

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Corey Johnson
Speaker of the Council

Hon. Fernando Cabrera
Chair, Committee on Governmental Operations



Report of the Finance Division on the
Fiscal 2019 Preliminary Budget and the
Fiscal 2018 Preliminary Mayor's Management Report for the
Department of Records and Information Services

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Department of Records and Information Services Overview

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.

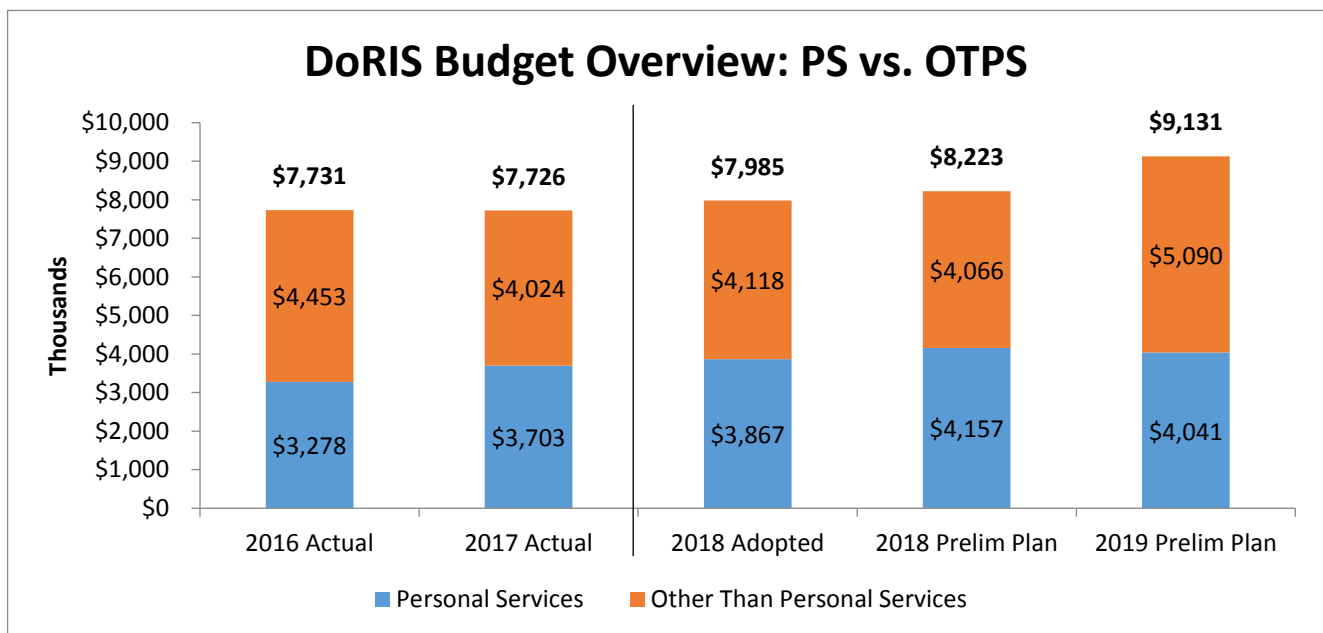
DoRIS' activities include:

- Maintaining the municipal archives, visitor center, city hall library, and municipal records management division;
- Operating records storage facilities in two locations with a combined capacity of one million cubic feet;
- Providing records management services to 50 city agencies, ten courts, and the five district attorneys' offices;
- Preserving and providing 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.

Fiscal 2019 Preliminary Budget Highlights

The Department of Records and Information Services' Fiscal 2019 Preliminary Budget totals \$9.1 million, including \$4 million in Personal Services (PS) funding to support 64 full-time positions. \$8.9 million or 97 percent of DoRIS' budget is City tax-levy funding, with Intracity transfers representing the majority of the remainder. The Department's budget is subdivided into two units of appropriation (U/As), Personal Services and Other Than Personal Services (OTPS).¹

Figure 1



¹ Units of Appropriation are the subdivisions of the City Expense Budget that the City Council votes upon.

