

THE COUNCIL OF THE CITY OF NEW YORK

Hon. Melissa Mark-Viverito
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.