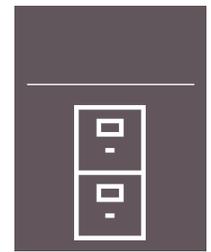


# DEPARTMENT OF RECORDS & INFORMATION SERVICES

Pauline Toole, Commissioner



## WHAT WE DO

The mission of the Department of Records and Information Services is to foster civic life by preserving and providing access to the historical and contemporary records of New York City government, to ensure that City records are properly maintained following professional archival and record management practices and to make materials available to diverse communities both online and in person at the Municipal Library, Archives and Visitor Center.

Through its website, the Department provides electronic access to nearly one million historical photographs and an expanding number of reports and publications issued by City government agencies. The Archives and Library staff currently respond to more than 76,000 requests annually, and provide the public and City agencies access to approximately 221,000 cubic feet of historically valuable City records and photographs, and a unique collection of more than 365,000 books, official government reports, studies and other publications.

The Municipal Records Management Division develops and enforces the City's record management policies, operates records storage facilities in two locations with a combined capacity of 738,000 cubic feet, and provides records management services to 50 City agencies, ten courts, and the five district attorneys' offices. Records services include scheduling, off-site storage and retrieval, and overall guidance on management of records in all media.

## FOCUS ON EQUITY

The Department of Records and Information Services is expanding access to City government history and including groups and stories largely underrepresented in that history. The Department is moving beyond traditional approaches to accession and cataloging, in addition to making documents available online that provide a more comprehensive history of City government. Using social media, community-based exhibits and multi-lingual communications, the Department is bringing primary source material to new audiences throughout the world, with a special focus on attracting and informing a more diverse demographic.

## OUR SERVICES AND GOALS

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### **SERVICE 1 Provide the public and City agencies with access to public records and publications.**

- Goal 1a Increase the volume and availability of public records and publications.
- Goal 1b Promptly respond to requests for information.

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### **SERVICE 2 Provide City agencies, the courts and district attorneys with record storage, retrieval and retention scheduling services.**

- Goal 2a Retrieve records promptly from off-site facilities upon record owner's request.
- Goal 2b Promptly transfer eligible agency records to off-site storage.
- Goal 2c Dispose of all records according to their scheduled retention period.

## HOW WE PERFORMED

- The 2.9 million records preserved and digitized in the first four months of Fiscal 2016 was more than one-third less than the 4.6 million items digitized in the first four months of Fiscal 2015. However, 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. The Department expects that by the end of Fiscal 2016 the annual quantity digitized should approach or reach the amount for Fiscal 2015.
- The quantity of government documents and reports added to the Library website portal decreased 27 percent to 2,019 for the first four months of Fiscal 2016, compared to 2,775 during the same period of Fiscal 2015. During the Fiscal 2015 four-month period, Library staff was undertaking a project to identify and obtain from agencies reports and publications that needed to be available to the public via the Library portal. This resulted in an increase in the volume of reports added to the portal, while the volume of additions to the portal returned to a more routine level in the Fiscal 2016 four-month period.
- During the first four months of Fiscal 2016, the Department's average time to respond to requests for copies of vital records improved to 8.5 days, significantly better than the 23.1 days during the first four months of Fiscal 2015 and below the 12-day annual target for this service. The related percentage of vital record requests responded to within 12 business days also improved to 83 percent in the first four months of Fiscal 2016, from 8 percent in the same period of Fiscal 2015. The improved performance in this area was due largely to the 19 percent decrease in the volume of vital records requests to 15,273 in the first four months of Fiscal 2016, compared to 18,902 during the same period of Fiscal 2015. A planned acquisition of additional vital records beginning in the second half of Fiscal 2016 will likely result in a subsequent increase in the volume of requests for copies.
- The Department had a 25 percent increase, to 21.7 days, in its average response time to requests for copies of historical photographs in the first four months of Fiscal 2016, from 17.3 days in the same period a year earlier. This reflected the 49 percent increase in requests for copies of historical photographs, to 2,196 in the Fiscal 2016 four-month period, from 1,472 in the same period of Fiscal 2015. The impact of this additional volume was also affected by temporary diversion of staff to other duties; the Department expects this response time to stabilize at improved levels over the remainder of the fiscal year.
- The Department's average time to retrieve client agencies' records from the off-site storage facility increased to 1.5 days from request in the first four months of Fiscal 2016, compared to 0.8 days in the same period of Fiscal 2015, but still within its annual target of two days from request. Staff medical problems diminished their capacity to perform this service during this period. The Department has hired temporary replacement staff and expects this and related performance levels to improve over the rest of Fiscal 2016.
- In the first four months of Fiscal 2016, the Department disposed of 921 cubic feet of records from the Municipal Records Center, a decrease of 66 percent compared to the 2,695 cubic feet of such disposals in the same period of Fiscal 2015. In the second half of Fiscal 2016, the Department will launch an initiative to dispose of a backlog of agency records that have exceeded their mandated retention periods. By the end of the year, the quantity disposed will exceed the volume reported during prior periods. The quantity of inactive records transferred into the Municipal Records Center also decreased 68 percent to 1,099 cubic feet in the Fiscal 2016 four-month period, compared to the same period the previous year. The Department expects its focus on disposal will result in continued decreases in inactive records transferred for the rest of Fiscal 2016.

