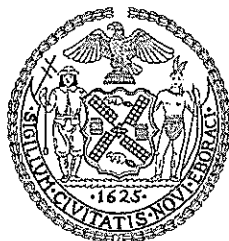


Financial Plan Statements
for
New York City
November 2011



The City of New York



This report contains Financial Plan Statements for November 2011 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 18, 2011.

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

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John Grathwol

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

Handwritten signature of Simcha Felder in black ink, positioned above a horizontal line.

Simcha Felder

Deputy Comptroller of Accountancy and Budget
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 2011 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 2012 for OTPS purchase orders and contracts expected to be received by June 30, 2012 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 2012 are recorded when paid and adjusted at year-end for any additional unpaid settlements reached or judgments entered during FY 2012.

(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 basis of reporting actual capital commitments, as well as sources and uses of capital expenditures, has been changed. Commitments and expenditures are now reported based upon the accounting period of the transaction. In prior Financial Plan Statements, these actuals were based upon dates transactions were entered in the City's Financial Management System.

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

Financial Plan Summary

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

**MONTH: NOVEMBER
FISCAL YEAR 2012**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2012		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
REVENUES:									
TAXES									
GENERAL PROPERTY TAXES	\$ 162	\$ 121	\$ 41	\$ 9,885	\$ 9,844	\$ 41	\$ 17,646	\$ 17,646	\$ -
OTHER TAXES	1,145	1,138	7	7,680	7,673	7	24,427	24,427	-
MISCELLANEOUS REVENUES	502	495	7	2,157	2,150	7	6,225	6,225	-
UNRESTRICTED INTGOVT. AID	-	3	(3)	13	16	(3)	25	25	-
LESS: INTRA-CITY REVENUES DISALLOWANCES	(167)	(167)	-	(222)	(222)	-	(1,749)	(1,749)	-
	-	-	-	-	-	-	(15)	(15)	-
SUBTOTAL	1,642	1,590	52	19,513	19,461	52	46,559	46,559	-
OTHER CATEGORICAL GRANTS	42	55	(13)	313	326	(13)	1,032	1,032	-
CAPITAL INTER-FUND TRANSFERS	45	28	17	131	114	17	550	550	-
FEDERAL GRANTS	447	693	(246)	1,170	1,416	(246)	7,570	7,570	-
STATE GRANTS	982	965	17	2,629	2,612	17	11,300	11,300	-
TOTAL REVENUES	\$ 3,158	\$ 3,331	\$ (173)	\$ 23,756	\$ 23,929	\$ (173)	\$ 67,011	\$ 67,011	\$ -
EXPENDITURES:									
PS	\$ 2,747	\$ 2,748	\$ 1	\$ 12,308	\$ 12,376	\$ 68	\$ 37,842	\$ 37,842	\$ -
OTPS	845	1,261	416	15,540	15,446	(94)	28,479	28,479	-
DEBT SERVICE	7	42	35	174	230	56	2,139	2,139	-
GENERAL RESERVE	-	-	-	-	-	-	300	300	-
SUBTOTAL	3,599	4,051	452	28,022	28,052	30	68,760	68,760	-
LESS: INTRA-CITY EXPENSES	(167)	(167)	-	(222)	(222)	-	(1,749)	(1,749)	-
TOTAL EXPENDITURES	\$ 3,432	\$ 3,884	\$ 452	\$ 27,800	\$ 27,830	\$ 30	\$ 67,011	\$ 67,011	\$ -
NET TOTAL	\$ (274)	\$ (553)	\$ 279	\$ (4,044)	\$ (3,901)	\$ (143)	\$ -	\$ -	\$ -

Note: For further details on revenue, see Report No. 3 on page 8. For further details on expenditures, see Report No. 4 on page 10 and the corresponding notes on page 13.

