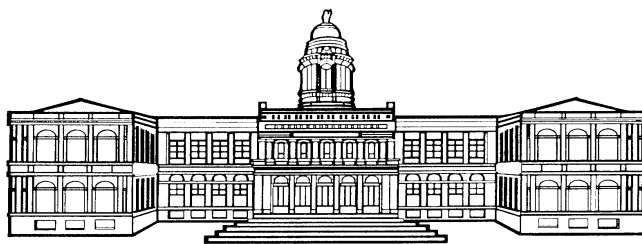


New York City Council



# BUDGET REPORT

Finance Division

March 2009

***Analysis of the  
Fiscal 2010 Preliminary Budget  
and  
Fiscal 2009 Preliminary Mayor's Management Report  
for the  
Department of Records and Information Services  
Thursday, March 12, 2009***

**Hon. Christine C. Quinn**  
Speaker

**Hon. David I. Weprin**, Chair  
Committee on Finance

**Hon. Helen Sears**, Chair  
Committee on Governmental  
Operations

**Preston Niblack**, Director

**Jeffrey Rodus**, First Deputy Director

**Andy Grossman**, Deputy Director

## PREFACE

On March 12, 2009, at 12:45 pm., the Committee on Governmental Operations, chaired by the Hon. Helen Sears, will hold a hearing on the Mayor's Fiscal 2010 Preliminary Budget and Fiscal 2009 Preliminary Mayor's Management Report for the Department of Records and Information Services.

Section 236 of the New York City Charter requires the Mayor to submit by January 16<sup>th</sup> a preliminary budget for the upcoming fiscal year.<sup>a</sup> In addition, under section 12 of the City Charter, the Mayor must make public and submit to the Council by January 30<sup>th</sup> the Preliminary Mayor's Management Report (PMMR) for the current fiscal year.<sup>b</sup> Among other things, the PMMR must contain "proposed program performance goals and measures for the next fiscal year reflecting budgetary decisions made as of the date of submission of the preliminary budget."<sup>c</sup> The Charter also requires the Council to hold hearings on the preliminary budget and to submit recommendations to the Mayor by March 25<sup>th</sup>.<sup>d</sup> This year, the Council will hold joint hearings on the Fiscal 2010 Preliminary Budget and the Fiscal 2009 Preliminary Mayor's Management Report.

Beginning with the Fiscal Year 2008 Adopted Budget, the Council and the Mayor's Office of Management and Budget agreed to an additional budget presentation, referred to by OMB as the budget function analysis, and by the Council as the program budget. Two agencies were initially presented in the program budget form. Beginning with the January 2008 Financial Plan (Fiscal 2009 Preliminary Budget), a total of 16 agencies are now in program budget form. The Department of Records and Information Services is not a program budget agency.

This report was prepared by Andy Grossman, Deputy Director.

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<sup>a</sup> The Charter prescribes specific actions that are required as part of the annual budget submission process during a fiscal year. The Charter allows for changes, via local law, in the dates in the submission of the PMMR, as well as an extension for subsequent steps in the budget process. This year, Local Law 03 of 2009 changed the date for the submission of the Preliminary Budget to January 30<sup>th</sup>, and the date for the Council's Response to the Preliminary Budget to April 8<sup>th</sup>.

<sup>b</sup> Local Law 03 of 2009 changed the date of submission of the PMMR to February 13, 2009.

<sup>c</sup> New York City Charter, §12(b)(2).

<sup>d</sup> *See id.* at §247.

## Department of Records and Information Services (860)

The Department of Records and Information Services (DORIS) manages the City's records, and preserves the City's heritage by identifying, collecting, and conserving significant historic documents. DORIS also provides reference and research services to City officials, employees, and the general public. The Department is comprised of the Municipal Archives Division, the Records Management Division, and the Municipal Reference and Research Center.

### PROGRAM TO ELIMINATE THE GAP

Since the Fiscal 2009 Budget was adopted in June, the Office of Management and Budget has twice asked agency heads to submit Program to Eliminate the Gap (PEG) proposals. In the first round, in September, OMB sought PEG submissions equal to five percent of agency City tax-levy budgets for Fiscal 2010, with a further seven percent sought in December.

