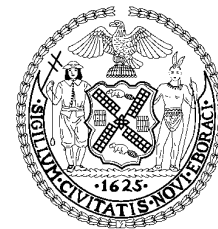
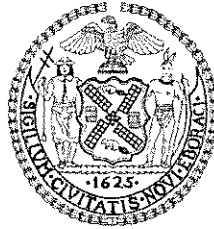


Financial Plan Statements
for
New York City
December 2012



The City of New York



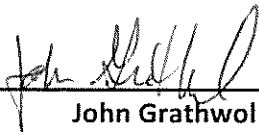
This report contains the Financial Plan Statements for December 2012 which have been prepared in accordance with the New York State Financial Emergency Act for the City of New York.

The fiscal year plan reflects the Financial Plan as submitted to the Financial Control Board on November 9, 2012.

The forecast of revenues and expenditures reflects actual revenue and expenditure performance to date and expected activity for the remainder of the fiscal year.

The actuals and projections in the forecasts are based on the best information available to the City at the date of preparation and certain assumptions and methods of estimation, which are considered reasonable and appropriate for purposes of the report as of such date.

THE CITY OF NEW YORK
BY



John Grathwol

Deputy Director for Budget Resources,
Accounting and Workforce
Office of Management and Budget



Ari Hoffnung

Deputy Comptroller for Budget and Public Affairs
Office of the Comptroller

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NOTES TO FINANCIAL PLAN STATEMENTS

I. Summary of Significant Financial Policies, Procedures and Development

A. Financial Plan Statements

The City's Financial Plan Statements represent the accounts of the General Fund and certain transactions of the Capital Projects Fund of the City, including the Department of Education and the City University of New York. They do not include the total operations of the New York City Health and Hospitals Corporation (HHC) but do include the City's subsidy to HHC and the City's share of payments to the Corporation in connection with its role as a Medicaid provider.

The City's Financial Plan Statements incorporate the policies and procedures discussed in Note B. Such data are unaudited. Prior years' balances for cash, accounts receivable and outstanding obligations are consistent with the FY 2012 audited Comprehensive Annual Financial Report (CAFR). Whenever appropriate, adjustments have been incorporated into the Financial Plan Statements as they relate to the audit of the Comprehensive Annual Financial Report (CAFR). The Financial Plan on which these statements are based was prepared in accordance with generally accepted accounting principles, except for the application of GASB 49.

B. Basis of Accounting

1. Revenues

Real estate tax revenue is recorded on the modified accrual basis of accounting, which recognizes as revenue payments received against the current year levy and late payments on prior year levies received within the first two months of the following year, reduced by estimated tax refunds to be made in the period.

Taxpayer assessed revenues (e.g. sales, income and certain excise taxes), net of estimated refunds, are recorded on a modified accrual basis. Revenues are susceptible to accrual if they are both measurable and available to be used to finance governmental operations during the year.

All other revenues are recorded when received in cash.

Federal categorical grants except as noted below are recognized as revenue as claims are filed during the year and adjusted at year-end for revenues earned but not claimed. State grants are recognized in the same manner. Advances provided to the City in anticipation of filing of claims by the City for federal and state reimbursement of Medicaid and welfare expenditures are recognized as revenue when received.

2. Expenditures

(a) Debt Service

Debt Service expenditures on general obligation issuances are recorded when City real estate tax collections are deposited into the Debt Service fund in advance of the actual debt service payment.

(b) Fixed Assets

Acquisitions of fixed assets having a useful life of more than five years and costing more than \$15,000 are treated as capital expenditures. All other acquisitions of fixed assets are treated as operating expenditures.

(c) Encumbrances

Encumbrances entered during FY 2013 for OTPS purchase orders and contracts expected to be received by June 30, 2013 are treated as expenditures.

(d) Self-Insurance

The City is self-insured with respect to most risks, including, but not limited to, property damage, personal injury, and workers' compensation. Settlements reached or judgments entered during FY 2013 are recorded when paid and adjusted at year-end for any additional unpaid settlements reached or judgments entered during FY 2013.

(e) Vacation and Sick Leave

The annual costs of actual vacation and sick leave are recorded on a cash basis.

(f) Materials and Supplies

Purchases of materials and supplies are treated as expenditures when encumbered. No inventory accounts are included in the financial statements.

(g) General Reserve

The General Reserve provides for shortfalls in revenues and overruns in uncontrollable expenditures.

3. Capital Commitments

The reporting of actual capital commitments, as well as sources and uses of capital expenditures, are based upon the accounting period of the transaction.

C. Pension Plans

The City sponsors or participates in pension plans covering all eligible employees. Most plans require employee contributions. The plans provide pension benefits based on salary and length of service. In the event of disability during employment, participants may receive retirement allowances based on satisfaction of certain service requirements and other plan provisions. The City's main pension systems are the five major actuarial systems - The New York City Employees' Retirement System, The Teachers Retirement System, The Board of Education Retirement System, The New York City Police Pension Fund, Article 2 and the Fire Department Pension Fund Article 1-B.

The City also contributed to three other actuarial systems and sponsors six non-actuarial retirements' systems for certain employees, retirees and beneficiaries not covered by any of the five major actuarial systems. In addition, the City provides cost-of-living and other supplemental pensions to certain retirees of the actuarial and non-actuarial systems.

Financial Plan Statements can be accessed through the New York City Office of Management and Budget's website at: www.nyc.gov/omb

Report No. 1 & 1A

Revenue and Obligation Forecast

**NEW YORK CITY
FINANCIAL PLAN SUMMARY
REPORT NO. 1
(MILLIONS OF DOLLARS)**

**MONTH: DECEMBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
REVENUES:							
TAXES							
GENERAL PROPERTY TAX	\$ 4,124	\$ 4,302	\$ (178)	\$ 14,456	\$ 14,598	\$ (142)	\$ 18,430
OTHER TAXES	2,889	2,767	122	10,999	10,842	157	25,409
SUBTOTAL: TAXES	\$ 7,013	\$ 7,069	\$ (56)	\$ 25,455	\$ 25,440	\$ 15	\$ 43,839
MISCELLANEOUS REVENUES	320	412	(92)	2,640	2,617	23	6,506
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-
LESS: INTRA-CITY REVENUE DISALLOWANCES	(22)	(135)	113	(329)	(366)	37	(1,704)
	-	-	-	-	-	-	(15)
SUBTOTAL: CITY FUNDS	\$ 7,311	\$ 7,346	\$ (35)	\$ 27,766	\$ 27,691	\$ 75	\$ 48,626
OTHER CATEGORICAL GRANTS	20	65	(45)	299	331	(32)	978
INTER-FUND REVENUES	26	49	(23)	138	165	(27)	538
FEDERAL CATEGORICAL GRANTS	319	455	(136)	1,382	1,889	(507)	7,262
STATE CATEGORICAL GRANTS	913	847	66	3,543	3,575	(32)	11,566
TOTAL REVENUES	\$ 8,589	\$ 8,762	\$ (173)	\$ 33,128	\$ 33,651	\$ (523)	\$ 68,970
EXPENDITURES:							
PERSONAL SERVICE	\$ 3,446	\$ 3,457	\$ 11	\$ 16,112	\$ 15,983	\$ (129)	\$ 37,356
OTHER THAN PERSONAL SERVICE	1,435	1,774	339	17,294	17,549	255	29,153
DEBT SERVICE	249	47	(202)	1,337	1,345	8	3,865
GENERAL RESERVE	-	-	-	-	-	-	300
SUBTOTAL	\$ 5,130	\$ 5,278	\$ 148	\$ 34,743	\$ 34,877	\$ 134	\$ 70,674
LESS: INTRA-CITY EXPENSES	(22)	(135)	(113)	(329)	(366)	(37)	(1,704)
TOTAL EXPENDITURES	\$ 5,108	\$ 5,143	\$ 35	\$ 34,414	\$ 34,511	\$ 97	\$ 68,970
NET TOTAL	\$ 3,481	\$ 3,619	\$ (138)	\$ (1,286)	\$ (860)	\$ (426)	\$ -

Note: For additional details on revenues, see Report No. 3. For additional details on expenditures, see Report No. 4 and the corresponding notes.