Report No. 1A

Month-by-Month Revenue and Obligation Forecast

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

MONTH: NOVEMBER
FISCAL YEAR 2012

	ACTUAL					FORECAST											
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	POST JUNE	TOTAL YEAR			
REVENUES:																	
TAXES																	
GENERAL PROPERTY TAXES	\$ 8,040	\$ 127	\$ 1,024	\$ 532	\$ 162	\$ 3,968	\$ 2,367	\$ 80	\$ 925	\$ 392	\$ 9	\$ 34	\$ (14)	\$ 17,646			
OTHER TAXES	1,000	1,095	3,002	1,438	1,145	2,761	2,811	1,278	2,702	2,220	1,093	3,533	349	24,427			
MISCELLANEOUS REVENUES	545	439	349	322	502	401	497	337	504	410	588	839	492	6,225			
UNRESTRICTED INTGOVT. AID	-	-	6	7	-	-	2	6	2	2	-	-	-	25			
LESS: INTRA-CITY REVENUES DISALLOWANCES	(3)	(19)	(16)	(17)	(167)	(123)	(194)	(78)	(87)	(126)	(57)	(370)	(492)	(1,749)			
	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)			
SUBTOTAL	9,582	1,642	4,365	2,282	1,642	7,007	5,483	1,623	4,046	2,898	1,633	4,036	320	46,559			
OTHER CATEGORICAL GRANTS	6	27	177	61	42	97	57	25	76	53	45	366	-	1,032			
CAPITAL INTER-FUND TRANSFERS	-	-	48	38	45	41	89	26	44	88	29	64	38	550			
FEDERAL GRANTS	57	22	296	348	447	577	717	720	591	645	730	948	1,472	7,570			
STATE GRANTS	12	1	1,479	155	982	929	962	905	1,337	868	1,044	1,061	1,565	11,300			
TOTAL REVENUES:	\$ 9,657	\$ 1,692	\$ 6,365	\$ 2,884	\$ 3,158	\$ 8,651	\$ 7,308	\$ 3,299	\$ 6,094	\$ 4,552	\$ 3,481	\$ 6,475	\$ 3,395	\$ 67,011			
EXPENDITURES:																	
PS	\$ 2,023	\$ 1,986	\$ 2,826	\$ 2,726	\$ 2,747	\$ 3,444	\$ 2,881	\$ 2,704	\$ 2,858	\$ 2,785	\$ 2,809	\$ 6,257	\$ 1,796	\$ 37,842			
OTPS	8,310	2,644	2,267	1,474	845	1,683	1,875	1,388	1,849	1,633	1,350	1,990	1,171	28,479			
DEBT SERVICE	95	71	(4)	5	7	43	406	172	138	351	92	763	-	2,139			
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300			
SUBTOTAL	10,428	4,701	5,089	4,205	3,599	5,170	5,162	4,264	4,845	4,769	4,251	9,010	3,267	68,760			
LESS: INTRA-CITY EXPENSES	(3)	(19)	(16)	(17)	(167)	(123)	(194)	(78)	(87)	(126)	(57)	(370)	(492)	(1,749)			
TOTAL EXPENDITURES	\$ 10,425	\$ 4,682	\$ 5,073	\$ 4,188	\$ 3,432	\$ 5,047	\$ 4,968	\$ 4,186	\$ 4,758	\$ 4,643	\$ 4,194	\$ 8,640	\$ 2,775	\$ 67,011			
NET TOTAL	\$ (768)	\$ (2,990)	\$ 1,292	\$ (1,304)	\$ (274)	\$ 3,604	\$ 2,340	\$ (887)	\$ 1,336	\$ (91)	\$ (713)	\$ (2,165)	\$ 620	\$ -			

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: NOVEMBER
FISCAL YEAR 2012**

DESCRIPTION	INITIAL PLAN 6/29/2011	CHANGES FROM INITIAL PLAN	CHANGES FROM PREVIOUS FORECAST
REVENUES:			
TAXES			
GENERAL PROPERTY TAXES	\$ 17,625	\$ 21	\$ -
OTHER TAXES	24,412	15	-
MISCELLANEOUS REVENUES	5,955	270	-
UNRESTRICTED INTERGOVERNMENTAL AID	37	(12)	-
LESS:INTRA-CITY REVENUES	(1,549)	(200)	-
DISALLOWANCES	(15)	-	-
SUBTOTAL	46,465	94	-
OTHER CATEGORICAL GRANTS	1,193	(161)	-
CAPITAL INTERFUND TRANSFERS	549	1	-
FEDERAL GRANTS	6,674	896	-
STATE GRANTS	11,030	270	-
TOTAL REVENUES	\$ 65,911	\$ 1,100	\$ -
EXPENDITURES:			
PERSONAL SERVICE	\$ 37,239	\$ 603	\$ -
OTHER THAN PERSONAL SERVICE	27,682	797	-
DEBT SERVICE	2,239	(100)	-
GENERAL RESERVE	300	-	-
SUBTOTAL	67,460	1,300	-
LESS:INTRA-CITY EXPENDITURES	(1,549)	(200)	-
TOTAL EXPENDITURES	\$ 65,911	\$ 1,100	\$ -

