



New York City Council

Christine C. Quinn, Speaker

Finance Division

Preston Niblack, Director

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**Hearing on the Mayor's Fiscal Year 2012 Preliminary Budget &
the Fiscal Year 2011 Preliminary Mayor's Management Report**

Department of Records & Information Services

March 16, 2011

Committee on Government Operations

Hon. Gale A. Brewer, Chair

Andy Grossman, Deputy Director, Finance Division

Lionel Francois, Legislative Financial Analyst

Summary and Highlights

Department of Records & Information Services (DORIS)

Dollars in Thousands

	2009 Actual	2010 Actual	2011 Adopted	2011 Feb Plan	2012 Feb Plan	Difference 2011 - 2012
Personal Services	\$3,017	\$2,712	\$2,192	\$2,580	\$2,192	\$0
Other Than Personal Services	2,916	2,495	2,916	3,063	2,916	0
Total	\$5,933	\$5,207	\$5,108	\$5,643	\$5,108	\$0

The proposed 2012 Preliminary Budget for DORIS (\$5.1 million) is unchanged from its Fiscal 2011 Adopted Budget. The 2011 February Plan appropriation is larger only because of non-City funds which have been modified into the agency's budget since Adoption.

Highlights:

There are no major actions impacting DORIS' Fiscal 2012 Preliminary Budget in either the November or February Plan.

Department of Records & Information Services (DORIS)

The Department of Records and Information Services (DORIS) preserves and maintains the City’s records and publications through the Municipal Archives, the Municipal Records Management Division, and the City Hall Library. The Department currently responds to more than 55,000 requests annually and provides the public and City agencies access to approximately 180,000 cubic feet of historically valuable City records and photos, and a unique collection of more than 324,000 books, official government reports, studies and other publications. Through its website, the Department also provides electronic access to official reports issued by New York City government agencies. Additionally, the Department operates records storage facilities in two locations with a combined capacity of 690,000 cubic feet, and provides records management services to fifty City agencies, ten courts, and the five district attorneys’ offices. Records services include scheduling, offsite storage and retrieval, and overall guidance on management of records in all media.

- Key Public Services Areas**
- Provide the public and City agencies with access to public records and publications.
 - Provide City agencies, the courts, and district attorneys with record storage, retrieval, and retention scheduling services.

- Critical Objectives**
- Increase the volume and availability of public records and publications.
 - Respond promptly to research requests.
 - Retrieve records promptly from off-site facilities upon record owner’s request.
 - Transfer eligible records to off-site storage and dispose of records that have reached the end of their retention period according to approved schedules.

SOURCE: Mayor’s Management Report

Department of Records & Information Services Financial Summary

Dollars in Thousands

	2009 Actual	2010 Actual	2011 Adopted	2011 Feb Plan	2012 Feb Plan	Difference 2011 - 2012
Budget by Program Area						
Personal Services	\$3,017	\$2,712	\$2,192	\$2,580	\$2,192	\$0
Other Than Personal Services	2,916	2,495	2,916	3,063	2,916	0
TOTAL	\$5,933	\$5,207	\$5,108	\$5,643	\$5,108	\$0
Funding						
City Funds			\$4,873	\$4,873	\$4,875	\$3
Other Categorical			11	101	8	(2)
State			15	299	15	0
Federal - Other			0	88	0	0
Intra City			210	282	210	0
TOTAL			\$5,108	\$5,643	\$5,108	\$0
Positions						
Fulltime Positions	44	41	38	46	38	0
TOTAL	44	41	38	46	38	0

Fiscal 2012 Preliminary Contracts Budget

The New York City Charter mandates the preparation of a Contract Budget to identify expenditures for contractual services, which are defined as any technical, consultant or personal service provided to the City by means of a contract. The Contract Budget is actually a subset of the Other Than Personal Services (OTPS) portion of the City's Expense Budget. The Administration prepares a Contract Budget twice each fiscal year. In January, it is prepared with the Departmental Estimates, and in late April it is submitted to the Council with the Executive Budget.

Category	Number	Budgeted	Pct of DORIS Total	Pct of City Total	Pct. Change from 2011 ADP
Maint. & Repair Motor Vehicle Equip	1	500	2.7%	0.0%	0.0%
Office Equipment Maintenance	1	17,900	97.3%	0.1%	0.0%
Preliminary Budget	2	\$18,400	100.0%	0.0%	0.0%

Expense Budget Highlights

The Department of Records and Information Services (DORIS) proposes a Fiscal 2012 Preliminary Budget totaling \$5.1 million which is the same as its Fiscal 2011 Adopted Budget. The Fiscal 2012 Preliminary Budget is \$200,000 above the Department’s Fiscal 2010 January Plan appropriation of \$4.9 million, an increase of approximately 4.1-percent.

Personal Services (PS) & Other Than Personal Services (OTPS)

Department of Records & Information Services

Dollars in Thousands

	2009 Actual	2010 Actual	2011 Adopted	2011 Feb Plan	2012 Feb Plan	Difference 2011 - 2012
Spending						
Full-Time Salaried - Civilian	\$133	\$90	\$45	\$52	\$50	\$5
Other Salaried and Unsalaries	0	0	(130)	(130)	(130)	0
Additional Gross Pay	0	0	0	116	0	0
Overtime - Civilian	2,267	2,268	2,071	2,305	2,066	(5)
Fringe Benefits	617	336	206	237	206	0
Amounts to be Scheduled	0	17	0	0	0	0
Total, PS	\$3,017	\$2,712	\$2,192	\$2,580	\$2,192	\$0
Supplies and Materials	\$38	\$40	\$18	\$38	\$18	0
Property and Equipment	1	0	0	0	0	0
Other Services and Charges	2,661	2,373	2,758	2,845	2,758	0
Contractual Services	112	17	61	23	61	0
Fixed and Misc. Charges	106	66	79	156	79	0
Total, OTPS	\$2,916	\$2,495	\$2,916	\$3,063	\$2,916	\$0
TOTAL	\$5,933	\$5,207	\$5,108	\$5,643	\$5,108	\$0
Funding						
City Funds			\$4,873	\$4,873	\$4,875	\$3
Other Categorical			11	101	9	(3)
State			15	299	15	0
Federal - Other			0	88	0	0
Intra City			210	282	210	0
TOTAL			\$5,108	\$5,643	\$5,108	(\$0)
Positions						
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TOTAL	44	41	38	46	38	0

Performance Measures

Provide the public and City agencies with access to public records and publications.