NEW YORK CITY
MONTH - BY - MONTH - REVENUE AND OBLIGATION FORECAST
REPORT NO. 1A
(MILLIONS OF DOLLARS)

MONTH: DECEMBER
FISCAL YEAR 2013

	ACTUAL						FORECAST							
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	POST JUNE	TOTAL YEAR
REVENUES:														
TAXES														
GENERAL PROPERTY TAX	\$ 8,582	\$ 198	\$ 790	\$ 684	\$ 78	\$ 4,124	\$ 2,258	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 36	\$ 140	\$ 18,430
OTHER TAXES	1,057	1,110	3,164	1,487	1,292	2,889	2,893	1,273	2,673	2,635	1,137	3,604	195	25,409
SUBTOTAL: TAXES	\$ 9,639	\$ 1,308	\$ 3,954	\$ 2,171	\$ 1,370	\$ 7,013	\$ 5,151	\$ 1,371	\$ 3,682	\$ 3,048	\$ 1,157	\$ 3,640	\$ 335	\$ 43,839
MISCELLANEOUS REVENUES	624	398	327	398	573	320	499	372	498	460	609	1,055	373	6,506
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	-
LESS: INTRA-CITY REVENUE DISALLOWANCES	(1)	(16)	(37)	(68)	(185)	(22)	(176)	(93)	(146)	(147)	(45)	(398)	(370)	(1,704)
SUBTOTAL: CITY FUNDS	\$ 10,262	\$ 1,690	\$ 4,244	\$ 2,501	\$ 1,758	\$ 7,311	\$ 5,474	\$ 1,650	\$ 4,034	\$ 3,361	\$ 1,721	\$ 4,297	\$ 323	\$ 48,626
OTHER CATEGORICAL GRANTS	17	26	137	75	24	20	55	26	75	38	22	463	-	978
INTER-FUND REVENUES	-	-	52	32	28	26	75	48	43	84	46	73	31	538
FEDERAL CATEGORICAL GRANTS	30	33	94	638	268	319	764	705	665	813	731	676	1,526	7,262
STATE CATEGORICAL GRANTS	5	9	1,475	444	697	913	1,056	959	1,273	1,131	918	1,162	1,524	11,566
TOTAL REVENUES	\$ 10,314	\$ 1,758	\$ 6,002	\$ 3,690	\$ 2,775	\$ 8,589	\$ 7,424	\$ 3,388	\$ 6,090	\$ 5,427	\$ 3,438	\$ 6,671	\$ 3,404	\$ 68,970
EXPENDITURES:														
PERSONAL SERVICE	\$ 1,996	\$ 2,107	\$ 2,827	\$ 2,852	\$ 2,884	\$ 3,446	\$ 2,922	\$ 2,772	\$ 2,868	\$ 2,788	\$ 2,847	\$ 5,129	\$ 1,918	\$ 37,356
OTHER THAN PERSONAL SERVICE	8,241	3,262	1,643	1,621	1,092	1,435	1,773	1,428	1,599	1,767	1,307	2,420	1,565	29,153
DEBT SERVICE	120	356	161	326	125	249	652	105	143	430	42	1,156	-	3,865
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300
SUBTOTAL	\$ 10,357	\$ 5,725	\$ 4,631	\$ 4,799	\$ 4,101	\$ 5,130	\$ 5,347	\$ 4,305	\$ 4,610	\$ 4,985	\$ 4,196	\$ 8,705	\$ 3,783	\$ 70,674
LESS: INTRA-CITY EXPENSES	(1)	(16)	(37)	(68)	(185)	(22)	(176)	(93)	(146)	(147)	(45)	(398)	(370)	(1,704)
TOTAL EXPENDITURES	\$ 10,356	\$ 5,709	\$ 4,594	\$ 4,731	\$ 3,916	\$ 5,108	\$ 5,171	\$ 4,212	\$ 4,464	\$ 4,838	\$ 4,151	\$ 8,307	\$ 3,413	\$ 68,970
NET TOTAL	\$ (42)	\$ (3,951)	\$ 1,408	\$ (1,041)	\$ (1,141)	\$ 3,481	\$ 2,253	\$ (824)	\$ 1,626	\$ 589	\$ (713)	\$ (1,636)	\$ (9)	\$ -

Report No. 2

Analysis of Change in Fiscal Year Plan

**NEW YORK CITY
ANALYSIS OF CHANGE IN FISCAL YEAR FORECAST
REPORT NO. 2
(MILLIONS OF DOLLARS)**

**MONTH: DECEMBER
FISCAL YEAR 2013**

DESCRIPTION	INITIAL PLAN 6/28/2012	1st QUARTER MOD CHANGES	PRELIMINARY BUDGET CHANGES	EXECUTIVE BUDGET CHANGES	ADOPTED BUDGET CHANGES	CURRENT PLAN 11/9/2012
REVENUES:						
TAXES						
GENERAL PROPERTY TAX	\$ 18,417	\$ 13	\$ -	\$ -	\$ -	\$ 18,430
OTHER TAXES	25,227	182	-	-	-	25,409
SUBTOTAL: TAXES	<u>\$ 43,644</u>	<u>\$ 195</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 43,839</u>
MISCELLANEOUS REVENUES	6,949	(443)	-	-	-	6,506
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-
LESS: INTRA-CITY REVENUE DISALLOWANCES	(1,631) (15)	(73) -	-	-	-	(1,704) (15)
SUBTOTAL: CITY FUNDS	<u>\$ 48,947</u>	<u>\$ (321)</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 48,626</u>
OTHER CATEGORICAL GRANTS	924	54	-	-	-	978
INTER-FUND REVENUES	539	(1)	-	-	-	538
FEDERAL CATEGORICAL GRANTS	6,661	601	-	-	-	7,262
STATE CATEGORICAL GRANTS	11,430	136	-	-	-	11,566
TOTAL REVENUES	<u><u>\$ 68,501</u></u>	<u><u>\$ 469</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ 68,970</u></u>
EXPENDITURES:						
PERSONAL SERVICE	\$ 37,292	\$ 64	\$ -	\$ -	\$ -	\$ 37,356
OTHER THAN PERSONAL SERVICE	28,642	511	-	-	-	29,153
DEBT SERVICE	3,898	(33)	-	-	-	3,865
GENERAL RESERVE	300	-	-	-	-	300
SUBTOTAL	<u>\$ 70,132</u>	<u>\$ 542</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 70,674</u>
LESS: INTRA-CITY EXPENSES	(1,631)	(73)	-	-	-	(1,704)
TOTAL EXPENDITURES	<u><u>\$ 68,501</u></u>	<u><u>\$ 469</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ 68,970</u></u>

Report No. 3

Revenue Activity by Major Area

NEW YORK CITY
REVENUE ACTIVITY BY MAJOR AREA (RECOGNITION BASIS)
REPORT NO. 3
(MILLIONS OF DOLLARS)

MONTH: DECEMBER
FISCAL YEAR 2013

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
TAXES:							
GENERAL PROPERTY TAX	\$ 4,124	\$ 4,302	\$ (178)	\$ 14,456	\$ 14,598	\$ (142)	\$ 18,430
PERSONAL INCOME TAX	793	738	55	3,569	3,540	29	8,493
GENERAL CORPORATION TAX	539	480	59	1,047	978	69	2,477
BANKING CORPORATION TAX	225	254	(29)	636	670	(34)	1,308
UNINCORPORATED BUSINESS TAX	132	135	(3)	489	480	9	1,770
GENERAL SALES TAX	623	619	4	2,950	2,954	(4)	6,061
REAL PROPERTY TRANSFER TAX	117	92	25	527	487	40	946
MORTGAGE RECORDING TAX	75	49	26	342	293	49	594
COMMERCIAL RENT TAX	148	147	1	312	312	-	653
UTILITY TAX	25	33	(8)	150	156	(6)	402
OTHER TAXES	172	168	4	442	436	6	1,043
TAX AUDIT REVENUES	40	52	(12)	347	348	(1)	838
STAR PROGRAM	-	-	-	188	188	-	824
SUBTOTAL TAXES	\$ 7,013	\$ 7,069	\$ (56)	\$ 25,455	\$ 25,440	\$ 15	\$ 43,839
MISCELLANEOUS REVENUES:							
LICENSES/FRANCHISES/ETC.	\$ 24	\$ 23	\$ 1	\$ 299	\$ 298	\$ 1	\$ 569
INTEREST INCOME	2	1	1	7	6	1	17
CHARGES FOR SERVICES	48	45	3	298	252	46	888
WATER AND SEWER CHARGES	84	73	11	987	932	55	1,508
RENTAL INCOME	25	33	(8)	127	139	(12)	291
FINES AND FORFEITURES	67	69	(2)	408	432	(24)	812
MISCELLANEOUS	48	33	15	185	192	(7)	717
INTRA-CITY REVENUE	22	135	(113)	329	366	(37)	1,704
SUBTOTAL MISCELLANEOUS REVENUES	\$ 320	\$ 412	\$ (92)	\$ 2,640	\$ 2,617	\$ 23	\$ 6,506
UNRESTRICTED INTGVT. AID							
FEDERAL REVENUE SHARING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
NY STATE REVENUE SHARING	-	-	-	-	-	-	-
OTHER INTGVT. AID	-	-	-	-	-	-	-
SUBTOTAL UNRESTRICTED INTGVT. AID	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
LESS: INTRA-CITY REVENUES	(22)	(135)	113	(329)	(366)	37	(1,704)
DISALLOWANCES	-	-	-	-	-	-	(15)
SUBTOTAL CITY FUNDS	\$ 7,311	\$ 7,346	\$ (35)	\$ 27,766	\$ 27,691	\$ 75	\$ 48,626