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: NOVEMBER
FISCAL YEAR 2012**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2012		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
TAXES:									
GENERAL PROPERTY TAXES	\$ 162	\$ 121	\$ 41	\$ 9,885	\$ 9,844	\$ 41	\$ 17,646	\$ 17,646	\$ -
PERSONAL INCOME TAX	471	459	12	2,722	2,710	12	8,037	8,037	-
GENERAL CORPORATION TAX	72	32	40	588	548	40	2,625	2,625	-
BANKING CORPORATION TAX	(20)	(4)	(16)	240	256	(16)	1,298	1,298	-
UNINCORPORATED BUSINESS TAX	(1)	(3)	2	349	347	2	1,798	1,798	-
GENERAL SALES TAX	440	452	(12)	2,229	2,241	(12)	5,867	5,867	-
REAL PROPERTY TRANSFER TAX	42	54	(12)	378	390	(12)	853	853	-
MORTGAGE RECORDING TAX	33	40	(7)	209	216	(7)	508	508	-
COMMERCIAL RENT TAX	3	3	-	162	162	-	622	622	-
UTILITY TAX	27	24	3	124	121	3	416	416	-
OTHER TAXES	22	33	(11)	264	275	(11)	941	941	-
TAX AUDIT REVENUES *	56	48	8	237	229	8	670	670	-
STAR PROGRAM	-	-	-	178	178	-	792	792	-
TOTAL TAXES	\$ 1,307	\$ 1,259	\$ 48	\$ 17,565	\$ 17,517	\$ 48	\$ 42,073	\$ 42,073	\$ -
MISCELLANEOUS REVENUES:									
LICENSES/FRANCHISES/ETC.	96	88	8	272	264	8	543	543	-
INTEREST INCOME	1	1	-	6	6	-	17	17	-
CHARGES FOR SERVICES	38	41	(3)	250	253	(3)	827	827	-
WATER AND SEWER CHARGES	102	102	-	799	799	-	1,435	1,435	-
RENTAL INCOME	15	18	(3)	85	88	(3)	279	279	-
FINES AND FORFEITURES	69	58	11	340	329	11	781	781	-
MISCELLANEOUS	14	20	(6)	183	189	(6)	594	594	-
INTRA-CITY REVENUE	167	167	-	222	222	-	1,749	1,749	-
TOTAL MISCELLANEOUS	\$ 502	\$ 495	\$ 7	\$ 2,157	\$ 2,150	\$ 7	\$ 6,225	\$ 6,225	\$ -

* The financial plan as submitted on November 18, 2011 reflects \$670 million in Tax Audit Revenues, anticipated to be collected as follows:

	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	FISCAL YEAR 2012 PLAN
GENERAL SALES TAX	\$ 1	\$ 4	\$ 23
PERSONAL INCOME TAX	-	10	40
GENERAL CORPORATION TAX	38	116	390
COMMERCIAL RENT TAX	2	4	15
BANKING CORPORATION TAX	11	78	110
UTILITY TAX	-	4	8
UNINCORPORATED BUSINESS TAX	3	18	68
REAL PROPERTY TRANSFER TAX	-	-	6
OTHER TAXES	1	3	10
TOTAL	\$ 56	\$ 237	\$ 670

