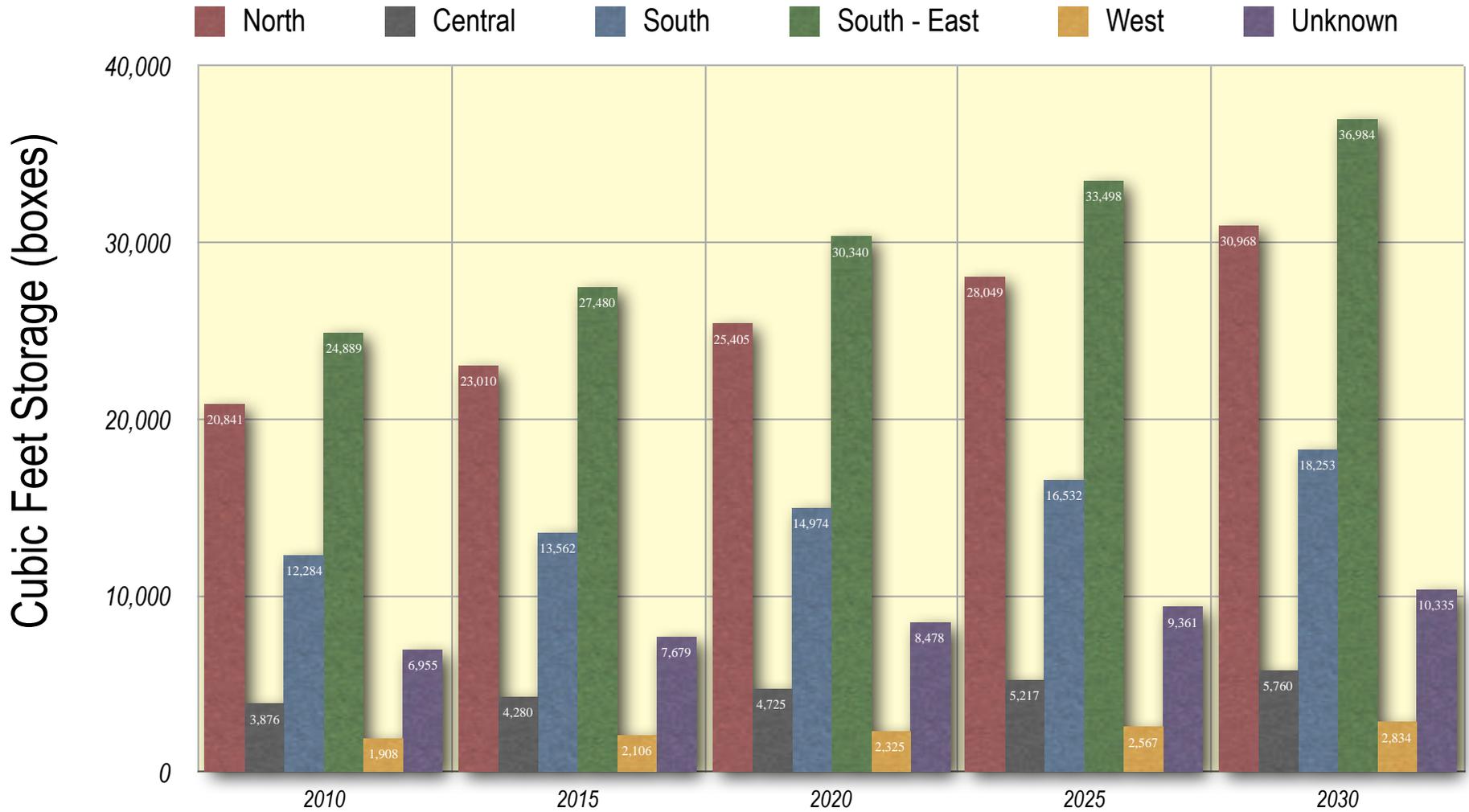
*Inactive and Permanent

**Assumes 2% growth per year

Most of the demand will likely be in the south, south-east, and west since convenient facilities do not exist in these areas

Projected Demand – Assuming Convenient Facilities

New Mexico State Record Center Projected Potential Demand by Area*



*Assumes 2% growth per year

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