**NEW YORK CITY
REVENUE ACTIVITY BY MAJOR AREA (RECOGNITION BASIS)
REPORT NO. 3 (CONT.)
(MILLIONS OF DOLLARS)**

**MONTH: DECEMBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
OTHER CATEGORICAL GRANTS	\$ 20	\$ 65	\$ (45)	\$ 299	\$ 331	\$ (32)	\$ 978
INTER-FUND REVENUES	26	49	(23)	138	165	(27)	538
FEDERAL CATEGORICAL GRANTS							
COMMUNITY DEVELOPMENT	\$ 21	\$ 19	\$ 2	\$ 81	\$ 88	\$ (7)	\$ 229
WELFARE	227	250	(23)	737	927	(190)	3,218
EDUCATION	9	143	(134)	72	321	(249)	1,904
OTHER	62	43	19	492	553	(61)	1,911
SUBTOTAL FEDERAL CATEGORICAL GRANTS	\$ 319	\$ 455	\$ (136)	\$ 1,382	\$ 1,889	\$ (507)	\$ 7,262
STATE CATEGORICAL GRANTS							
WELFARE	\$ 130	\$ 112	\$ 18	\$ 363	\$ 409	\$ (46)	\$ 1,478
EDUCATION	714	709	5	3,023	3,050	(27)	8,388
HIGHER EDUCATION	-	-	-	47	-	47	235
HEALTH AND MENTAL HYGIENE	33	24	9	38	89	(51)	567
OTHER	36	2	34	72	27	45	898
SUBTOTAL STATE CATEGORICAL GRANTS	\$ 913	\$ 847	\$ 66	\$ 3,543	\$ 3,575	\$ (32)	\$ 11,566
TOTAL REVENUES	\$ 8,589	\$ 8,762	\$ (173)	\$ 33,128	\$ 33,651	\$ (523)	\$ 68,970

Report No. 4 & 4A

Obligation Analysis and Personnel Control Report

**NEW YORK CITY
OBLIGATION ANALYSIS
REPORT NO. 4
(MILLIONS OF DOLLARS)**

**MONTH: DECEMBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
UNIFORM FORCES							
POLICE DEPT.	\$ 576	\$ 576	\$ -	\$ 2,459	\$ 2,368	\$ (91)	\$ 4,824
FIRE DEPT.	197	204	7	925	991	66	1,876
DEPT. OF CORRECTION	116	117	1	551	550	(1)	1,065
SANITATION DEPT.	101	116	15	829	799	(30)	1,363
HEALTH & WELFARE							
ADMIN. FOR CHILD SERVICES	203	249	46	1,779	1,950	171	2,813
DEPT. OF SOCIAL SERVICES	892	939	47	4,887	4,640	(247)	9,293
DEPT. OF HOMELESS SERVICES	22	58	36	666	713	47	926
HEALTH & MENTAL HYGIENE	124	69	(55)	970	1,052	82	1,653
OTHER AGENCIES							
HOUSING PRESERVATION & DEV.	26	25	(1)	356	309	(47)	614
ENVIRONMENTAL PROTECTION	69	84	15	555	606	51	1,142
TRANSPORTATION DEPT.	70	63	(7)	517	499	(18)	826
PARKS & RECREATION DEPT.	39	35	(4)	199	190	(9)	352
DEPT. OF CITYWIDE ADMIN. SERVICES	27	19	(8)	969	1,133	164	1,221
ALL OTHER	199	250	51	2,041	2,132	91	3,376
MAJOR ORGANIZATIONS							
DEPT. OF EDUCATION	1,090	1,138	48	8,665	8,637	(28)	19,511
HIGHER EDUCATION	11	56	45	315	326	11	862
HEALTH & HOSPITALS CORP.	31	24	(7)	83	79	(4)	198
OTHER							
MISCELLANEOUS BUDGET:							
FRINGE BENEFITS	327	352	25	1,510	1,509	(1)	3,879
TRANSIT SUBSIDIES	16	83	67	574	473	(101)	786
JUDGMENTS & CLAIMS	40	39	(1)	273	273	-	735
OTHER	24	49	25	305	317	12	1,132
PENSION CONTRIBUTIONS	681	686	5	3,978	3,986	8	8,062
DEBT SERVICE	249	47	(202)	1,337	1,345	8	3,865
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-
SUBTOTAL	\$ 5,130	\$ 5,278	\$ 148	\$ 34,743	\$ 34,877	\$ 134	\$ 70,374
PLUS GENERAL RESERVE	-	-	-	-	-	-	300
LESS: INTRA-CITY EXPENSES	(22)	(135)	(113)	(329)	(366)	(37)	(1,704)
TOTAL EXPENDITURES	\$ 5,108	\$ 5,143	\$ 35	\$ 34,414	\$ 34,511	\$ 97	\$ 68,970

**NEW YORK CITY
PERSONNEL CONTROL REPORT
REPORT NO. 4A
(MILLIONS OF DOLLARS)**

**MONTH: DECEMBER
FISCAL YEAR 2013**

	FT & FTE POSITIONS		PERSONAL SERVICE (PS) COSTS						FT & FTE POSITIONS		PS COST
	CURRENT MONTH		CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR		
	ACTUAL	PLAN ¹	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN	PLAN	
UNIFORM FORCES											
POLICE DEPT.	50,448	50,251	\$ 534	\$ 516	\$ (18)	\$ 2,203	\$ 2,107	\$ (96)	50,171	\$ 4,337	
FIRE DEPT.	15,399	15,362	190	186	(4)	793	800	7	15,252	1,635	
DEPT. OF CORRECTION	10,016	10,860	116	114	(2)	475	455	(20)	10,597	943	
SANITATION DEPT.	9,285	9,363	99	89	(10)	438	400	(38)	9,328	826	
HEALTH & WELFARE											
ADMIN. FOR CHILD SERVICES	6,130	6,593	45	46	1	194	195	1	6,634	398	
DEPT. OF SOCIAL SERVICES	14,005	14,243	87	86	(1)	368	373	5	14,614	754	
DEPT. OF HOMELESS SERVICES	1,807	1,949	14	14	-	58	60	2	1,949	121	
HEALTH & MENTAL HYGIENE	5,621	6,187	42	45	3	178	194	16	6,381	391	
OTHER AGENCIES											
ENVIRONMENTAL PROTECTION	5,669	6,007	49	51	2	223	230	7	6,109	461	
TRANSPORTATION DEPT. ²	4,720	4,543	43	41	(2)	191	173	(18)	4,530	351	
PARKS & RECREATION DEPT. ³	6,348	4,901	35	26	(9)	155	139	(16)	5,915	262	
CITYWIDE ADMIN. SERVICES	2,046	2,389	17	17	-	71	72	1	2,216	143	
ALL OTHER	29,148	29,016	237	223	(14)	1,005	997	(8)	30,278	2,099	
MAJOR ORGANIZATIONS											
DEPT. OF EDUCATION	132,263	132,367	930	956	26	4,272	4,284	12	132,367	12,588	
OTHER											
MISCELLANEOUS BUDGET	-	-	327	361	34	1,510	1,518	8	-	3,985	
PENSION CONTRIBUTIONS	-	-	681	686	5	3,978	3,986	8	-	8,062	
TOTAL	292,905	294,031	\$ 3,446	\$ 3,457	\$ 11	\$ 16,112	\$ 15,983	\$ (129)	296,341	\$ 37,356	

¹ Includes planned full-time headcount and estimates of planned FTEs.

² Planned headcount excludes positions for grants that have not yet been added to the budget.

³ Planned headcount reflects the November 2012 Financial Plan and does not include Federal funding related to Hurricane Sandy.

NOTES TO REPORTS NO. 4 AND 4A

The current month, year-to-date and fiscal year plan data in Reports No. 4 and 4A reflect the Financial Plan submitted to the Financial Control Board on November 9, 2012.

There are 292,905 filled positions as of December of which 268,481 are full-time positions and 24,424 are full-time equivalent positions. For the fiscal year (June 30, 2013) 270,660 of the 296,341 positions are full-time and 25,681 are full-time equivalent positions.

In some instances prior year charges are reflected in FY 2013 year-to-date expenses. These will be journaled back to prior years at a later date.