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

MONTH: NOVEMBER
FISCAL YEAR 2012

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2012		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNRESTRICTED INTGOVT. AID									
FEDERAL REVENUE SHARING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
NY STATE REVENUE SHARING	-	-	-	-	-	-	-	-	-
OTHER INTGOVT. AID	-	3	(3)	13	16	(3)	25	25	-
TOTAL UNRESTRICTED INTG.	\$ -	\$ 3	\$ (3)	\$ 13	\$ 16	\$ (3)	\$ 25	\$ 25	\$ -
OTHER CATEGORICAL GRANTS	42	55	(13)	313	326	(13)	1,032	1,032	-
CAPITAL INTER-FUND TRANSFERS	45	28	17	131	114	17	550	550	-
LESS: INTRA-CITY REVENUES	(167)	(167)	-	(222)	(222)	-	(1,749)	(1,749)	-
LESS: DISALLOWANCES	-	-	-	-	-	-	(15)	(15)	-
FEDERAL GRANTS									
COMMUNITY DEVELOPMENT	20	20	-	74	74	-	246	246	-
WELFARE	256	254	2	690	688	2	3,247	3,247	-
EDUCATION	88	221	(133)	150	283	(133)	2,034	2,034	-
OTHER	83	198	(115)	256	371	(115)	2,043	2,043	-
TOTAL FEDERAL GRANTS	\$ 447	\$ 693	\$ (246)	\$ 1,170	\$ 1,416	\$ (246)	\$ 7,570	\$ 7,570	\$ -
STATE GRANTS									
WELFARE	94	121	(27)	256	283	(27)	1,557	1,557	-
EDUCATION	870	803	67	2,276	2,209	67	8,130	8,130	-
HIGHER EDUCATION	-	-	-	41	41	-	214	214	-
HEALTH AND MENTAL HYGIENE	5	31	(26)	6	32	(26)	568	568	-
OTHER	13	10	3	50	47	3	831	831	-
TOTAL STATE GRANTS	\$ 982	\$ 965	\$ 17	\$ 2,629	\$ 2,612	\$ 17	\$ 11,300	\$ 11,300	\$ -
TOTAL REVENUES	\$ 3,158	\$ 3,331	\$ (173)	\$ 23,756	\$ 23,929	\$ (173)	\$ 67,011	\$ 67,011	\$ -

Report No. 4

Obligation Analysis

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

**MONTH: NOVEMBER
FISCAL YEAR 2012**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2012		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES									
POLICE DEPT.	\$ 359	\$ 351	\$ (8)	\$ 1,885	\$ 1,876	\$ (9)	\$ 4,908	\$ 4,908	\$ -
FIRE DEPT.	121	131	10	699	723	24	1,804	1,804	-
DEPT. OF CORRECTION	80	76	(4)	431	435	4	1,084	1,084	-
SANITATION DEPT.	56	184	128	740	683	(57)	1,333	1,333	-
HEALTH & WELFARE									
ADMIN. FOR CHILD SERVICES	183	116	(67)	1,708	1,717	9	2,894	2,894	-
DEPT. OF SOCIAL SERVICES	123	317	194	3,848	3,780	(68)	9,313	9,313	-
DEPT. OF HOMELESS SERVICES	11	20	9	658	646	(12)	871	871	-
HEALTH & MENTAL HYGIENE	63	47	(16)	947	954	7	1,638	1,638	-
OTHER AGENCIES									
HOUSING PRESERVATION & DEV.	49	17	(32)	354	262	(92)	769	769	-
ENVIRONMENTAL PROTECTION	63	65	2	485	460	(25)	1,052	1,052	-
TRANSPORTATION DEPT.	55	51	(4)	452	427	(25)	817	817	-
PARKS & RECREATION DEPT.	25	27	2	169	169	-	357	357	-
DEPT. OF CITYWIDE ADMIN. SERVICES	16	18	2	955	1,039	84	1,159	1,159	-
ALL OTHER	147	200	53	1,528	1,699	171	3,218	3,218	-
COVERED ORGANIZATIONS									
DEPT. OF EDUCATION	1,212	1,285	73	7,510	7,477	(33)	19,456	19,456	-
HIGHER EDUCATION	(34)	41	75	232	284	52	805	805	-
HEALTH & HOSPITALS CORP.	9	5	(4)	55	51	(4)	197	197	-
OTHER									
MISCELLANEOUS BUDGET:									
FRINGE BENEFITS	163	244	81	1,119	1,158	39	3,921	3,921	-
TRANSIT SUBSIDIES	144	146	2	483	489	6	745	745	-
JUDGMENTS & CLAIMS	39	36	(3)	252	132	(120)	655	655	-
OTHER	15	19	4	272	295	23	901	901	-
PENSION CONTRIBUTIONS	693	613	(80)	3,066	3,066	-	8,424	8,424	-
DEBT SERVICE	7	42	35	174	230	56	2,139	2,139	-
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-	-	-
SUB-TOTAL	\$ 3,599	\$ 4,051	\$ 452	\$ 28,022	\$ 28,052	\$ 30	\$ 68,460	\$ 68,460	\$ -
PLUS GENERAL RESERVE	-	-	-	-	-	-	300	300	-
LESS INTRA-CITY EXPENSES	(167)	(167)	-	(222)	(222)	-	(1,749)	(1,749)	-
TOTAL EXPENDITURES	\$ 3,432	\$ 3,884	\$ 452	\$ 27,800	\$ 27,830	\$ 30	\$ 67,011	\$ 67,011	\$ -

