

THE COUNCIL OF THE CITY OF NEW YORK

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Speaker of the Council

Hon. Benjamin Kallos
Chair, Committee on Governmental Operations



Report on the Fiscal 2017 Preliminary Budget and the Fiscal 2016 Preliminary Mayor's Management Report Department of Records and Information Services

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Department of Records and Information Services

The Commissioner of the Department of Records and Information Services (DORIS or the Department) serves as the chief archivist, librarian and records officer for the Mayor, Borough Presidents, and City Council. DORIS is composed of the municipal archives, visitor center, city hall library, and municipal records management division. DORIS operates records storage facilities in two locations with a combined capacity of one million cubic feet, and provides records management services to 50 city agencies, ten courts, and the five district attorneys' offices. DORIS preserves and provides public access to 221,000 cubic feet of historically valuable city records and photographs, and a unique collection of more than 354,000 books, official government reports, studies and other publications. DORIS provides educational programming and has welcomed over 7,000 people from around the world in the visitor center since opening in May 2012.

| DORIS Financial Summary | | | | | | |
|--------------------------------------|----------------|----------------|----------------|-------------------------|----------------|--------------------|
| <i>Dollars in Thousands</i> | | | | | | |
| | 2014 | 2015 | 2016 | Preliminary Plan | | *Difference |
| | Actual | Actual | Adopted | 2016 | 2017 | 2016 - 2017 |
| Spending | | | | | | |
| Personnel Services | \$2,399 | \$2,752 | \$2,785 | \$3,663 | \$3,409 | \$624 |
| Full-Time Salaried - Civilian | \$1,970 | \$2,273 | \$2,538 | \$3,096 | \$3,230 | \$692 |
| Unsalaries and All Other PS | 429 | 478 | 248 | 567 | 179 | (68) |
| | | | | | | 0 |
| Other Than Personnel Services | \$3,211 | \$3,500 | \$3,684 | \$4,595 | \$3,953 | \$269 |
| Contractual Services | 48 | 243 | 514 | 1,169 | 722 | 208 |
| Other Services & Charges | 2,936 | 3,102 | 3,022 | 3,150 | 3,086 | 63 |
| Property & Equipment | 124 | 45 | 57 | 114 | 57 | (0) |
| Supplies & Materials | 103 | 109 | 90 | 161 | 88 | (2) |
| TOTAL | \$5,610 | \$6,252 | \$6,469 | \$8,258 | \$7,361 | \$892 |
| Funding | | | | | | |
| City Funds | | | \$6,217 | \$7,170 | \$7,095 | \$878 |
| Federal - Other | | | 0 | 218 | 0 | 0 |
| Intra City | | | 224 | 295 | 230 | 6 |
| Other Categorical | | | 8 | 275 | 8 | 0 |
| State | | | 20 | 300 | 28 | 8 |
| TOTAL | \$5,610 | \$6,252 | \$6,469 | \$8,258 | \$7,361 | \$892 |
| Budgeted Headcount | | | | | | |
| Full-Time Positions - Civilian | 38 | 43 | 44 | 51 | 51 | 7 |

**The difference of Fiscal 2016 Adopted Budget compared to Fiscal 2017 Preliminary Budget.*

DORIS' proposed budget for Fiscal 2017 totals \$7.3 million, including \$3.4 million in personnel services funding to support 51 full-time positions. The total includes funding for seven new full-time positions. State funding of \$300,000 is recognized in Fiscal 2016 from the Local Government Records Management Improvement Fund. The difference in OTPS expenditures between the Fiscal 2016 Adopted Budget and the current Fiscal 2016 Budget is primarily attributed to additional funding for a vital records contract. The difference in

PS expenditures between the Adopted Budget and the Fiscal 2017 Preliminary Plan is primarily due to new personnel needs. Since Adoption, the Preliminary Plan includes new needs and other adjustments, increasing the Department's Fiscal 2017 Budget by \$1.3 million (see Appendix A).