Police Department: The \$(91) million year-to-date variance is primarily due to:

- \$(15) million in accelerated encumbrances, including \$(9) million for property and equipment and \$(6) million for contractual services, that was planned to be obligated later in the fiscal year.
- \$20 million in delayed encumbrances, including \$15 million for other services and charges and \$5 million for supplies and materials, that will be obligated later in the fiscal year.
- \$(96) million in personal services, including \$(96) million for overtime and \$(13) million for differentials, offset by \$9 million for full-time normal gross, \$3 million for fringe benefits and \$1 million for other salaried positions.

Fire Department: The \$66 million year-to-date variance is primarily due to:

- \$(6) million in accelerated encumbrances, primarily for property and equipment, that was planned to be obligated later in the fiscal year.
- \$65 million in delayed encumbrances, including \$63 million for other services and charges and \$2 million for supplies and materials, that will be obligated later in the fiscal year.
- \$7 million in personal services, including \$8 million for overtime and \$3 million for fringe benefit, offset by \$(1) million for differentials, \$(1) million for other salaried positions and \$(1) million for full-time normal gross.

Sanitation Department: The \$(30) million year-to-date variance is primarily due to:

- \$(19) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$27 million in delayed encumbrances, including \$24 million for other services and charges and \$3 million for supplies and materials, that will be obligated later in the fiscal year.

- \$(38) million in personal services, including \$(33) million for overtime, \$(4) million for differentials and \$(4) million for holiday pay, offset by \$2 million for full-time normal gross and \$1 million for fringe benefits.

Administration for Children's Services: The \$171 million year-to-date variance is primarily due to:

- \$(3) million in accelerated encumbrances, primarily for social services, that was planned to be obligated later in the fiscal year.
- \$173 million in delayed encumbrances, including \$124 million for contractual charges, \$41 million for fixed and miscellaneous charges and \$7 million for other services and charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Department of Social Services: The \$(247) million year-to-date variance is primarily due to:

- \$(309) million in accelerated encumbrances, including \$(268) million for medical assistance, \$(39) million for contractual services and \$(2) million for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$57 million in delayed encumbrances, including \$39 million for social services, \$16 million for other services and charges and \$2 million for public assistance, that will be obligated later in the fiscal year.
- \$5 million in personal services, including \$18 million for full-time normal gross, offset by \$(8) million for differentials, \$(2) million for overtime, \$(1) million for other salaried positions and \$(1) million for terminal leave.

Department of Homeless Services: The \$47 million year-to-date variance is primarily due to:

- \$(2) million in accelerated encumbrances, primarily for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$47 million in delayed encumbrances, including \$42 million for contractual services and \$4 million for other services and charges, that will be obligated later in the fiscal year.
- \$2 million in personal services.

Department of Health and Mental Hygiene: The \$82 million year-to-date variance is primarily due to:

- \$(4) million in accelerated encumbrances, primarily for social services, that was planned to be obligated later in the fiscal year.
- \$70 million in delayed encumbrances, including \$53 million for contractual services, \$10 million for other services and charges, \$4 million for supplies and materials and \$3 million for property and equipment, that will be obligated

later in the fiscal year.

- \$16 million in personal services, including \$14 million for other salaried positions and \$10 million for full-time normal gross, offset by \$(4) million for differentials, \$(2) million for overtime and \$(2) million for holiday pay.

Housing Preservation and Development: The \$(47) million year-to-date variance is primarily due to:

- \$(60) million in accelerated encumbrances, primarily for fixed and miscellaneous charges, that was planned to be obligated later in the fiscal year.
- \$12 million in delayed encumbrances, including \$9 million for contractual services and \$3 million for other services and charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Environmental Protection: The \$51 million year-to-date variance is primarily due to:

- \$(15) million in accelerated encumbrances, including \$(12) million for supplies and materials and \$(2) million for fixed and miscellaneous charges, that was planned to be obligated later in the fiscal year.
- \$59 million in delayed encumbrances, including \$55 million for other services and charges and \$3 million for property and equipment, that will be obligated later in the fiscal year.
- \$7 million in personal services, including \$14 million for full-time normal gross and \$3 million for fringe benefits, offset by \$(7) million for overtime and \$(3) million for differentials.

Transportation Department: The \$(18) million year-to-date variance is primarily due to:

- \$(16) million in accelerated encumbrances, primarily for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$16 million in delayed encumbrances, including \$10 million for contractual services and \$6 million for other services and charges, that will be obligated later in the fiscal year.
- \$(18) million in personal services, including \$(9) million for overtime, \$(4) million for differentials and \$(3) million for other salaried positions.

Department of Citywide Administrative Services: The \$164 million year-to-date variance is primarily due to:

- \$163 million in delayed encumbrances, including \$142 million for other services and charges, \$17 million for contractual services and \$4 million for supplies and materials, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Department of Education: The \$(28) million year-to-date variance is primarily due to:

- \$(225) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$185 million in delayed encumbrances, including \$86 million for supplies and materials, \$59 million for other services and charges, \$24 million for property and equipment and \$16 million for fixed and miscellaneous charges, that will be obligated later in the fiscal year.
- \$12 million in personal services, including \$27 million for other salaried positions, \$6 million for fringe benefits and \$5 million for terminal leave, offset by \$(15) million for full-time normal gross, \$(6) million for differentials, \$(3) million for prior year charges and \$(2) million for overtime.

Higher Education: The \$11 million year-to-date variance is primarily due to:

- \$34 million in delayed encumbrances, including \$28 million for fixed and miscellaneous charges and \$6 million for other services and charges, that will be obligated later in the fiscal year.
- \$(23) million in personal services, including \$(14) million for full-time normal gross, \$(5) million for fringe benefits, \$(1) million for differentials, \$(1) million for other salaried positions and \$(1) million for overtime.

Miscellaneous Budget: The \$(90) million year-to-date variance is primarily due to:

- \$(1) million in fringe benefits reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$(101) million in transit subsidies reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$12 million in other reflecting delayed encumbrances, that will be obligated later in the fiscal year.

Report No. 5

Capital Commitments

**CITY OF NEW YORK
CAPITAL COMMITMENTS
REPORT NO. 5
(Dollars in Millions)**

DESCRIPTION	MONTH: DECEMBER		FISCAL YEAR: 2013		
	CURRENT MONTH		YEAR-TO-DATE		FISCAL YEAR
	ACTUAL	PLAN	ACTUAL	PLAN	PLAN
TRANSIT	\$0.0 (C) 0.0 (N)	(\$24.4) (C) 0.0 (N)	\$85.4 (C) 0.0 (N)	\$0.0 (C) 0.0 (N)	\$278.4 (C) 2.0 (N)
HIGHWAY AND STREETS	3.6 (C) 2.7 (N)	41.9 (C) 17.8 (N)	41.8 (C) 44.5 (N)	83.6 (C) 32.0 (N)	608.2 (C) 358.1 (N)
HIGHWAY BRIDGES	4.3 (C) 0.0 (N)	0.3 (C) 0.0 (N)	26.8 (C) 0.0 (N)	6.6 (C) 0.0 (N)	494.5 (C) 298.5 (N)
WATERWAY BRIDGES	0.2 (C) 0.0 (N)	0.0 (C) 0.0 (N)	(3.3) (C) (39.4) (N)	2.7 (C) 0.0 (N)	25.6 (C) 20.9 (N)
WATER SUPPLY	174.8 (C) 0.0 (N)	0.0 (C) 0.0 (N)	220.2 (C) 0.0 (N)	28.1 (C) 0.0 (N)	447.4 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	145.2 (C) 0.3 (N)	47.1 (C) 0.2 (N)	132.7 (C) 0.5 (N)	80.3 (C) 0.2 (N)	993.1 (C) 33.5 (N)
SEWERS	(3.9) (C) 0.0 (N)	36.4 (C) 0.2 (N)	174.5 (C) 0.3 (N)	96.5 (C) 0.3 (N)	480.4 (C) 0.3 (N)
WATER POLLUTION CONTROL	29.3 (C) (0.0) (N)	0.0 (C) 0.0 (N)	58.1 (C) (0.1) (N)	33.9 (C) 0.0 (N)	834.0 (C) 10.7 (N)
ECONOMIC DEVELOPMENT	0.9 (C) 0.0 (N)	0.0 (C) 0.0 (N)	132.1 (C) 2.8 (N)	13.1 (C) 0.0 (N)	1,037.2 (C) 104.6 (N)
EDUCATION	212.5 (C) 194.9 (N)	0.0 (C) 0.0 (N)	648.2 (C) 588.9 (N)	420.8 (C) 394.0 (N)	1,441.6 (C) 987.3 (N)