Report No. 4A & 4B

Personnel Control Reports

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

**MONTH: NOVEMBER
FISCAL YEAR 2012**

	FT & FTE POSITIONS		PERSONAL SERVICE COSTS						FT & FTE POSITIONS		PERSONAL SERVICE COSTS					
	CURRENT MONTH		CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2012 PROJECTIONS		FISCAL YEAR 2012 PROJECTIONS			FISCAL YEAR 2012 PROJECTIONS		
	ACTUAL	PLAN *	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)		
UNIFORM FORCES																
POLICE DEPT.	50,332	50,699	\$ 334	\$ 324	\$ (10)	\$ 1,670	\$ 1,651	\$ (19)	50,018	50,018	-	\$ 4,406	\$ 4,406	\$ -		
FIRE DEPT.	15,583	15,913	117	118	1	592	593	1	15,593	15,593	-	1,587	1,587	-		
DEPT. OF CORRECTION	9,770	10,508	71	68	(3)	351	361	10	10,478	10,478	-	953	953	-		
SANITATION DEPT.	9,161	9,385	61	61	-	313	310	(3)	9,382	9,382	-	813	813	-		
HEALTH & WELFARE																
ADMIN. FOR CHILD SERVICES	6,219	6,687	29	32	3	149	156	7	6,696	6,696	-	412	412	-		
DEPT. OF SOCIAL SERVICES	13,820	14,679	55	58	3	279	294	15	14,679	14,679	-	753	753	-		
DEPT. OF HOMELESS SERVICES	1,818	1,966	8	9	1	43	46	3	2,017	2,017	-	120	120	-		
HEALTH & MENTAL HYGIENE	5,671	6,388	30	31	1	143	154	11	6,523	6,523	-	401	401	-		
OTHER AGENCIES																
ENVIRONMENTAL PROTECTION	5,737	6,060	34	36	2	178	180	2	6,084	6,084	-	458	458	-		
TRANSPORTATION DEPT.	4,774	4,858	28	28	-	146	138	(8)	4,833	4,833	-	376	376	-		
PARKS & RECREATION DEPT.	5,055	5,009	19	18	(1)	121	113	(8)	5,386	5,386	-	255	255	-		
CITYWIDE ADMIN. SERVICES	2,103	2,392	11	11	-	55	55	-	2,302	2,302	-	143	143	-		
ALL OTHER	30,356	29,464	132	128	(4)	761	771	10	30,738	30,738	-	2,054	2,054	-		
COVERED ORGANIZATIONS																
DEPT. OF EDUCATION	132,042	131,282	962	969	7	3,322	3,330	8	131,282	131,282	-	12,681	12,681	-		
OTHER																
MISCELLANEOUS BUDGET	-	-	163	244	81	1,119	1,158	39	-	-	-	4,006	4,006	-		
PENSION CONTRIBUTIONS	-	-	693	613	(80)	3,066	3,066	-	-	-	-	8,424	8,424	-		
TOTAL	292,441	295,290	\$ 2,747	\$ 2,748	\$ 1	\$ 12,308	\$ 12,376	\$ 68	296,011	296,011	-	\$ 37,842	\$ 37,842	\$ -		