Preliminary Plan Highlights

New Personnel. The Preliminary Plan includes baseline personnel services funding of \$1.1 million to support seven new positions that include:

- A custodian to maintain two off-site facilities and assist with preparation of historical archive records for transfer to a new facility;
- A Quality Assurance Specialist to lead the programming, testing, and monitoring efforts for new technology applications, including OpenFOIL, Government Publications portal, and Archives digital repository;
- Three Processing Archivists to handle the increasing volume of the Department's multi-format collection and electronic records management;
- A Director of Information Technology to develop and oversee the Department's major technological initiatives;
- An Attorney to address legal issues and ensure compliance with regulations involving disposal, FOIL, and retention of email and social media records.

Digitization of the 1940 Tax Photos. The Preliminary Plan includes \$640,000 for Fiscal 2017 to digitize at risk photographs from the Works Progress Administration, an old federal agency that ended in 1943 which carried out public works projects across the United States, including New York City.

OpenFOIL. Last year's Preliminary Plan contained baselined funding for two Open Freedom of Information Law (FOIL) staff to lead the planning and development of an Open FOIL Platform. OpenFoil allows people to submit and track their freedom of information law requests for records from certain agencies. While the Fiscal 2017 Preliminary Plan doesn't directly include new needs for OpenFoil, it is one of the projects the Quality Assurance Specialist will support.

Miscellaneous Revenue

The Department generates revenue by charging fees related to providing records and other documents upon request. The Preliminary Plan projects DORIS will generate \$1 million in Fiscal 2016, an eight percent decrease when compared to revenue generated in Fiscal 2015.

| Revenue | Actual | | | | Planned | |
|-------------------------------|------------------|------------------|------------------|--------------------|--------------------|------------------|
| | FY 12 | FY 13 | FY 14 | FY15 | FY 16 | FY 17 |
| Document Search and Copy Fees | \$605,908 | \$464,776 | \$646,379 | \$918,808 | \$755,000 | \$480,000 |
| Photo Sales | 227,908 | 281,532 | 295,554 | \$249,507 | \$324,000 | \$324,000 |
| Total | \$833,816 | \$746,308 | \$941,933 | \$1,168,316 | \$1,079,000 | \$804,000 |

Capital Funding

Funding for DORIS' capital projects includes planned commitments of \$365,000 for a cold storage system in Fiscal 2016 and \$1 million for an HVAC system for DORIS archives in Fiscal 2017.

Appendix A: Budget Actions in the November and the Preliminary Plans

| <i>Dollars in Thousands</i> | FY 2016 | | | FY 2017 | | |
|---|----------------|----------------|----------------|----------------|--------------|----------------|
| | City | Non-City | Total | City | Non-City | Total |
| DORIS Budget as of the Adopted 2016 Budget | \$6,217 | \$252 | \$6,469 | \$5,842 | \$260 | \$6,102 |
| New Needs | | | | | | |
| Attorney | \$33 | \$0 | \$33 | \$66 | \$0 | \$66 |
| Custodian | 18 | 0 | 18 | 35 | 0 | 35 |
| Data Recovery of Vital Records | 66 | 0 | 66 | 0 | 0 | 0 |
| Digitization of the 1940 Tax Photos | 90 | 0 | 90 | 640 | 0 | 640 |
| Director of Information Technology | 51 | 0 | 51 | 102 | 0 | 102 |
| Processing Archivists | 82 | 0 | 82 | 165 | 0 | 165 |
| Program Licensing Fees | 63 | 0 | 63 | 63 | 0 | 63 |
| Quality Assurance Specialist | 35 | 0 | 35 | 70 | 0 | 70 |
| Records Disposal Team | 80 | 0 | 80 | 0 | 0 | 0 |
| Supplies for New Staff | 20 | 0 | 20 | 0 | 0 | 0 |
| Temporary Stock Workers | 96 | 0 | 96 | 96 | 0 | 96 |
| Vital Records Contract | 288 | 0 | 288 | 0 | 0 | 0 |
| Warehouse Supplies | 12 | 0 | 12 | 0 | 0 | 0 |
| Subtotal, New Needs | \$934 | \$0 | \$934 | \$1,237 | \$0 | \$1,237 |
| Other Adjustment | | | | | | |
| Collective Bargaining | \$14 | \$5 | \$19 | \$16 | \$6 | \$22 |
| State | 0 | 275 | 275 | 0 | 0 | 0 |
| Lease Adjustment | 5 | 0 | 5 | 0 | 0 | 0 |
| Other Intra-City | 0 | 71 | 71 | 0 | 0 | 0 |
| Federal | 0 | 484 | 484 | 0 | 0 | 0 |
| Subtotal, Other Adjustments | \$19 | \$836 | \$855 | \$16 | \$6 | \$22 |
| TOTAL, All Changes | \$953 | \$836 | \$1,789 | \$1,253 | \$6 | \$1,259 |
| DORIS Budget as of the Preliminary 2017 Budget | \$7,170 | \$1,088 | \$8,258 | \$7,095 | \$266 | \$7,361 |

