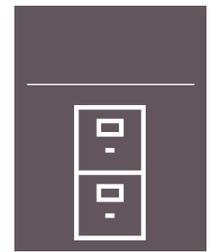


DEPARTMENT OF RECORDS & INFORMATION SERVICES

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 achieve this the Department, ensures that City records are properly maintained following professional archival and record management practices and makes materials available to diverse communities both online and in person.

The Department's website provides electronic access to more than one million historical photographs and an expanding number of reports and publications issued by City government agencies. The Archives and Library staff respond to more than 64,000 requests annually, and provide the public and City agencies access to approximately 221,000 cubic feet of City records and photographs, and a collection of more than 371,000 books, 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. Services include off-site records storage and retrieval, and providing overall guidance on the management of records in all media.

FOCUS ON EQUITY

The Department of Records and Information Services is expanding access to City government's history and including groups and stories largely underrepresented in that history. The Department is moving beyond traditional approaches to accessioning 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, with a special focus on attracting and informing a more diverse demographic.

OUR SERVICES AND GOALS

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.

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 IN 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.

During Fiscal 2016, the Department continued to ensure agencies complied with the legislative mandate to submit their publications electronically to the Department for online access. In successful outreach efforts, the Department increased the volume of submissions by 67 percent, receiving 5,610 reports from the agencies, compared to 3,364 during Fiscal 2015.

Although the quantity of archival records preserved and digitized decreased to 7.4 million during Fiscal 2016, from 10.7 million in Fiscal 2015, this volume continued to greatly exceed prior productivity, which ranged from 241,515 in Fiscal 2012 to 101,033 in Fiscal 2014. The exceptionally higher volume in Fiscal 2015 and Fiscal 2016 was attributable to a special project in the Municipal Archives to digitize the historical vital records collection. This project was completed in Fiscal 2016.

Historical records accessioned into the Municipal Archives decreased approximately 62 percent, from 2,738 cubic feet in Fiscal 2015 to 1,049 in Fiscal 2016. During Fiscal 2016, the Department identified agencies that have material to be transferred to Municipal Archives in Fiscal 2017.

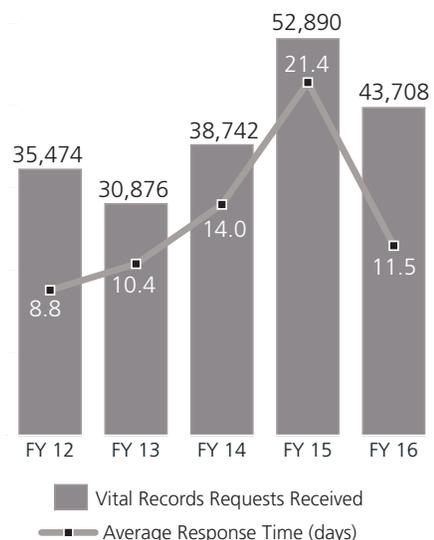
Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Records preserved and digitized	241,515	121,955	101,033	10,651,475	7,422,426	260,000	260,000	Up	Up
Number of library items available	345,151	352,000	358,825	363,997	371,208	*	*	Up	Neutral
Publications and reports acquired	7,382	7,205	7,547	7,113	10,016	*	*	Up	Up
Records accessioned by Municipal Archives (cubic ft.)	5,206	14,834	3,920	2,738	1,049	*	*	Up	Down
Walk-in and program attendees at the Visitor Center	NA	2,063	1,508	1,318	1,363	*	*	Up	NA
Percent of required agency reports submitted to the Municipal Library publications portal	NA	NA	NA	NA	60%	100%	100%	Up	NA

★ Critical Indicator "NA" - means Not Available in this report ↕ shows desired direction

Goal 1b Promptly respond to requests for information.

During Fiscal 2016, the average time to respond to requests for copies of vital records dropped to 11.5 days, compared to 21.4 days in Fiscal 2015. This improvement was due in large part to productivity gains achieved in the first few months of the fiscal year. During the latter months, staff absences and obsolete equipment resulted in an increase of this indicator to 23 days in June. The related measurement of the percentage of requests responded to within 12 days finished the year at 62 percent, a significant improvement over the 17 percent figure achieved in Fiscal 2015. This indicator had improved greatly in the first half of Fiscal 2016, to 100 percent in January and February 2016, but dramatically decreased in the following months, ending the year at 32 percent for June. Staff retirements and equipment failure account for the diminished indicator. A planned conversion to an electronic-based platform for vital records in Fiscal 2017 is expected to result in a significant improvement to the customer service measured by these indicators.

Vital Records Requests and Time to Respond



The Department experienced an increase in the volume of requests for copies of historical photographs, to 5,469 in Fiscal 2016 from 4,586 in Fiscal 2015, an increase of 19 percent. This greater volume led to an increase in the time necessary to process the requests, which rose 33 percent, to 22.9 days during Fiscal 2016, compared to 17.2 days in Fiscal 2015. In addition to the increased volume of requests, the diminished performance was affected by staff diverted to other duties.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★ Vital record requests responded to within 12 business days (%)	76%	69%	49%	17%	62%	60%	60%	Up	Down
★ Average response time to vital record requests (days)	8.8	10.4	14.0	21.4	11.5	12.0	12.0	Down	Up
★ Average response time to historical photo requests (days)	14.0	14.1	9.0	17.2	22.9	15.0	15.0	Down	Up

★ Critical Indicator "NA" - means Not Available in this report ↕ ↑ 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.