Highlights of DoRIS' Fiscal 2019 Preliminary Budget

- **New Needs.** Since Adoption of the Fiscal 2018 Budget, the Department of Records and Information Services has identified \$133,000 in new needs for Fiscal 2018 and \$510,000 in new needs for Fiscal 2019.
- **Citywide Savings Program.** The Department of Records and Information Services will generate budget savings of \$232,000 in Fiscal 2018 and \$152,000 in Fiscal 2019 as part of the Citywide Savings Program introduced since the adoption of the Fiscal 2018 Budget.
- **Miscellaneous Revenue.** The Financial Plan projects that the Department of Records and Information Services will generate Miscellaneous Revenue totaling \$962,000 in Fiscal 2019 from photo sales, document search fees and copy fees.
- **Preliminary Mayor's Management Report (PMMR) Highlights.** Notable performance metrics reported by the Department of Records and Information Services in the 2018 PMMR include the following:
 - ✓ Records preserved and digitized;
 - ✓ Average response time to vital record requests (days); and
 - ✓ Average response time to agency requests for inactive records (days).

Financial Plan Summary

Table 1

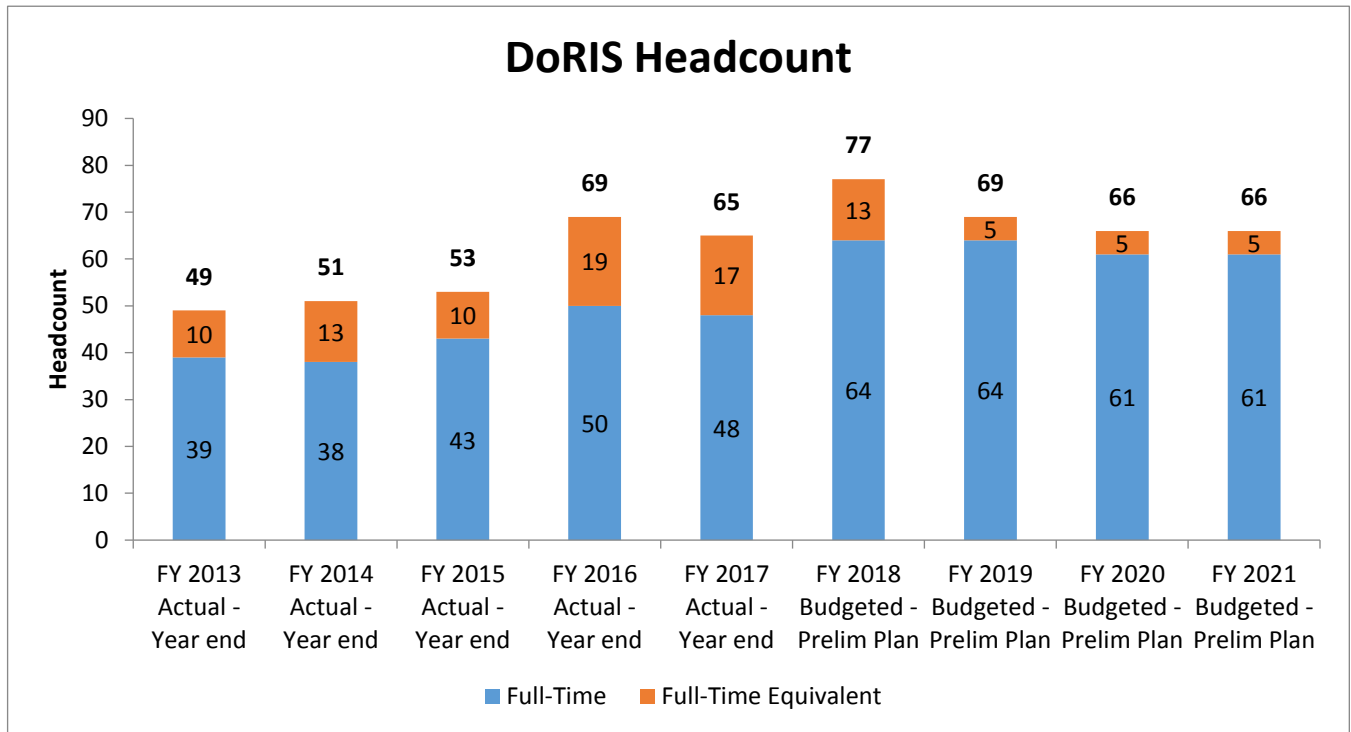
DoRIS Financial Summary						
	FY16	FY17	FY18	Preliminary Plan		*Difference
<i>Dollars in Thousands</i>	Actual	Actual	Adopted	FY18	FY19	FY18-FY19
Spending						
Personal Services	\$3,278	\$3,703	\$3,867	\$4,157	\$4,041	\$174
Other Than Personal Services	4,453	4,024	4,118	4,066	5,090	972
TOTAL	\$7,731	\$7,726	\$7,985	\$8,223	\$9,131	\$1,146
Personal Services						
Additional Gross Pay	\$144	\$72	\$67	\$70	\$67	\$0
Full-Time Salaried	2,697	3,035	3,462	3,474	3,783	321
Other Salaried & Unsalariated	437	590	334	532	187	(147)
P.S. Other	0	5	4	81	4	0
SUBTOTAL	\$3,278	\$3,703	\$3,867	\$4,157	\$4,041	\$174
Other Than Personal Services						
Contractual Services	\$1,151	\$464	\$658	\$538	\$250	(\$408)
Other Services & Charges	3,083	3,359	3,245	3,322	4,591	\$1,347
Property & Equipment	79	54	127	111	127	\$0
Supplies & Materials	140	147	88	95	121	\$33
SUBTOTAL	\$4,453	\$4,024	\$4,118	\$4,066	\$5,090	\$972
TOTAL	\$7,731	\$7,726	\$7,985	\$8,223	\$9,131	\$1,146
Funding						
City Funds			\$7,733	\$7,520	\$8,879	\$1,146
Other Categorical			\$8	\$125	\$8	0
State			\$30	\$256	\$30	0
Federal - Other			\$0	\$107	\$0	0
Intra City			\$214	\$214	\$214	0
TOTAL	\$7,731	\$7,726	\$7,985	\$8,223	\$9,131	\$1,146
Budgeted Headcount						
Full-Time Positions - Civilian	50	48	61	64	64	3
TOTAL	50	48	61	64	64	3