Appendix B: 216 Preliminary Mayor's Management Report

| DORIS Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|------------|---------|---------|----------------|-----------|
| | FY13 | FY14 | FY15 | FY16 | FY17 | FY16 | FY17 |
| Records preserved and digitized | 121,955 | 101,033 | 10,651,475 | 260,000 | 260,000 | 4,648,575 | 2,872,363 |
| Number of library items available | 352,000 | 358,825 | 363,997 | * | * | 361,100 | 365,468 |
| Publications and reports acquired | 7,205 | 7,547 | 7,113 | * | * | 2,775 | 2,019 |
| Records accessioned in Municipal Archives (cubic ft.) | 14,834 | 3,920 | 2,738 | * | * | 498 | 133 |
| Walk-in and program attendees at the Visitor Center | 2,063 | 1,508 | 1,318 | * | * | 402 | 354 |
| Vital record requests responded to within 12 business days (%) | 1 | 0 | 0 | 60% | 60% | 8% | 83% |
| Average response time to vital record requests (days) | 10 | 14 | 21 | 12 | 12 | 23 | 9 |
| Average response time to historical photo requests (days) | 14 | 9 | 17 | 15 | 15 | 17 | 22 |
| Average response time to agency requests for inactive records (days) | 1 | 1 | 1 | 2 | 2 | 1 | 2 |
| Requests for stored records processed within 48 hours (%) | 92% | 98% | 100% | * | * | 100% | 87% |
| Warehouse capacity available for new accessions (%) | 7% | 4% | 5% | * | * | 5% | 11% |
| Records transferred into Municipal Records Center (cubic ft.) | 47,250 | 20,509 | 27,837 | * | * | 3,440 | 1,099 |
| Average time between records disposal eligibility and application sent to Law Department (months) | 1 | 1 | 1 | 2 | 2 | 0.5 | NA |
| Average time for Law Department to approve records disposal application (months) | 2 | 2 | 1 | 3 | 3 | 1 | 3.8 |
| Records disposed from Municipal Records Center (cubic ft.) | 18,097 | 11,282 | 15,262 | * | * | 2,695 | 921 |
| Letters responded to in 14 days (%) | 92% | 92% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| CORE facility rating | 93 | 93 | 91 | * | * | NA | NA |
| Percent of required agency reports submitted to the Municipal Library publications portal | NA | NA | NA | 100% | 100% | NA | 96% |

When compared to the same period last year, the average number of days for DORIS to respond to vital records requests has dropped nearly threefold, from 23 days to 9 days. However, over the same interval, the average number of days for the Department to respond to historic photos has increased from 17 to 22 days and the number of records preserved and digitized decreased by 38 percent. According to the 2016 PMMR, the digitization of the Municipal Archives' 9.5 million historical vital records collection that began in Fiscal 2015 is continuing, and the capital project to install new data storage servers is nearing its completion early in the second half of Fiscal 2016. DORIS expects that by the end of Fiscal 2016, the annual quantity digitized should approach or reach the amount for Fiscal 2015.