PEGs reduce the City's budget gap either by reducing an agency's City tax-levy Expense Budget spending, or by increasing City revenues. The chart below indicates the proposed PEG amounts for DORIS based on the Fiscal 2010 forecast at the time the Fiscal 2009 Budget was adopted (June 2008).

| <b>November and January Plan PEGs for Fiscal 2010</b><br><i>(in 000s)</i> |                |
|---|----------------|
| <b>Fiscal 2010 Forecast at Fiscal 2009 Adoption (June 2008)</b>           | <b>\$4,843</b> |
| Expense PEGs  | (\$339)        |
| Revenue PEGs  | (\$242)        |
| <b>Total Fiscal 2010 PEGs</b>   | <b>(\$581)</b> |
| PEGs as a Percent of the Fiscal 2010 Forecast                             | 12.00%         |

### PRELIMINARY BUDGET HIGHLIGHTS

The agency's Fiscal 2010 Preliminary Budget of approximately \$4.8 million is \$1.35 million (21.8 %) less than its Fiscal 2009 Adopted Budget of \$6.2 million. This dramatic decrease is the result of two factors: the \$339,000 in Expense PEGs referenced in the above chart, and the \$1.1-million year-over-year difference in City tax-levy funds that already existed in DORIS's baseline budget at the time the Fiscal 2009 Budget was adopted (June 2009).

### AGENCY FUNDING OVERVIEW

| Agency Funding Sources | Fiscal 2009<br>Adopted Budget | Fiscal 2009<br>Modified as of<br>1/30/2009 | Fiscal 2010<br>Preliminary<br>Budget |
|------------------------|-------------------------------|--|--------------------------------------|
| City                   | \$5,978,635                   | \$5,978,635                                | \$4,609,562                          |
| Other Categorical      | \$0                           | \$157,565                                  | \$10,764                             |
| Capital IFA            | \$0                           | \$0  | \$0                                  |
| State                  | \$3,712                       | \$281,205                                  | \$10,743                             |
| Community Development  | \$0                           | \$0  | \$0                                  |
| Federal-Other          | \$0                           | \$0  | \$0                                  |
| Intra-City             | \$209,669                     | \$254,827                                  | \$209,669                            |
| <b>Total</b>           | <b>\$6,192,016</b>            | <b>\$6,672,232</b>                         | <b>\$4,840,738</b>                   |

### HEADCOUNT OVERVIEW

| Headcount<br>(Uniform and Civilian) | Fiscal 2009<br>Adopted Budget | Fiscal 2009<br>Modified as of<br>1/30/2009 | Fiscal 2010<br>Preliminary<br>Budget |
|-------------------------------------|-------------------------------|--|--------------------------------------|
| City                                | 43                            | 43   | 39                                   |
| Non-City                            | 0                             | 0  | 0                                    |
| <b>Total</b>                        | <b>43</b>                     | <b>43</b>                                  | <b>39</b>                            |

### UNITS OF APPROPRIATION

The operating budget of an agency is structured into several levels, each of which provides varying levels of detail on an agency's spending plans. The City Charter requires that U/A's represent the amount appropriated for Personal Services (i.e., salaries, overtime, etc.) or Other Than Personal Services (i.e., supplies, contracts, etc.) for a particular program, purpose, activity or institution. The table below presents the DORIS budget, comparing the Fiscal 2009 Adopted Budget to the Fiscal 2010 Preliminary Budget. The Fiscal 2009 Modified Budget reflects this year's budget at the time this financial plan was released.

| U/A# | U/A Name                     | Fiscal 2009<br>Adopted<br>Budget | Fiscal 2009<br>Modified as of<br>1/30/2009 | Fiscal 2010<br>Preliminary<br>Budget | Percent<br>Change<br>from<br>Adoption |
|------|------------------------------|----------------------------------|--|--------------------------------------|---------------------------------------|
| 100  | Personal Services            | \$2,544,418                      | \$3,073,389                                | \$2,118,140                          | -16.75%                               |
| 200  | Other Than Personal Services | \$3,647,598                      | \$3,598,843                                | \$2,722,598                          | -25.36%                               |
|      | <b>Total Agency</b>          | <b>\$6,192,016</b>               | <b>\$6,672,232</b>                         | <b>\$4,840,738</b>                   | <b>-21.82%</b>                        |

## FUNDING ANALYSIS

### Expense Budget Actions

- **Personal Services Funding Shift.** The January Plan includes a personal Services funding shift that will allow DORIS to reduce its City tax-levy funding by \$339,000 annually beginning in Fiscal 2010.

### Revenue Budget Actions

- **Revenue for Photo Reproduction.** The November Plan recognized the anticipated receipt of additional revenue from the reproduction of archival photographs. These annual revenues are projected at \$242,000 beginning in Fiscal 2010.