**The difference of Fiscal 2018 Adopted Budget compared to Fiscal 2019 Preliminary Budget.*

The Department of Records and Information Services' Fiscal 2019 Preliminary Budget totals \$9.1 million, including \$4 million in Personal Services funding to support 64 full-time positions. While DoRIS regularly receives some State, private grant and other supplementary funding, the Department's Fiscal 2019 Preliminary Budget is funded entirely with City tax-levy funding. DoRIS' Fiscal 2019 Preliminary Budget is \$1.1 million greater than its Fiscal 2018 Adopted Budget. While the Department's Fiscal 2019 Preliminary Contract Budget is lower than in the Fiscal 2018 Adopted Budget, funding for the rental of buildings and structures and other services and charges is \$1.3 million greater. In the Fiscal 2019 Preliminary Budget, DoRIS registered new needs of \$510,000 for Fiscal 2019, \$320,000 of which is allocated for the leasing of warehouse space.

Headcount

Figure 2

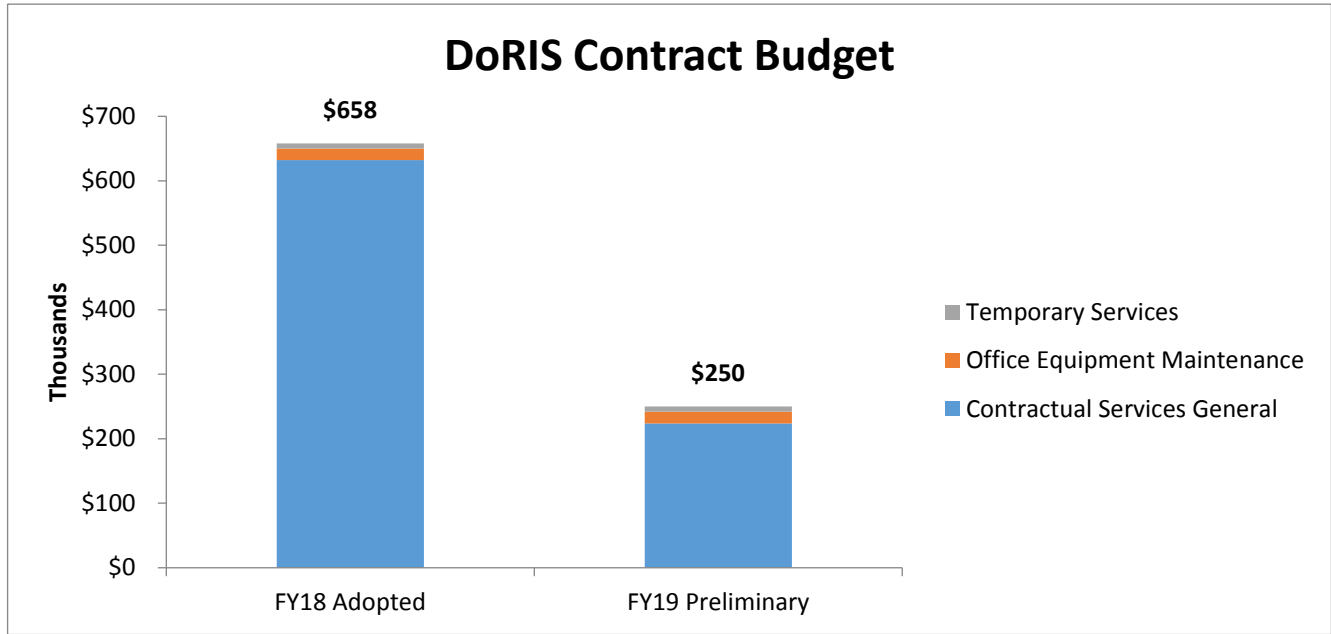


In the Fiscal 2019 Preliminary Plan, the Department of Records and Information Services’ Fiscal 2019 headcount provides \$4 million to support a headcount of 64 full-time positions and 5 full-time equivalent positions. Please see Appendix B for more details regarding DoRIS’ headcount.

Contract 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 personnel service provided to the City by means of a contract. The Contract Budget is actually a subset of the OTPS portion of the City’s Expense Budget. The Administration prepares a Contract Budget twice each fiscal year. The Fiscal 2019 Preliminary Contract Budget totals \$15.6 billion for procurement expenditures across all agencies.