	FY 08	FY 09	FY 10	FY 10 4-Month Actual	FY 11 4-Month Actual
Publications and reports acquired	11,498	9,861	8,708	3,346	2,796
Records preserved	240,091	907,439	286,665	206,996	113,199
Volume of library collection	317,168	324,039	331,560	326,860	334,011
Information requests received	63,722	56,432	55,545	17,801	19,782
- City Hall Library	5,096	2,295	2,227	575	1,025
- Municipal Archives	58,626	54,137	53,318	17,226	18,757
- Vital record requests received	37,505	33,394	31,624	9,926	11,105
Vital record requests responded to in an average of 12 business days (%)	86%	86%	85%	90%	83%
Average response time to vital records requests (days)	9.1	7.9	7.9	6.2	8.7
Photographic reproduction requests received	4,801	3,723	5,628	1,455	1,344
Average response time to historical photo requests (days)	13.0	10.2	11.5	12.2	6.7

Provide City agencies, the courts, and district attorneys with record storage, retrieval, and retention scheduling services.

	FY 08	FY 09	FY 10	FY 10 4-Month Actual	FY 11 4-Month Actual
Average response time to agency requests for inactive records (days)	NA	1.4	1.2	1.3	1.6
Average time between records disposal eligibility and application sent to Law Department (months)	1.4	0.9	0.8	0.6	4.1
Average time for Law Department to approve records disposal application (months)	2.6	1.5	3.7	1.8	3.3
Percent of warehouse capacity available for new accessions	6%	7%	6%	7%	5%

Performance Measure Highlights

- Patron requests for copies of vital records grew to 11,105 in the first four months of Fiscal 2011, from 9,926 in the same period of Fiscal 2010. Most vital records are requested in connection with family history research, resulting in a discretionary expense that can be postponed or curtailed during an economic recession. This indicator had been decreasing since Fiscal 2008. The increase of 12 percent during the reporting period may reflect an improvement in the economy. The greater volume of requests contributed to a substantial increase in the four-month average response time to vital record requests, from 6.2 days in Fiscal 2010 to 8.7 in Fiscal 2011. If the volume of requests continues to increase, the Department plans to adjust staffing to prevent further increase in the average response time.
- The quantity of records preserved by the Department decreased 45 percent during the reporting period, from 206,996 in Fiscal 2010 to 113,199 in Fiscal 2011. During the first four months of Fiscal 2010, the Department completed a special project to preserve the records of the mayoral

administration of David Dinkins, resulting in elevated output. After this project ended, the quantity of records preserved decreased significantly for the rest of the Fiscal 2010. Beginning in Fiscal 2011, the Department received funding from the National Endowment for the Humanities to preserve nineteenth-century felony indictment records. This funding has enabled the Department to increase production and will allow it to meet its annual target for records preservation in Fiscal 2011.

- The City Hall Library had a notable increase in requests for information, to 1,025 during the reporting period from 575 during the first four months of Fiscal 2010, a jump of 78 percent. The increase is largely attributable to on-line access to the Library's catalog, which enables customers to more easily ascertain availability and request materials.
- The Department improved its average response time to historical photograph requests to 6.7 days in the first four months of Fiscal 2011, a decrease of 45 percent from 12.2 days in the same period of Fiscal 2010. The deployment of additional part-time staff to the production of historical prints accounts for the improved response time.
- The average time between records disposal eligibility and application sent to the Law Department lengthened significantly, from 0.6 months for the first four months of Fiscal 2010 to 4.1 months for the first four months of Fiscal 2011. The Department will monitor this indicator and provide assistance to records personnel in agencies that have unusual delays in the disposal approval process.

Relevant Budget Actions

No major actions in either the November or February Plans.

Appendix A: Budget Actions in the November and February Plans

<i>Dollars in Thousands</i>	FY 2011			FY 2012		
	City	Non-City	Total	City	Non-City	Total
Agency Budget as of July 2010 Plan	\$4,872	\$324	\$5,196	\$4,875	\$236	\$5,111
Program to Eliminate the Gap (PEGs)						
			\$0			\$0
Total, PEGs	\$0	\$0	\$0	\$0	\$0	\$0
PEG Restorations						
			\$0			\$0
Total, PEG Restorations	\$0	\$0	\$0	\$0	\$0	\$0
New Needs						
			\$0			\$0
Total, New Needs	\$0	\$0	\$0	\$0	\$0	\$0
Other Adjustments						
State Grants	\$0	\$284	\$284			\$0
Other Categorical Grants	0	90	90	0	(3)	(3)
Intra City Adjustment	0	72	72	0	0	0
Total, Other Adjustments	\$0	\$446	\$446	\$0	(\$3)	(\$3)
Total Changes to Agency	\$0	\$446	\$446	\$0	(\$3)	(\$3)
Agency Budget as of February 2011 Plan	\$4,873	\$770	\$5,642	\$4,875	\$233	\$5,108