

THE COUNCIL OF THE CITY OF NEW YORK



Hon. Melissa Mark-Viverito
Speaker of the Council

Hon. Ben Kallos
Chair, Committee on Governmental Operations

Report on the Fiscal 2016 Preliminary Budget and the
Fiscal 2015 Preliminary Mayor's Management Report

Department of Records and Information Services (DORIS)

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John Russell, Unit Head

Finance Division

Latonia McKinney, Director

Regina Poreda Ryan, Deputy Director

Nathan Toth, Deputy Director

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Department of Records and Information Services Overview

The Commissioner of the Department of Records and Information Services (DORIS) 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.

Financial Summary

DORIS Financial Summary						
<i>Dollars in Thousands</i>	2013	2014	2015	Preliminary		*Difference
	Actual	Actual	Adopted	2015	2016	2015- 2016
Spending						
Personal Services	\$2,584	\$2,399	\$2,152	\$3,037	\$2,755	\$603
Full-Time Salaried	2,041	1,970	1,919	2,555	2,507	589
Unsalariated	367	304	163	286	177	14
Additional Gross Pay	93	100	67	77	67	0
Other	0	0	4	98	4	0
Overtime	84	26	0	21	0	0
Other Than Personal Services	2,885	3,211	3,108	3,314	3,188	80
Supplies and Materials	160	103	85	82	88	3
Property and Equipment	6	124	57	19	57	0
Other Services and Charges	2,718	2,936	2,918	2,977	2,921	3
Contractual Services	1	48	48	236	122	74
TOTAL	\$5,470	\$5,610	\$5,260	\$6,352	\$5,943	\$683
Funding						
<i>City Funds</i>			\$5,027	\$5,524	\$5,694	667
<i>Other Categorical</i>			8	149	8	0
<i>State</i>			15	295	20	5
<i>Intra-City</i>			210	383	221	12
TOTAL	\$5,470	\$5,610	\$5,260	\$6,352	\$5,943	\$683
Positions						
Full-Time Positions	39	38	38	48	44	6

**The difference of Fiscal 2015 Adopted Budget compared to Fiscal 2016 Preliminary Budget.*

DORIS' proposed budget for Fiscal 2016 totals \$5.9 million, including \$2.75 million in personal services funding to support 44 full-time positions. Since Adoption, the Department has identified new needs and other adjustments, increasing the Department's Fiscal 2016 Budget by \$683,000.

The total includes funding for 6 new full-time positions. State funding of \$295,000 is recognized in Fiscal 2015 from the Local Government Records Management Improvement Fund.

Preliminary Plan Highlights

Budget Actions

The Preliminary Plan includes baseline personal services funding of \$480,000 to support six new positions that include:

- Records Manager to develop an electronic records management system;
- Computer Programmer to lead the planning of a digital repository for government documents;
- Two Associate public Records Officers to process historical materials; and
- Two Open Freedom of Information Law (FOIL) Staff to lead the planning and development of an Open FOIL Platform.

The Preliminary Plan baselines \$8,000 for translation services and includes \$40,000 in Fiscal 2015 and 2016 for consultant archivists to catalog records as required by legal mandate. More details on budget actions since adoption can be found in Appendix A on page 3.

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 \$873,000 in Fiscal 2015, a seven percent decrease when compared to revenue generated in Fiscal 2014.

Revenue	Actual			Planned	
	FY 12	FY 13	FY 14	FY 15	FY 16
Document Search and Copy Fees	\$605,908	\$464,776	\$646,379	\$549,000	\$480,000
Photo Sales	227,908	281,532	295,554	324,000	324,000
Total	\$833,816	\$746,308	\$941,933	\$873,000	\$804,000

Capital Funding

Funding for DORIS capital projects includes planned commitments of \$365,000 for a cold storage system in Fiscal 2015 and \$919,000 for an HVAC system for DoRIS archives in Fiscal 2016.

Appendix A: Budget Actions in the November and Preliminary Plans

<i>Dollars in Thousands</i>	FY 2015			FY 2016		
	City	Non-City	Total	City	Non-City	Total
DORIS Budget as of Fiscal 2015 Adopted Plan	\$5,027	\$233	\$5,260	\$5,031	\$233	\$5,264
New Needs						
Open FOIL Platform	95	0	95	190	0	190
Records Manager	45	0	45	90	0	90
Computer Programmer	45	0	45	89	0	89
Assoc. Public Records Officers (2)	55	0	55	110	0	110
Translation Services	4	0	4	8	0	8
Archivist consultants	40	0	40	40	0	40
PS Budget Adjustments	85	0	85	31	0	31
OTPS Budget Adjustments	49	0	49	26	0	26
TOTAL, New Needs	\$418	\$0	\$418	\$584	\$0	\$584
Other Adjustments						
Records Removal	0	120	120	0	0	0
Collective Bargaining	73	16	89	71	16	87
Misc. City Adjustments	6	0	6	7	0	7
Other Categorical	0	141	141	0	0	0
State Funding	0	275	275	0	0	0
Intracity Adjustments	0	42	42	0	0	0
TOTAL, Other Adjustments	\$79	\$594	\$673	\$78	\$16	\$94
TOTAL, All Changes	\$497	\$594	\$1,091	\$662	\$16	\$678
DORIS Budget as of Fiscal 2016 Prelim Plan	\$5,524	\$827	\$6,351	\$5,693	\$249	\$5,942