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

**NEW YORK CITY
PERSONNEL CONTROL REPORT
REPORT NO. 4B**

**MONTH: NOVEMBER
FISCAL YEAR 2012**

	FULL-TIME POSITIONS CURRENT MONTH			FULL-TIME POSITIONS FISCAL YEAR 2012		
	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES						
POLICE DEPT.	49,017	49,217	200	48,562	48,562	-
FIRE DEPT.	15,508	15,864	356	15,543	15,543	-
DEPT. OF CORRECTION	9,734	10,460	726	10,432	10,432	-
SANITATION DEPT.	9,059	9,253	194	9,245	9,245	-
HEALTH & WELFARE						
ADMIN. FOR CHILD SERVICES	6,178	6,628	450	6,635	6,635	-
DEPT. OF SOCIAL SERVICES	13,797	14,675	878	14,675	14,675	-
DEPT. OF HOMELESS SERVICES	1,818	1,963	145	2,014	2,014	-
HEALTH & MENTAL HYGIENE	4,559	5,069	510	5,186	5,186	-
OTHER AGENCIES						
ENVIRONMENTAL PROTECTION	5,624	5,957	333	5,972	5,972	-
TRANSPORTATION DEPT.	4,459	4,575	116	4,590	4,590	-
PARKS & RECREATION DEPT.	3,263	2,937	(326)	2,865	2,865	-
CITYWIDE ADMIN. SERVICES	1,949	2,098	149	2,019	2,019	-
ALL OTHER	24,331	24,972	641	25,285	25,285	-
COVERED ORGANIZATIONS						
DEPT. OF EDUCATION	118,544	116,312	(2,232)	116,312	116,312	-
TOTAL	267,840	269,980	2,140	269,335	269,335	-

NOTES TO REPORTS NO. 4, 4A AND 4B

The current month, year-to-date and fiscal year data in Reports No. 4, 4A & 4B reflect the Financial Plan submitted to the Financial Control Board on November 18, 2011.

There are 292,441 filled positions as of November of which 267,840 are full-time positions and 24,601 are full-time equivalent positions. Of the 292,441 filled positions, 252,764 are estimated to be wholly or partially city funded. For the fiscal year (June 30, 2012) 269,335 of the 296,011 positions are full-time and 254,890 of the 296,011 positions are estimated to be city funded positions.

In some instances prior year charges are reflected in FY 2012 year-to-date expenses. These will be journaled back to prior years at a later date.

Fire Department: The \$24 million year-to-date variance is primarily due to:

- \$(12) million in accelerated encumbrances, including \$(7) million for contractual services and \$(5) million for property and equipment, that was planned to be obligated later in the fiscal year.
- \$35 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Sanitation Department: The \$(57) million year-to-date variance is primarily due to:

- \$(70) million in accelerated encumbrances, including \$(67) million for contractual services and \$(3) million for property and equipment, that was planned to be obligated later in the fiscal year.
- \$16 million in delayed encumbrances, including \$12 million for supplies and materials and \$4 million for other services and charges, that will be obligated later in the fiscal year.

- \$(3) million in personal services, including \$(5) million in overtime, offset by \$2 million for full-time normal gross.

Department of Social Services: The \$(68) million year-to-date variance is primarily due to:

- \$(138) million in accelerated encumbrances, including \$(108) million for medical assistance, \$(19) million for contractual services and \$(10) million for other services and charges, that was planned to be obligated later in the fiscal year.
- \$55 million in delayed encumbrances, including \$28 million for social services and \$27 million for public assistance, that will be obligated later in the fiscal year.
- \$15 million in personal services, including \$18 million for full-time normal gross and \$3 million in overtime, offset by \$(5) million for differentials.

Department of Homeless Services: The \$(12) million year-to-date variance is primarily due to:

- \$(17) million in accelerated encumbrances, including \$(14) million for contractual services and \$(2) million for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$2 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$3 million in personal services, primarily for full-time normal gross.

Housing Preservation and Development: The \$(92) million year-to-date variance is primarily due to:

- \$(91) million in accelerated encumbrances, including \$(51) million for fixed and miscellaneous charges, \$(37) million for contractual services and \$(3) million for supplies and materials, that was planned to be obligated later in the

fiscal year.

- \$(1) million in personal services.

Department of Environmental Protection: The \$(25) million year-to-date variance is primarily due to:

- \$(39) million in accelerated encumbrances, including \$(16) million for contractual services, \$(13) million for supplies and materials and \$(9) million for fixed and miscellaneous charges, that was planned to be obligated later in the fiscal year.
- \$12 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$2 million in personal services.

Department of Transportation: The \$(25) million year-to-date variance is primarily due to:

- \$(33) 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, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$(8) million in personal services, including \$(4) million in overtime, \$(2) million for differentials and \$(2) million in other salaried positions.

Department of Citywide Administrative Services: The \$84 million year-to-date variance is primarily due to:

- \$84 million in delayed encumbrances, including \$60 million for other services and charges, \$21 million for contractual services and \$3 million for supplies and materials, that will be obligated later in the fiscal year.