**SYMBOLS:
(C) CITY FUNDS
(N) NON-CITY FUNDS, FEDERAL AND OTHER SOURCES**

**CITY OF NEW YORK
CAPITAL COMMITMENTS
REPORT NO. 5
(Dollars in Millions)**

DESCRIPTION	MONTH: DECEMBER		FISCAL YEAR: 2013		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	44.6 (C) 0.0 (N)	23.7 (C) 0.0 (N)	66.2 (C) 0.0 (N)	62.8 (C) 0.0 (N)	400.1 (C) 0.0 (N)
SANITATION	196.3 (C) 0.0 (N)	(1.1) (C) 0.0 (N)	264.9 (C) 5.7 (N)	34.5 (C) 0.0 (N)	778.0 (C) 6.8 (N)
POLICE	2.0 (C) 0.0 (N)	76.7 (C) 0.0 (N)	26.6 (C) 0.0 (N)	95.1 (C) 0.0 (N)	287.9 (C) 0.0 (N)
FIRE	3.1 (C) (0.0) (N)	0.0 (C) 0.0 (N)	32.0 (C) 2.3 (N)	0.5 (C) 0.0 (N)	239.0 (C) 9.5 (N)
HOUSING	33.0 (C) 9.1 (N)	0.1 (C) 0.0 (N)	72.7 (C) 18.1 (N)	0.8 (C) 0.0 (N)	823.6 (C) 132.6 (N)
HOSPITALS	0.7 (C) 0.0 (N)	34.8 (C) 0.0 (N)	141.3 (C) 0.0 (N)	70.4 (C) 2.2 (N)	424.5 (C) 2.2 (N)
PUBLIC BUILDINGS	14.4 (C) 0.0 (N)	0.0 (C) 0.0 (N)	70.5 (C) 0.0 (N)	57.0 (C) 0.0 (N)	724.2 (C) 0.0 (N)
PARKS	11.1 (C) 0.0 (N)	13.0 (C) 0.0 (N)	127.3 (C) 12.0 (N)	31.5 (C) 0.3 (N)	1,101.3 (C) 183.8 (N)
ALL OTHER DEPARTMENTS	69.8 (C) (0.8) (N)	51.3 (C) 1.9 (N)	223.8 (C) 48.2 (N)	176.9 (C) 31.4 (N)	3,977.7 (C) 367.3 (N)
TOTAL	\$941.9 (C) \$206.3 (N)	\$299.8 (C) \$20.2 (N)	\$2,541.8 (C) \$683.9 (N)	\$1,294.8 (C) \$460.4 (N)	\$15,396.8 (C) \$2,518.2 (N)

**SYMBOLS:
(C) CITY FUNDS
(N) NON-CITY FUNDS, FEDERAL AND OTHER SOURCES**

**NEW YORK CITY
CAPITAL COMMITMENTS
REPORT NO. 5
(MILLIONS IN DOLLARS)**

Month: December

Fiscal Year: 2013

City Funds:

Total Authorized Commitment Plan	\$15,397
Less: Reserve for Unattained Commitments Commitment Plan	<u>(4,357)</u>
	<u>\$11,040</u>

Non-City Funds:

Total Authorized Commitment Plan	\$2,518
Less: Reserve for Unattained Commitments Commitment Plan	<u>0</u>
	<u>\$2,518</u>

Month and year-to-date variances for City funds are reported against the authorized FY 2013 Adopted Capital Commitment Plan of \$15,397 million rather than the Financial Plan level of \$11,040 million. The additional \$4,357 million of commitments is included to help the City meet its overall Financial Plan target. Aggregate commitments are not expected to exceed the approved plan level as it may be modified from time to time.

NOTES TO REPORT #5

1. Capital Commitments: Commitments are defined as awarded contracts registered with the City Comptroller except for Waterway and Highway Bridge projects performed jointly with the State. Certain non-City commitments for Bridge projects are not registered with the City Comptroller. These commitments are reported when the State advertises the work. Beginning in Fiscal Year 2000, reported education commitments have been changed to represent master contract registrations with the Comptroller. Previously, reported education commitments represented Construction Authority contract registrations.

2. Variances in year-to-date commitments of City funds through December are primarily due to timing differences.

- Waterway Bridges - Reconstruction of the Willis Avenue Bridge, totaling \$3.2 million, advanced from June 2013 to November and December 2012. Reconstruction of the Williamsburg Bridge, totaling \$9.2 million, slipped from September 2012 to February 2013. Various slippages and advances account for the remaining variance.

- Education - Construction funds for Education, totaling \$15.0 million, advanced from January 2013 to December 2012. Five-Year Educational Capital Plan, totaling \$171.1 million, advanced from January and March 2013 to December 2012. Education facilities, totaling \$41.4 million, was expended to correct conditions created by Hurricane Sandy. Various slippages and advances account for the remaining variance.

- Economic Development - Acquisition, site development, construction and reconstruction related to Economic Development, totaling \$98.0 million, advanced from June 2013 to July thru December 2012. Brooklyn Navy Yard, totaling \$6.4 million, advanced from June 2013 to October and November 2012. East Williamsburg Valley, totaling \$2.4 million, advanced from June 2013 to November 2012. Industrial and Commercial Development, City-wide, totaling \$4.3 million, advanced from June 2013 to July, August and November 2012. Modernization and reconstruction of piers, City-wide, totaling \$4.7 million, advanced from June 2013 to July thru November 2012. International business development, totaling \$2.3 million, advanced from June 2013 to November 2012. Various slippages and advances account for the remaining variance.

- Fire - Vehicle acquisition, City-wide, totaling \$14.5 million, advanced from June 2013 to July thru December 2012. Facility improvements, City-wide, totaling \$10.4 million, advanced from June 2013 to July thru

December 2012. Management information and control for the Fire Department, totaling \$6.5 million, advanced from June 2013 to August thru December 2012. Various slippages and advances account for the remaining variance.

- Highways
 - Construction and reconstruction of streets City-wide, totaling \$4.1 million, slipped from July thru December 2011 to February 2013. Sidewalk reconstruction, totaling \$6.5 million, slipped from September thru December 2012 to February 2013. Land Acquisition for streets and sewers, totaling \$25.9 million, slipped from August, September and December 2012 to February 2013. Reconstruction of streets within areas bounded by South Conduit Avenue, Queens, totaling \$6.4 million, advanced from June 2013 to July 2012. Reconstruction of SpringField Boulevard, totaling \$4.3 million, advanced from June 2013 to July 2012. Reconstruction of Woodrow Road, totaling \$2.4 million, slipped from December 2012 to February 2013. Reconstruction of Arthur Kill Road, totaling \$2.4 million, slipped from November 2012 to February 2013. Reconstruction of streets malls etc. totaling \$2.8 million, slipped from December 2012 to February 2013. Various slippages and advances account for the remaining variance.

- Highway Bridges
 - Improvements to Highway Bridges, totaling \$8.5 million, slipped from August and October 2012 to February 2013. Planned deregistration of contracts, for design costs for bridge facilities, City-wide, totaling \$1.5 million, slipped from August 2012 to February 2013, while other projects, totaling \$6.7 million, advanced from June 2013 to August thru December 2012. Reconstruction of the Belt Shore Parkway over Fresh Creek, Brooklyn, totaling \$6.5 million, advanced from June 2013 to July, August, October and December 2012. Union Port Road Bridge, over Westchester Creek, Bronx, totaling \$6.9 million, advanced from June 2013 to July 2012. Various slippages and advances account for the remaining variance.

- Housing
 - Housing authority projects, totaling \$5.9 million, advanced from June 2013 to July thru December 2012. Four Twenty One Trust Fund, totaling \$21.7 million, advanced from June 2013 to November and December 2012. Spring Creek, totaling \$4.8 million, advanced from June 2013 to November 2012. Third party transfer station, totaling \$5.9 million, advanced from June 2013 to September and December 2012. HUD multi-family program, City-wide, totaling \$6.7 million, advanced from June 2013 to December 2012. Low income rental, totaling \$12.3 million, advanced from June 2013 to July thru September, November and December 2012. Various slippages and advances account for the remaining variance.