## SERVICE 1 Provide the public and City agencies with access to public records and publications.

**Goal 1a** Increase the volume and availability of public records and publications.

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
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
Percent of required agency reports submitted to the Municipal Library publications portal	NA	NA	NA	100%	100%	NA	96%

★ Critical Indicator "NA" - means Not Available in this report \* No Target ↕ shows desired direction

**Goal 1b** Promptly respond to requests for information.

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
★ Vital record requests responded to within 12 business days (%)	69%	49%	17%	60%	60%	8%	83%
★ Average response time to vital record requests (days)	10.4	14.0	21.4	12.0	12.0	23.1	8.5
★ Average response time to historical photo requests (days)	14.1	9.0	17.2	15.0	15.0	17.3	21.7

★ Critical Indicator "NA" - means Not Available in this report \* No Target ↕ shows desired direction

## SERVICE 2 Provide City agencies, the courts and district attorneys with record storage, retrieval and retention scheduling services.

**Goal 2a** Retrieve records promptly from off-site facilities upon record owner's request.

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
★ Average response time to agency requests for inactive records (days)	1.2	1.0	0.9	2.0	2.0	0.8	1.5
Requests for stored records processed within 48 hours (%)	92.0%	98.0%	100.0%	*	*	100.0%	87.0%

★ Critical Indicator "NA" - means Not Available in this report \* No Target ↕ shows desired direction

**Goal 2b** Promptly transfer eligible agency records to off-site storage.

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
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

★ Critical Indicator "NA" - means Not Available in this report \* No Target ↕ shows desired direction

## Goal 2c

Dispose of all records according to their scheduled retention period.

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
★Average time between records disposal eligibility and application sent to Law Department (months)	0.6	0.6	0.5	2.0	2.0	0.5	NA
★Average time for Law Department to approve records disposal application (months)	2.4	1.6	0.8	3.0	3.0	1.0	3.8
Records disposed from Municipal Records Center (cubic ft. )	18,097	11,282	15,262	*	*	2,695	921

★ Critical Indicator "NA" - means Not Available in this report \* No Target ↕↑ shows desired direction

## AGENCY CUSTOMER SERVICE

Performance Indicators	Actual			Target		4-Month Actual	
	FY13	FY14	FY15	FY16	FY17	FY15	FY16
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

"NA" - means Not Available in this report \* No Target

## AGENCY RESOURCES

Resource Indicators	Actual			Sept. 2015 MMR Plan	Updated Plan	Plan	4-Month Actual	
	FY13	FY14	FY15	FY16	FY16 <sup>1</sup>	FY17 <sup>1</sup>	FY15	FY16
Expenditures (\$000,000) <sup>2</sup>	\$5.5	\$5.6	\$6.3	\$6.5	\$8.3	\$7.4	\$2.5	\$3.1
Revenues (\$000,000)	\$0.7	\$0.9	\$1.2	\$1.0	\$1.1	\$0.8	\$0.4	\$0.3
Personnel	49	51	53	49	60	56	49	53
Overtime paid (\$000)	\$84	\$26	\$23	\$0	\$0	\$0	\$3	\$0

<sup>1</sup>January 2016 Financial Plan    <sup>2</sup>Expenditures include all funds    "NA" - Not Available in this report

## NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department has introduced a new indicator, 'Percent of required agency reports submitted to the Municipal Library publications portal', to measure its ongoing performance in achieving agency compliance with Section 1133 of the City Charter. This requires City agencies to post all relevant publications to the Department's website, which has more than 12,000 items currently accessible to the public. The Municipal Library has determined that City agencies published 80 reports in the first four months of Fiscal 2016 required to be made available on the website. Of that total, 77 reports, or 96 percent, were submitted to the portal. The Department has set a goal of 100 percent compliance.

## ADDITIONAL RESOURCES

For more information on the agency, please visit: [www.nyc.gov/records](http://www.nyc.gov/records).