Department of Education: The \$(33) million year-to-date variance is primarily due to:

- \$(224) million in accelerated encumbrances, including \$(221) million for contractual services and \$(3) million for property and equipment, that was planned to be obligated later in the fiscal year.
- \$183 million in delayed encumbrances, including \$114 million for supplies and materials, \$48 million for fixed and miscellaneous charges and \$21 million for other services and charges, that will be obligated later in the fiscal year.
- \$8 million in personal services, including \$22 million for full-time normal gross, \$21 million for other salaried positions and \$10 million for fringe benefits, offset by \$(42) million for prior year charges and \$(4) million for differentials.

Higher Education: The \$52 million year-to-date variance is primarily due to:

- \$(4) million in accelerated encumbrances, primarily for other services and charges, that was planned to be obligated later in the fiscal year.
- \$55 million in delayed encumbrances, primarily for fixed and miscellaneous charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Miscellaneous: The \$(52) million year-to-date variance is primarily due to:

- \$39 million in fringe benefits reflecting delayed encumbrances, that will be obligated later in the fiscal year.
- \$6 million in transit subsidies reflecting delayed encumbrances, that will be obligated later in the fiscal year.
- \$(120) million in judgments and claims reflecting prior year charges.
- \$23 million in other, that will be obligated later in the fiscal year.

Debt Service: The \$56 million year-to-date variance is primarily due to:

- \$(39) million in accelerated encumbrances primarily for costs associated with financing, blended component units and payments to counterparties that was planned to be obligated later in the fiscal year.
- \$95 million in delayed encumbrances primarily for general interest on bonds, 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: NOVEMBER		FISCAL YEAR: 2012		
	CURRENT MONTH		YEAR-TO-DATE		FISCAL YEAR
	ACTUAL	PLAN	ACTUAL	PLAN	PLAN
TRANSIT	\$0.0 (C) 0.0 (N)	\$0.0 (C) 0.0 (N)	\$35.0 (C) 0.0 (N)	\$0.0 (C) 0.0 (N)	\$171.0 (C) 32.2 (N)
HIGHWAY AND STREETS	4.5 (C) 2.1 (N)	9.5 (C) 0.5 (N)	46.1 (C) 9.7 (N)	70.7 (C) 20.5 (N)	547.7 (C) 255.4 (N)
HIGHWAY BRIDGES	15.3 (C) 46.2 (N)	0.0 (C) 0.0 (N)	21.3 (C) 46.4 (N)	5.7 (C) 0.2 (N)	354.8 (C) 403.8 (N)
WATERWAY BRIDGES	0.0 (C) (4.4) (N)	0.0 (C) 0.0 (N)	18.1 (C) (4.4) (N)	17.4 (C) 0.0 (N)	35.0 (C) 20.8 (N)
WATER SUPPLY	1.8 (C) 0.0 (N)	0.0 (C) 0.0 (N)	39.8 (C) 0.0 (N)	0.7 (C) 0.0 (N)	159.7 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	37.5 (C) 0.0 (N)	4.0 (C) 0.0 (N)	138.6 (C) 0.0 (N)	33.6 (C) 0.0 (N)	944.7 (C) 133.3 (N)
SEWERS	10.6 (C) 0.0 (N)	8.7 (C) 0.0 (N)	86.7 (C) 0.2 (N)	137.6 (C) 1.0 (N)	594.2 (C) 1.2 (N)
WATER POLLUTION CONTROL	96.3 (C) 0.0 (N)	0.0 (C) 0.0 (N)	300.5 (C) (0.0) (N)	110.9 (C) 0.0 (N)	786.4 (C) 10.7 (N)
ECONOMIC DEVELOPMENT	34.0 (C) 0.2 (N)	0.0 (C) 0.0 (N)	102.5 (C) 2.7 (N)	(1.9) (C) 0.0 (N)	861.7 (C) 144.3 (N)
EDUCATION	150.0 (C) 150.0 (N)	120.0 (C) 120.0 (N)	517.4 (C) 505.0 (N)	669.9 (C) 625.0 (N)	1,657.9 (C) 1,348.2 (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: NOVEMBER		FISCAL YEAR: 2012		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	0.3 (C) 0.0 (N)	9.8 (C) 0.0 (N)	37.0 (C) 0.0 (N)	146.7 (C) 0.0 (N)	304.2 (C) 0.0 (N)
SANITATION	28.8 (C) 0.0 (N)	32.3 (C) 0.0 (N)	227.7 (C) (0.2) (N)	248.4 (C) 0.9 (N)	652.7 (C) 5.5 (N)
POLICE	3.6 (C) 0.0 (N)	17.2 (C) 0.0 (N)	23.6 (C) 0.0 (N)	72.4 (C) 0.0 (N)	216.1 (C) 0.0 (N)
FIRE	1.0 (C) 0.0 (N)	0.4 (C) 0.0 (N)	25.6 (C) 0.0 (N)	0.1 (C) 0.0 (N)	197.0 (C) 0.3 (N)
HOUSING	2.6 (C) 8.9 (N)	0.0 (C) 0.0 (N)	38.2 (C) 12.4 (N)	10.7 (C) 8.1 (N)	612.7 (C) 244.0 (N)
HOSPITALS	2.5 (C) 0.0 (N)	12.4 (C) 0.4 (N)	65.8 (C) 2.5 (N)	21.2 (C) 0.5 (N)	374.9 (C) 0.5 (N)
PUBLIC BUILDINGS	25.0 (C) 0.0 (N)	0.1 (C) 0.0 (N)	76.4 (C) (0.0) (N)	107.9 (C) 0.0 (N)	628.7 (C) 0.4 (N)
PARKS	17.7 (C) 2.4 (N)	24.4 (C) 0.5 (N)	69.7 (C) 7.4 (N)	62.2 (C) 8.9 (N)	854.3 (C) 180.9 (N)
ALL OTHER DEPARTMENTS	45.2 (C) 1.2 (N)	10.2 (C) 0.1 (N)	140.4 (C) 23.2 (N)	102.1 (C) 14.0 (N)	3,026.5 (C) 332.9 (N)
TOTAL	\$476.7 (C) \$206.7 (N)	\$248.9 (C) \$121.6 (N)	\$2,010.3 (C) \$604.9 (N)	\$1,816.1 (C) \$679.1 (N)	\$12,980.3 (C) \$3,114.6 (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: November