The Department continued to retrieve records from the off-site facilities upon owner-agency request well within the two-day target. The Department's performance during Fiscal 2016 (1.2 days) was essentially consistent with its performance in Fiscal 2015 (0.9 days).

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★ Average response time to agency requests for inactive records (days)	1.3	1.2	1.0	0.9	1.2	2.0	2.0	Down	Down
Requests for stored records processed within 48 hours (%)	95.0%	92.0%	98.0%	100.0%	94.0%	*	*	Up	Neutral

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

The quantity of records transferred into the Municipal Records Center (MRC) decreased substantially over the course of Fiscal 2016, to 6,668 cubic feet, down from 27,837 cubic feet in Fiscal 2015, and 20,509 in Fiscal 2014. Later in Fiscal 2016, the Department directed staff resources toward identifying records eligible for disposal. Once fully underway in Fiscal 2017, this activity should result in the ability to reduce records stored currently by the MRC and facilitate acceptance of additional agency records for storage at this off-site facility.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Warehouse capacity available for new accessions (%)	10%	7%	4%	5%	12%	*	*	Neutral	Neutral
Records transferred into Municipal Records Center (cubic ft.)	63,426	47,250	20,509	27,837	6,668	*	*	Up	Down

★ Critical Indicator "NA" - means Not Available in this report ↕ ↑ shows desired direction

Goal 2c Dispose of all records according to their scheduled retention period.

The quantity of records disposed from the Municipal Records Center increased 17 percent in Fiscal 2016 to 17,860 cubic feet, from 15,262 cubic feet in Fiscal 2015. The Department has focused resources on disposition of eligible records, as noted above, both as a matter of policy and in a renewed effort to reduce the quantity and expense of paper records kept in storage. During Fiscal 2017, the Department will oversee a significant increase in records disposal by all City agencies, including those from the Records Center, and will track and report the total volume of City government records disposed by all agencies from their offices and off-site storage facilities.

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
★Average time between records disposal eligibility and application sent to Law Department (months)	1.1	0.6	0.6	0.5	0.6	2.0	2.0	Down	Down
★Average time for Law Department to approve records disposal application (months)	1.6	2.4	1.6	0.8	2.8	3.0	3.0	Down	Up
Total records disposed by City government entities (cubic ft.)	NA	NA	NA	NA	59,232	*	*	Up	NA

★ Critical Indicator "NA" - means Not Available in this report ↕ shows desired direction

AGENCY CUSTOMER SERVICE

Performance Indicators	Actual					Target		Desired Direction	5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17		
Customer Experience									
Letters responded to in 14 days (%)	100%	92%	92%	100%	100%	*	*	Up	Neutral
E-mails responded to in 14 days (%)	100%	100%	100%	100%	100%	*	*	Up	Neutral
CORE facility rating	92	93	93	91	97	*	*	Up	Neutral

AGENCY RESOURCES

Resource Indicators	Actual ¹					Plan ²		5yr Trend
	FY12	FY13	FY14	FY15	FY16	FY16	FY17	
Expenditures (\$000,000) ³	\$5.2	\$5.5	\$5.6	\$6.3	\$8.1	\$8.3	\$7.6	Up
Revenues (\$000,000)	\$0.8	\$0.7	\$0.9	\$1.2	\$1.0	\$1.1	\$0.8	Up
Personnel	51	49	51	53	69	60	56	Up
Overtime paid (\$000)	\$0	\$84	\$26	\$23	\$0	\$0	\$0	Down

¹Actual financial amounts for the most current fiscal year are not yet final. Final fiscal year actuals, from the Comptroller's Comprehensive Annual Financial Report, will be reported in the next PMMR. Refer to the "Indicator Definitions" at nyc.gov/mmr for details. ²Authorized Budget Level ³Expenditures include all funds
 "NA" - Not Available in this report

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department has added a new performance indicator to this report—the measurement of the overall total amount of records that are disposed directly by all City government entities from their offices or off-site storage facilities. This measurement will be the sum of the existing indicator tracking the quantity of records disposed by the Department from its off-site Municipal Records Center storage facilities, which will be moved from this section of the MMR to the online MMR site, and the quantity of records disposed by all City government entities other than this Department, which now monitors such disposals.

- Fiscal 2016 data for Customers Observing and Reporting Experiences (CORE) ratings represents a change in methodology. For agencies with multiple service centers, inspectors focused on sites that had historically lower scores, specifically sites that received an average overall site score of 85 or lower over the last three years and sites that received a score of 85 or lower in Fiscal 2015. If all agency service centers scored above 85 last year, the service center with the lowest overall score was inspected.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/records.