Appendix B: Fiscal 2014 Preliminary Mayor's Management Report

Performance Indicators	Actual			Target		4-Month Actual	
	FY12	FY13	FY14	FY15	FY16	FY14	FY15
Records preserved and digitized	241,515	121,955	101,033	260,000	260,000	45,486	4,648
Number of library items available	345,151	352,000	358,825	*	*	354,615	361,100
Publications and reports acquired	7,382	7,205	7,547	*	*	2,770	2,775
Records accessioned in Municipal Archives (cubic ft.)	5,206	14,834	3,920	*	*	219	498
Publications and reports acquired electronically under mandate of Local Law 11 of 2003	414	2,085	1,941	*	*	665	1,290
Walk-in and program attendees at the Visitor Center	N/A	2,063	1,508	*	*	722	402
Vital record requests responded to within 12 business days (%)	76%	69%	49%	60%	60%	76%	8%
Average response time to vital record requests (days)	8.8	10.4	14.0	12.0	12.0	9.4	23.1
- Vital record requests received	35,474	30,876	38,742	*	*	9,608	18,902
Average response time to historical photo requests (days)	14.0	14.1	9.0	15.0	15.0	9.4	17.3
Photographic reproduction requests received	4,607	4,880	4,804	*	*	1,500	1,472
Information requests received	61,735	53,095	61,568	*	*	18,141	26,826
- City Hall Library	2,233	2,701	2,740	*	*	1,064	986
- Municipal Archives	58,816	50,394	58,828	*	*	17,077	25,840
Average response time to agency requests for inactive records (days)	1.3	1.2	1.0	2.0	2.0	1.0	0.8
Requests for stored records processed within 48 hours (%)	95.0%	92.0%	98.0%	*	*	96.0%	100.0%
Record retrievals	18,403	19,510	17,540	*	*	6,928	4,873
Warehouse capacity available for new accessions (%)	10%	7%	4%	*	*	4%	5%
Records transferred into Municipal Records Center (cubic ft.)	63,426	47,250	20,509	*	*	7,793	5,450
Average time between records disposal eligibility and application sent to Law Department (months)	1.1	0.6	0.6	2.0	2.0	NA	0.5
Average time for Law Department to approve records disposal application (months)	1.6	2.4	1.6	3.0	3.0	2.3	1.0
Records disposed from Municipal Records Center (cubic ft.)	2,474	18,097	11,282	*	*	1,432	2,695

According to the Preliminary Mayor's Management Report:

At the start of Fiscal 2015, the Department of Records and Information Services began development of a new portal for electronic government documents to replace the one established

in 2003 and launched a concerted effort to ensure that City agencies comply with the legislative mandate to submit their publications to the Department for online access. The outcome was a 94 percent increase in the number of City agency electronic publications acquired and made available online, to 1,290 in the first four months of Fiscal 2015, compared to 665 in the same period in FY 2014. These efforts are ongoing and the portal now holds more than 10,000 agency reports.

The Department continued to experience a notable increase in the demand for copies of historical vital records, as the result of an agreement with the world's largest online resource for family history research. The volume of these requests rose to 18,902 in the first four months of Fiscal 2015, an increase of 97 percent from 9,608 in the same period of Fiscal 2014. Although revenue derived from this service improved correspondingly, the increased demand for vital records led to a sizable increase in the average time to process requests, to 23.1 days for the first four months of Fiscal 2015, from 9.4 days for the comparable Fiscal 2014 period, and the rate of records requests processed within 12 days declined to eight percent, from 76 percent a year earlier. The average response time for historical photo requests rose to 17 days in the first four months of Fiscal 2015, from nine days in the same period of Fiscal 2014, due to reassignment of photography unit staff to work on vital records. The Department has received funding to hire temporary staff to process pending and additional vital records requests and restore these performance indicators to previous levels by the end of this fiscal year.

The quantity of records preserved and digitized increased to 4.6 million in the first four months of Fiscal 2015, from 45,000 in the same period of the previous year. This was attributable to an ongoing project in the Municipal Archives that will result in the digitization of its 9.5 million historical vital records collection.

The Department continued to retrieve client agency records from the off-site storage location well within its performance target of two days from request, and achieved 100 percent compliance with the target during the first four months of Fiscal 2015, compared to 96 percent in the same period of Fiscal 2014. The average response time to agency requests for inactive records was reduced to 0.8 days, from 1.0 days in the first four months of Fiscal 2014.

During the first four months of Fiscal 2015, the quantity of records the Department transferred to off-site storage decreased to 5,450 cubic feet, from 7,793 in the same time in Fiscal 2014. The agency directed its related resources toward disposal of eligible records in the first four months of Fiscal 2015, and disposed of 2,695 cubic feet of such material during the period, 88 percent more than the 1,432 cubic feet disposed of in the same period a year earlier. The need for additional available storage space in the Municipal Records Center motivated the concentration on disposal activities.