- Parks
- Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$31.3 million, advanced from March, April and June 2013 to July thru December 2012. Acquisition of property, totaling \$7.1 million, advanced from June 2013 to October 2012. Deregistration of contracts for improvements to the Municipal Stadium, totaling \$5.4 million, occurred in November 2012. Highbridge, over Harlem River, totaling \$11.8 million, slipped from December 2012 to February 2013. Ocean Breeze reconstruction, Staten Island, totaling \$33.8 million, advanced from June 2013 to October and December 2012. Street and park tree planting, City-wide, totaling \$16.9 million, advanced from June 2013 to July thru November 2012. Deregistration of contracts for Yankee Stadium rehabilitation, totaling \$4.3 million, occurred in November 2012. Park improvements City-wide, totaling \$17.5 million, advanced from June 2013 to July thru October and December 2012. Improvements to Central Park, totaling \$2.3 million, advanced from June 2013 to August 2012. Various slippages and advances account for the remaining variance.
- Police
- Purchase of security equipment, totaling \$8.8 million, slipped from October 2012 to February 2013. Purchase of ultra-high frequency radio telephone equipment, totaling \$18.8 million, slipped from December 2012 to February 2013. Acquisition and installation of computers for the Police Department, totaling \$28.2 million, slipped from December 2012 to February 2013. Acquisition of vehicles, totaling \$14.2 million, slipped from August thru December 2012 to February 2013. Purchase of new equipment for the police department, totaling \$2.5 million, slipped from October 2012 to February 2013. Construction of the New Police Academy, totaling \$7.3 million, advanced from June 2013 to October 2012. Various slippages and advances account for the remaining variance.
- Public Buildings
- Construction and reconstruction of public buildings, City-wide, totaling \$22.9 million, advanced from January thru June 2013 to August thru December 2012 and planned deregistration, totaling \$12.3 million, slipped from July and August 2012 to February 2013. Survey in connection with Capital projects, City-wide, totaling \$6.6 million, slipped from July 2012 to February 2013. Reconstruction and improvements to long-term leased facilities, City-wide, totaling \$2.9 million, slipped from July, September and October 2012 to February 2013. Abatement of unsafe conditions, totaling \$4.4 million, slipped from July and October 2012 to February 2013. Installation of fuel facility vapor control systems, totaling \$2.4 million, advanced from June 2013 to August thru November 2012. Various slippages and advances account for the remaining variance.

- Sanitation - Collection trucks and other equipment, totaling \$25.1 million, advanced from January 2013 to July thru December 2012. Improvements to garages and other facilities, totaling \$3.6 million, slipped from September, October and December 2012 to February 2013. Reconstruction to the Marine Transfer Station, totaling \$178.7 million, advanced from January and June 2013 to December 2012. Sites for Sanitation Garages, totaling \$20.0 million, slipped from November 2012 to February 2013. Improvements to Sanitation Garage, District 1/2/5, Manhattan, totaling \$37.1 million, advanced from June 2013 to July thru September and November 2012. Purchase of electronic data processing equipment, totaling \$9.8 million, advanced from January 2013 to September thru December 2012. Recycling facility development, totaling \$3.5 million, advanced from June 2013 to August and November 2012. Various slippages and advances account for the remaining variance.

- Sewers - Construction and reconstruction of sanitary and combined sewers, City-wide, totaling \$19.7 million, advanced from June 2013 to July thru December 2012. Construction and reconstruction of storm sewers, City-wide, totaling \$30.5 million, advanced from June 2013 to July thru December 2012. Engineering, architect and other administrative costs associated with the Department of Environmental Protection, totaling \$6.6 million, slipped from July and August 2012 to February 2013. Construction of storm sewers in Rockaway Boulevard, Queens, totaling \$15.4 million, advanced from June 2013 to July 2012. Land acquisition, Staten Island, totaling \$2.0 million, advanced from June 2013 to July thru December 2012. Construction and reconstruction of Catch Basins, City-wide, totaling \$ 2.0 million, slipped from December 2012 to February 2013. Various slippages and advances account for the remaining variance.

- Water Supply - Additional Water Supply Emergency, totaling \$189.0 million, advanced from June 2013 to July thru December 2012. City Tunnel Number Three, Stage Two, totaling \$2.9 million, advanced from June 2013 to November and December 2012. Various slippages and advances account for the remaining variance.

- Water Mains - Water main extensions, City-wide, totaling \$3.2 million, advanced from April thru June 2013 to December 2012. Trunk main extensions and improvements, totaling \$14.7 million, advanced from June 2013 to November and December 2012. Croton Filtration Plant, totaling \$12.5 million, advanced from June 2013 to December 2012. Improvements to structures on watersheds outside the City, totaling \$19.8 million, advanced from March and June 2013 to December 2012. Water supply improvements, totaling \$2.3

million, advanced from June 2013 to October and December 2012. Various slippages and advances account for the remaining variance.

Water Pollution
Control

- Hunts Point Water Pollution Control Plant registrations, totaling \$2.7 million, occurred in July 2012 and October 2012. Deregistration of contracts for Ward's Island Water Pollution Control Plant, totaling \$2.4 million, occurred in August thru November 2012. Reconstruction of Water Pollution Control Projects, totaling \$15.6 million, advanced from June 2013 to July thru December 2012. Twenty Sixth Ward Water Pollution Control Plant, totaling \$6.0 million, advanced from June 2013 to August thru October 2012. Reconstruction of Jamaica Water Pollution Control Plant, totaling \$6.6 million, advanced from June 2013 to July thru December 2012. Reconstruction of Tallmans Island Water Pollution Control Plant, totaling \$4.5 million, advanced from June 2013 to July thru December 2012. Combined Sewer overflow abate, totaling \$7.9 million, advanced from May and June 2013 to December 2012. Deregistration of contracts for Newtown Creek Water Pollution Control Plant, totaling \$29.7 million, occurred in September thru November 2012. Engineering, architect and other administrative costs associated with Water Pollution Control, totaling \$10.3 million, advanced from June 2013 to November and December 2012. Bionutrient removal facilities, City-wide, totaling \$3.1 million, advanced from June 2013 to August thru December 2012. Various slippages and advances account for the remaining variance.

Others

- Purchase of electronic data processing equipment, totaling \$42.7 million, advanced from June 2013 to August thru December 2012.
- Purchase of electronic data processing equipment, totaling \$5.2 million, advanced from June 2013 to October and November 2012. Deregistration of contracts for acquisition, construction and reconstruction to leased spaces, totaling \$5.3 million, occurred in October, November and December 2012. Installation of Water Measuring Devices, totaling \$42.2 million, slipped from September and December 2012 to February 2013.

Reconstruction of Ferry Vessels, totaling \$3.3 million, advanced from June 2013 to August thru December 2012.

- Purchase of equipment for the use by the Department of Homeless Services, totaling \$5.4 million, advanced from January and June 2013 to July, August and December 2012. Congregate Facilities for the homeless, totaling \$2.4 million, advanced from January and June 2013 to July thru December 2012.
- City University improvements, City-wide, totaling \$10.2 million, advanced from June 2013 to July thru December 2012. Medgar Evers College, Brooklyn, totaling \$2.0 million, advanced from June 2013 to October 2012.
- Queens libraries system and equipment purchases, totaling \$10.4 million, slipped from July thru September 2012 to February 2013. Construction and site acquisition of Brooklyn Public Library, totaling \$3.1 million, slipped from September 2012 to February 2013. Construction, reconstruction, improvements, acquisitions, outfitting and equipment for Queens libraries, totaling \$23.2 million, slipped from July thru November 2012 to February 2013.
- Brooklyn Children's Museum, totaling \$5.8 million, slipped from September and December 2012 to February 2013. Deregistration of contracts for the Staten Island Institute of the Arts, totaling \$9.6 million, occurred in November 2012. Intrepid Sea Air and Space Museum, totaling \$3.1 million, advanced from June 2013 to November 2012. Improvements to the New York Aquarium, totaling \$11.5 million, advanced from June 2013 to December 2012.
- Improvements for surface transit service, totaling \$6.2 million, advanced from June 2013 to September 2012.
- Purchase of electronic data processing equipment, totaling \$20.1 million, advanced from June 2013 to July thru December 2012.
- Planned deregistration of contracts for Rapid and Surface Transit improvements, totaling \$24.4 million, slipped from December 2012 to February 2013. Various transit capital projects, totaling \$60.1 million, advanced from June 2013 to August 2012.

3. Variances in year-to-date commitments of non-City funds through December occurred in the Department of Education, the Department of Housing Preservation and Development, the Department of Parks and Recreation, the Department of Sanitation, the Department of Transportation and others.

- Waterway Bridges - Reconstruction of the Williamsburg Bridge, totaling \$37.3 million, slipped from September 2012 to February 2013 and \$1.4 million, in contracts were deregistered in November 2012. Various slippages and advances account for the remaining variance.
- Education - Five-Year Educational Capital Plan, totaling \$194.9 million, advanced from January thru April 2013 to December 2012. Various slippages and advances account for the remaining variance.
- Housing - Assisted living and senior housing, totaling \$6.9 million, advanced from June 2013 to December 2012. Low income rental, totaling \$4.8 million, advanced from June 2013 to July and December 2012. Supportive housing, totaling \$6.8 million, advanced from June 2013 to October 2012. Various slippages and advances account for the remaining variance.
- Highways - Highway repaving, Bronx, totaling \$6.2 million, advanced from June 2013 to October and November 2012. Resurfacing of streets, City-wide, totaling \$3.7 million, slipped from December 2012 to February 2013. Reconstruction of Wyckoff Avenue, totaling \$2.3 million, slipped from December 2012 to February 2013. Hudson Yards Manhattan, totaling \$19.3 million, advanced from June 2013 to July, October and November 2012. Various slippages and advances account for the remaining variance.
- Parks - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$4.3 million, advanced from June 2013 to July thru November 2012. Park improvements, totaling \$7.4 million, advanced from June 2013 to July thru November 2012. Various slippages and advances account for the remaining variance.
- Sanitation - Recycling facility development, totaling \$4.6 million, advanced from June 2013 to November 2012. Various slippages and advances account for the remaining variance.
- Others - Improvements for surface transit service, totaling \$6.2 million, advanced from June 2013 to September 2012.