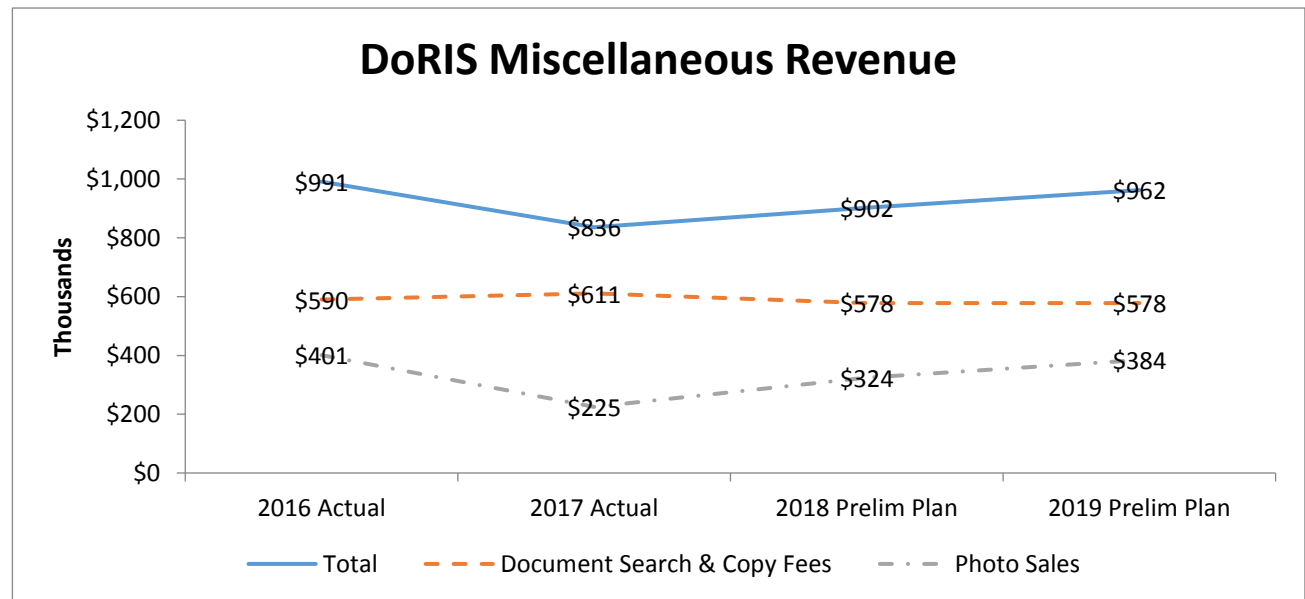
Figure 3



DoRIS’ Fiscal 2019 Contract Budget totals \$250,000 for 3 contracts, accounting for 4.9 percent of the agency’s total OTPS Budget. A general services contract of \$224,000 comprises 89.6 percent of DoRIS’ Fiscal 2019 Contract Budget. Please see Appendix C for more details regarding OPA’s Contract Budget.

Miscellaneous Revenue

Figure 4



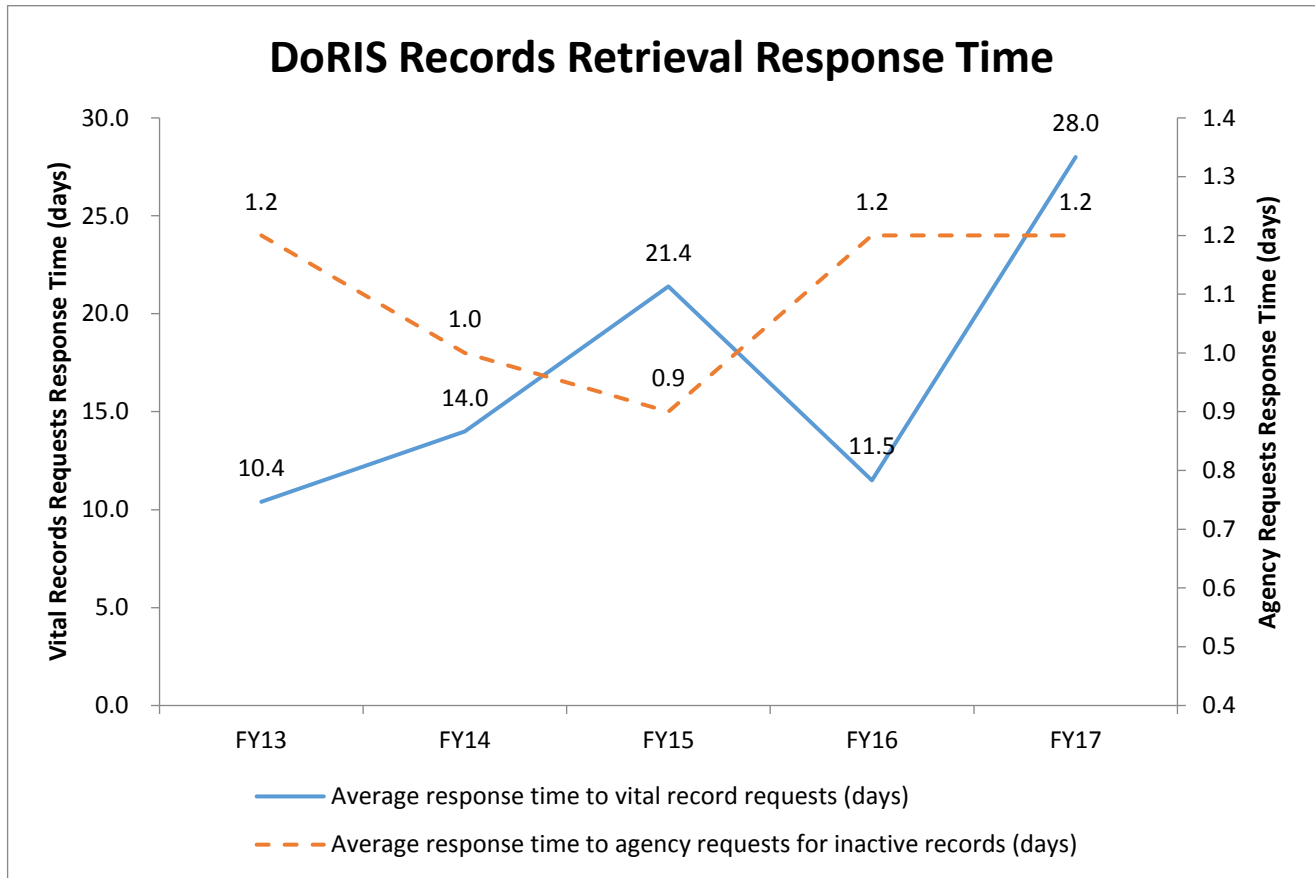
The Department generates revenue by charging fees for the provision and copying of records and the sale of copies of archival photographs. The Fiscal 2019 Preliminary Plan projects that DoRIS will generate miscellaneous revenue of \$962,000 in Fiscal 2019 from these activities, an increase of \$60,000 relative to projections for Fiscal 2018 in the Fiscal 2018 Adopted Budget.