- Installation of Traffic Signals, totaling \$13.8 million, slipped from July thru September 2012 to February 2013. Bus rapid transit, totaling \$13.2 million, advanced from June 2013 to November and December 2012.

Report No. 5A

Capital Cash Flow

**CITY OF NEW YORK
CAPITAL CASHFLOW
REPORT NO. 5A
(Dollars in Millions)**

DESCRIPTION	MONTH: DECEMBER		FISCAL YEAR: 2013	
	CURRENT MONTH ACTUAL		YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
TRANSIT	\$0.0 (C) 0.0 (N)		\$85.4 (C) 0.0 (N)	\$87.7 (C) 4.5 (N)
HIGHWAY AND STREETS	16.5 (C) 4.0 (N)		94.0 (C) 23.4 (N)	408.4 (C) 123.1 (N)
HIGHWAY BRIDGES	12.7 (C) 9.3 (N)		72.5 (C) 72.7 (N)	216.0 (C) 144.8 (N)
WATERWAY BRIDGES	7.5 (C) 18.9 (N)		41.7 (C) 74.7 (N)	160.2 (C) 114.2 (N)
WATER SUPPLY	8.1 (C) 0.0 (N)		48.1 (C) 0.0 (N)	253.0 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	74.5 (C) 0.2 (N)		407.1 (C) 0.9 (N)	680.0 (C) 12.5 (N)
SEWERS	20.9 (C) 1.0 (N)		99.8 (C) 3.6 (N)	306.1 (C) (1.3) (N)
WATER POLLUTION CONTROL	58.0 (C) 3.8 (N)		393.1 (C) 25.7 (N)	645.4 (C) 42.2 (N)
ECONOMIC DEVELOPMENT	22.8 (C) 2.4 (N)		90.2 (C) 11.7 (N)	285.4 (C) 43.1 (N)
EDUCATION	0.0 (C) 0.0 (N)		510.0 (C) 513.5 (N)	1,121.6 (C) 1,126.7 (N)

SYMBOLS:

(C) CITY FUNDS

(N) NON-CITY FUNDS, FEDERAL AND OTHER SOURCES

**CITY OF NEW YORK
CAPITAL CASHFLOW
REPORT NO. 5A
(Dollars in Millions)**

DESCRIPTION	MONTH: DECEMBER	FISCAL YEAR: 2013	FISCAL YEAR
	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	PLAN
CORRECTION	5.9 (C)	47.4 (C)	167.9 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
SANITATION	31.0 (C)	155.0 (C)	255.3 (C)
	0.0 (N)	0.0 (N)	1.7 (N)
POLICE	26.9 (C)	166.8 (C)	273.9 (C)
	0.0 (N)	0.0 (N)	(3.2) (N)
FIRE	22.8 (C)	49.7 (C)	94.2 (C)
	(0.0) (N)	0.0 (N)	4.1 (N)
HOUSING	22.3 (C)	148.1 (C)	212.9 (C)
	7.0 (N)	40.9 (N)	58.0 (N)
HOSPITALS	39.6 (C)	102.2 (C)	119.1 (C)
	0.0 (N)	1.6 (N)	1.2 (N)
PUBLIC BUILDINGS	12.2 (C)	56.5 (C)	186.2 (C)
	0.0 (N)	0.0 (N)	0.2 (N)
PARKS	24.6 (C)	164.5 (C)	342.1 (C)
	1.1 (N)	9.9 (N)	69.8 (N)
ALL OTHER DEPARTMENTS	93.1 (C)	483.7 (C)	1,506.5 (C)
	9.7 (N)	74.8 (N)	164.8 (N)
TOTAL	\$499.6 (C)	\$3,215.8 (C)	\$7,321.8 (C)
	\$57.4 (N)	\$853.5 (N)	\$1,906.4 (N)

**SYMBOLS:
(C) CITY FUNDS
(N) NON-CITY FUNDS, FEDERAL AND OTHER SOURCES**

Report No. 6 & 6A

Month-by-Month Cash Flow Forecast

NEW YORK CITY
MONTH - BY - MONTH CASH FLOW FORECAST
REPORT NO. 6
(MILLIONS OF DOLLARS)

MONTH: DECEMBER
FISCAL YEAR 2013

	ACTUAL						FORECAST						12 Months	ADJUSTMENTS	TOTAL	
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN				
CASH INFLOWS																
CURRENT																
GENERAL PROPERTY TAX	\$ 3,091	\$ 198	\$ 790	\$ 784	\$ 78	\$ 4,124	\$ 2,158	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 3,536	\$ 16,299	\$ 2,131	\$ 18,430	
OTHER TAXES	495	1,120	3,013	1,622	1,239	2,854	2,903	1,365	2,527	2,754	1,141	3,623	24,656	753	25,409	
FEDERAL CATEGORICAL GRANTS	112	161	30	151	239	290	527	405	1,105	507	555	1,040	5,122	2,140	7,262	
STATE CATEGORICAL GRANTS	289	663	1,149	120	586	619	86	231	2,363	182	1,457	1,678	9,423	2,143	11,566	
OTHER CATEGORICAL GRANTS	61	163	213	(113)	(12)	53	16	72	45	68	25	277	868	110	978	
UNRESTRICTED (NET OF DISALL.)	-	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)	
MISCELLANEOUS REVENUES	623	382	290	330	388	298	323	279	352	313	564	657	4,799	3	4,802	
INTER-FUND REVENUES	-	-	52	32	28	26	75	48	43	84	46	73	507	31	538	
SUBTOTAL	\$ 4,671	\$ 2,687	\$ 5,537	\$ 2,926	\$ 2,546	\$ 8,264	\$ 6,088	\$ 2,498	\$ 7,444	\$ 4,321	\$ 3,808	\$ 10,884	\$ 61,674	\$ 7,296	\$ 68,970	
PRIOR																
OTHER TAXES	781	217	-	-	-	-	-	-	-	-	-	-	998	-	998	
FEDERAL CATEGORICAL GRANTS	39	460	465	160	363	362	111	34	116	22	43	160	2,335	821	3,156	
STATE CATEGORICAL GRANTS	142	357	96	487	270	145	53	46	149	9	45	90	1,889	1,542	3,431	
OTHER CATEGORICAL GRANTS	4	32	21	177	14	2	11	2	2	2	3	3	273	49	322	
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	5	5	
MISC. REVENUE/IFA	2	-	128	-	-	-	-	-	-	-	-	-	130	(130)	-	
SUBTOTAL	\$ 968	\$ 1,066	\$ 710	\$ 824	\$ 647	\$ 509	\$ 175	\$ 82	\$ 267	\$ 33	\$ 91	\$ 253	\$ 5,625	\$ 2,287	\$ 7,912	
CAPITAL																
CAPITAL TRANSFERS	766	174	1,085	469	559	337	815	518	846	982	731	741	8,023	(701)	7,322	
FEDERAL AND STATE	243	37	401	6	143	31	218	52	134	47	72	522	1,906	-	1,906	
OTHER																
SENIOR COLLEGES	313	-	-	-	416	-	310	292	531	1	5	468	2,336	(313)	2,023	
HOLDING ACCT. & OTHER ADJ.	3	-	15	(4)	3	(3)	(14)	-	-	-	-	-	-	-	-	
OTHER SOURCES	-	-	16	315	34	10	-	-	-	-	-	109	484	-	484	
TOTAL INFLOWS	\$ 6,964	\$ 3,964	\$ 7,764	\$ 4,536	\$ 4,348	\$ 9,148	\$ 7,592	\$ 3,442	\$ 9,222	\$ 5,384	\$ 4,707	\$ 12,977	\$ 80,048	\$ 8,569	\$ 88,617	
CASH OUTFLOWS																
CURRENT																
PERSONAL SERVICE	\$ 1,395	\$ 2,685	\$ 2,754	\$ 2,875	\$ 2,657	\$ 3,128	\$ 2,922	\$ 2,772	\$ 3,447	\$ 2,788	\$ 2,847	\$ 4,232	\$ 34,502	\$ 2,854	\$ 37,356	
OTHER THAN PERSONAL SERVICE	1,624	1,659	2,131	2,048	1,375	2,258	2,127	2,061	2,048	2,036	1,770	3,394	24,531	3,218	27,749	
DEBT SERVICE	522	240	195	375	254	116	651	294	324	429	196	269	3,865	-	3,865	
SUBTOTAL	\$ 3,541	\$ 4,584	\$ 5,080	\$ 5,298	\$ 4,286	\$ 5,502	\$ 5,700	\$ 5,127	\$ 5,819	\$ 5,253	\$ 4,813	\$ 7,895	\$ 62,898	\$ 6,072	\$ 68,970	
PRIOR																
PERSONAL SERVICE	1,570	786	17	11	32	30	28	10	6	63	88	81	2,722	1,083	3,805	
OTHER THAN PERSONAL SERVICE	595	490	-	2	398	93	72	383	89	216	112	139	2,589	2,688	5,277	
OTHER TAXES	59	135	-	-	-	-	-	-	-	-	-	-	194	-	194	
DISALLOWANCE RESERVE	10	-	-	-	-	-	-	-	-	-	-	-	10	987	997	
SUBTOTAL	\$ 2,234	\$ 1,411	\$ 17	\$ 13	\$ 430	\$ 123	\$ 100	\$ 393	\$ 95	\$ 279	\$ 200	\$ 220	\$ 5,515	\$ 4,758	\$ 10,273	
CAPITAL																
CITY DISBURSEMENTS	582	435	664	511	523	500	875	500	742	662	693	635	7,322	-	7,322	
FEDERAL AND STATE	231	51	235	72	206	57	288	77	266	54	292	77	1,906	-	1,906	
OTHER																
SENIOR COLLEGES	119	116	166	165	165	220	139	171	249	171	171	171	2,023	-	2,023	
OTHER USES	439	45	-	-	-	-	-	-	-	-	-	-	484	-	484	
TOTAL OUTFLOWS	\$ 7,146	\$ 6,642	\$ 6,162	\$ 6,059	\$ 5,610	\$ 6,402	\$ 7,102	\$ 6,268	\$ 7,171	\$ 6,419	\$ 6,169	\$ 8,998	\$ 80,148	\$ 10,830	\$ 90,978	
NET CASH FLOW	\$ (182)	\$ (2,678)	\$ 1,602	\$ (1,523)	\$ (1,262)	\$ 2,746	\$ 490	\$ (2,826)	\$ 2,051	\$ (1,035)	\$ (1,462)	\$ 3,979	\$ (100)	\$ (2,261)	\$ (2,361)	
BEGINNING BALANCE	\$ 7,493	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 6,196	\$ 6,686	\$ 3,860	\$ 5,911	\$ 4,876	\$ 3,414	\$ 7,493			
ENDING BALANCE	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 6,196	\$ 6,686	\$ 3,860	\$ 5,911	\$ 4,876	\$ 3,414	\$ 7,393	\$ 7,393			