Capital Program

DoRIS does not manage its own capital projects. However, there are two projects within the Fiscal 2018-2022 Preliminary Capital Commitment Plan for the reconstruction of the basement at 31 Chambers Street, where DoRIS is located. As a part of this reconstruction, the Commitment Plan allocates \$919,000 for an HVAC system, \$103,000 of which is allocated for Fiscal 2018 and the remaining \$816,000 allocated for Fiscal 2019. In addition, the Commitment Plan also includes \$365,000 for a Cold Storage system for usage in the preservation of archives.

Preliminary Mayor’s Management Report (PMMR)

Figure 5



The 2018 PMMR highlights a variety of the Department of Records and Information Services’ performance measures, including the annual number of records and publications received by agencies for archiving, the number of annual records DoRIS archived and digitalized, warehouse capacity and utilization, and speed of transfer of records to storage facilities.

Figure 5 above highlights the speed with which DoRIS has responded to requests from both the public and city agencies for the retrieval of records. In Fiscal 2017, the average response time to deliver vital records requested by the public jumped from 11.5 to 28 days due to delays in the transfer of records from microfilm to a digital format, as well as due to the retirement of several DoRIS staff. The average time to respond to agency requests for inactive records stored in DoRIS archives has stayed relatively consistent over the past several fiscal years, and is below DoRIS’ target of two days. For a full list of DoRIS’ 2018 PMMR indicators, please see Appendix E.

Appendices

A: Budget Actions in the November and the Preliminary Plans

<i>Dollars in Thousands</i>	FY18			FY19		
	City	Non-City	Total	City	Non-City	Total
DoRIS Budget as of the FY18 Adopted Budget	\$7,733	\$252	\$7,985	\$8,417	\$252	\$8,669
New Needs						
Lease for Warehouse	\$0	\$0	\$0	\$320	\$0	\$320
Manhattan Building Plans Re-housing and Digitalization Project	59	0	59	171	0	171
Operational Resources	74	0	74	19	0	19
Subtotal, New Needs	\$133	\$0	\$133	\$510	\$0	\$510
Other Adjustments						
City Service Corps	(\$11)	\$0	(\$11)	\$0	\$0	\$0
National Endowment for the Humanities Grant	0	107	107	0	0	0
State Archives and Records Administration Grant	0	227	227	0	0	0
MARR Fund	0	117	117	0	0	0
Fiscal Year Rollover	(104)	0	(104)	104	0	104
Subtotal, Other Adjustments	(\$115)	\$451	\$336	\$104	\$0	\$104
Citywide Savings						
Contract Savings	(\$56)	\$0	(\$56)	(\$18)	\$0	(\$18)
PS Savings	(176)	0	(176)	(70)	0	(70)
Savings from Staff Expected to Separate	0	0	0	(64)	0	(64)
Subtotal, Citywide Savings	(\$232)	\$0	(\$232)	(\$152)	\$0	(\$152)
TOTAL, All Changes	(\$214)	\$451	\$236	\$462	\$0	\$462
DoRIS Budget as of the FY19 Preliminary Budget	\$7,520	\$702	\$8,223	\$8,879	\$252	\$9,131