NEW YORK CITY
MONTH - BY - MONTH CASH FLOW FORECAST
REPORT NO. 6A
(MILLIONS OF DOLLARS)

MONTH: DECEMBER
FISCAL YEAR 2013

	ACTUAL						FORECAST						12 Months	ADJUST- MENTS	TOTAL
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN			
SENIOR COLLEGES															
SENIOR COLLEGES COST (OUTFLOW)	\$ (119)	\$ (116)	\$ (166)	\$ (165)	\$ (165)	\$ (220)	\$ (139)	\$ (171)	\$ (249)	\$ (171)	\$ (171)	\$ (171)	\$ (2,023)	\$ -	\$ (2,023)
SENIOR COLLEGES INFLOW - CURRENT	-	-	-	-	191	-	310	292	531	1	5	468	1,798	225	2,023
SENIOR COLLEGES INFLOW - PRIOR	313	-	-	-	225	-	-	-	-	-	-	-	538	(538)	-
NET SENIOR COLLEGES	\$ 194	\$ (116)	\$ (166)	\$ (165)	\$ 251	\$ (220)	\$ 171	\$ 121	\$ 282	\$ (170)	\$ (166)	\$ 297	\$ 313	\$ (313)	\$ -
CAPITAL															
<u>CURRENT CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	200	1,025	32	1,146	217	699	406	1,061	1,200	-	-	1,186	7,172	-	7,172
(INC)/DEC RESTRICTED CASH	312	(923)	881	(821)	283	(362)	409	(543)	(354)	982	731	(445)	150	-	150
SUBTOTAL	\$ 512	\$ 102	\$ 913	\$ 325	\$ 500	\$ 337	\$ 815	\$ 518	\$ 846	\$ 982	\$ 731	\$ 741	\$ 7,322	\$ -	\$ 7,322
<u>PRIOR CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
(INC)/DEC RESTRICTED CASH	254	72	172	144	59	-	-	-	-	-	-	-	701	(701)	-
SUBTOTAL	\$ 254	\$ 72	\$ 172	\$ 144	\$ 59	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 701	\$ (701)	\$ -
TOTAL CITY CAPITAL TRANSFERS	\$ 766	\$ 174	\$ 1,085	\$ 469	\$ 559	\$ 337	\$ 815	\$ 518	\$ 846	\$ 982	\$ 731	\$ 741	\$ 8,023	\$ (701)	\$ 7,322
<u>FEDERAL AND STATE - INFLOWS:</u>															
CURRENT	\$ 5	\$ 37	\$ 401	\$ 6	\$ 143	\$ 31	\$ 218	\$ 52	\$ 134	\$ 47	\$ 72	\$ 522	\$ 1,668	\$ 238	\$ 1,906
PRIOR	238	-	-	-	-	-	-	-	-	-	-	-	238	(238)	-
TOTAL FEDERAL AND STATE INFLOWS	\$ 243	\$ 37	\$ 401	\$ 6	\$ 143	\$ 31	\$ 218	\$ 52	\$ 134	\$ 47	\$ 72	\$ 522	\$ 1,906	\$ -	\$ 1,906
<u>CAPITAL OUTFLOWS:</u>															
CITY DISBURSEMENTS	\$ (582)	\$ (435)	\$ (664)	\$ (511)	\$ (523)	\$ (500)	\$ (875)	\$ (500)	\$ (742)	\$ (662)	\$ (693)	\$ (635)	\$ (7,322)	\$ -	\$ (7,322)
FEDERAL AND STATE	(231)	(51)	(235)	(72)	(206)	(57)	(288)	(77)	(266)	(54)	(292)	(77)	(1,906)	-	(1,906)
TOTAL OUTFLOWS	\$ (813)	\$ (486)	\$ (899)	\$ (583)	\$ (729)	\$ (557)	\$ (1,163)	\$ (577)	\$ (1,008)	\$ (716)	\$ (985)	\$ (712)	\$ (9,228)	\$ -	\$ (9,228)
<u>NET CAPITAL:</u>															
NET CITY CAPITAL	\$ 184	(261)	421	(42)	36	(163)	(60)	18	104	320	38	106	701	(701)	-
NET NON-CITY CAPITAL	12	(14)	166	(66)	(63)	(26)	(70)	(25)	(132)	(7)	(220)	445	-	-	-
NET TOTAL CAPITAL	\$ 196	\$ (275)	\$ 587	\$ (108)	\$ (27)	\$ (189)	\$ (130)	\$ (7)	\$ (28)	\$ 313	\$ (182)	\$ 551	\$ 701	\$ (701)	\$ -

NOTES TO REPORT #6/6A

1. **Beginning Balance**

The July 2012 beginning balance is consistent with the FY 2012 audited Comprehensive Annual Financial Report (CAFR).

2. **Ending Balances**

The actual monthly ending cash balances are subject to restatement after the completion of bank reconciliations. The June 2013 ending balance includes deferred revenue from FY 2014 prepaid Real Estate Taxes.

3. **Long Term Borrowings**

Long Term Borrowings are comprised of proceeds of City general obligation bonds, NYC TFA debt and Water Authority revenue bonds, exclusive of bonds issued for refunding.

4. **Restricted Cash Bond Proceeds**

In certain instances a portion of the proceeds from each bond issuance is for capital expenditures to be made in succeeding months. Restricted cash bond proceeds accounts have been set up for this purpose. Balances in these accounts are excluded from the cash balances that are reflected in Report #6.

5. **Cash Flow Realignment**

For Federal, State and Other Categorical Grants, a negative cash flow may result from corrections to certain grants that occur after the monthly accounting close in which cash is moved between grants and/or between current year/prior year classification. These negative cash flow transactions are accounting transactions reflected in the City's Financial Management System.