B: DoRIS Headcount

	Actual - Year end					Budgeted - FY19 Prelim Plan			
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Full-Time	39	38	43	50	48	64	64	61	61
Full-Time Equivalent	10	13	10	19	17	13	5	5	5
TOTAL	49	51	53	69	65	77	69	66	66

C: DoRIS Contract Budget

DoRIS FY19 Preliminary Contract Budget				
<i>Dollars in Thousands</i>				
Category	FY18 Adopted	Number of Contracts	FY19 Preliminary	Number of Contracts
Contractual Services General	\$632	1	\$224	1
Office Equipment Maintenance	18	1	18	1
Temporary Services	8	1	8	1
TOTAL	\$658	3	\$250	3

D: DoRIS Miscellaneous Revenue

DoRIS Miscellaneous Revenue Budget Overview						
<i>Dollars in Thousands</i>						
Revenue Sources	FY16	FY17	FY18	Preliminary Plan		*Difference
	Actual	Actual	Adopted	FY18	FY19	FY18-FY19
Document Search & Copy Fees	\$590	\$611	\$578	\$578	\$578	\$0
Photo Sales	401	225	324	324	384	60
TOTAL	\$991	\$836	\$902	\$902	\$962	\$60

**The difference of Fiscal 2018 Adopted Budget compared to Fiscal 2019 Preliminary Budget.*

E: DoRIS 2018 PMMR Indicators

DoRIS Performance Indicators	Actual			Target		4-Month Actual	
	FY15	FY16	FY17	FY18	FY19	FY17	FY18
Records preserved and digitized	10,651,475	7,422,426	26,778	260,000	260,000	11,733	1,794
Number of library items available	363,997	371,208	375,919	*	*	372,483	377,265
Publications and reports acquired	7,113	10,016	5,596	*	*	2,160	1,290
Records accessioned by Municipal Archives (cubic ft.)	2,738	1,049	797	*	*	0	619
Walk-in and program attendees at the Visitor Center	1,318	1,363	1,408	*	*	1,338	446
Percent of required agency reports submitted to the Municipal Library publications portal	NA	60%	60%	100%	100%	60%	60%
Vital record requests responded to within 12 business days (%)	17%	62%	9%	60%	60%	3%	61%
Average response time to vital record requests (days)	21.4	11.5	28	12	12	30.3	15.3
Average response time to historical photo requests (days)	17.2	22.9	22.7	15	15	21.8	31.6
Average response time to agency requests for inactive records (days)	0.9	1.2	1.2	2	2	1.6	0.7
Requests for stored records processed within 48 hours (%)	100%	94%	91%	*	*	84%	98%
Warehouse capacity available for new accessions (%)	5%	12%	12%	*	*	11%	12%
Records transferred into Municipal Records Center (cubic ft.)	27,837	6,668	4,703	*	*	398	830
Average time between records disposal eligibility and application sent to Law Department (months)	0.5	0.6	0.2	2	2	NA	0.4
Average time for Law Department to approve records disposal application (months)	0.8	2.8	2.7	3	3	3.5	NA
Total records disposed by City government entities (cubic ft.)	NA	59,232	117,247	*	*	63,280	32,705
Letters responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
E-mails responded to in 14 days (%)	100%	100%	100%	*	*	100%	100%
CORE customer experience rating (0-100)	91	97	100	*	*	NA	NA