Fiscal Year: 2012

City Funds:

Total Authorized Commitment Plan	\$12,980
Less: Reserve for Unattained Commitments Commitment Plan	<u>(3,631)</u> <u>\$9,349</u>

Non-City Funds:

Total Authorized Commitment Plan	\$3,115
Less: Reserve for Unattained Commitments Commitment Plan	<u>0</u> <u>\$3,115</u>

Month and year-to-date variances for City funds are reported against the authorized FY 2012 September Capital Commitment Plan of \$12,980 million rather than the Financial Plan level of \$9,349 million. The additional \$3,631 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 November are primarily due to timing differences.

- | | | |
|-------------------------|---|---|
| Correction | - | Adolescent Reception Detention Center, Riker's Island, totaling \$8.8 million, slipped from July 2011 to February 2012. Correction facilities, construction, reconstruction and improvements, City-wide, totaling \$67.8 million, slipped from July thru November 2011 to February 2012. Purchase of equipment for other use by the Department of Correction, totaling \$2.8 million, slipped from July 2011 to February 2012. Acquisition and construction of the supplementary housing program and support facilities, totaling \$10.8 million, slipped from July and August 2011 to February 2012. Purchase of computer equipment for other use by the Department of Correction, totaling \$5.9 million, slipped from July and November 2011 to February 2012. Riker's Island infrastructure, totaling \$11.5 million, slipped from July, September and October 2011 to February 2012. Construction of High Security Institution, Rikers Island, totaling \$2.1 million, slipped from July 2010 to February 2012. Various slippages and advances account for the remaining variance. |
| Education | - | Funding for the Department of Education Capital Projects, totaling \$30.0 million, slipped from October 2011 to February 2012. Five-Year Educational Capital Plan, totaling \$120.0 million, slipped from November 2011 to February 2012. Various slippages and advances account for the remaining variance. |
| Economic
Development | - | Acquisition, site development, construction and reconstruction related to Economic Development, totaling \$71.1 million, advanced from December 2011 and June 2012 to July, August and November 2011, and contract deregistration, totaling \$1.9 million, slipped from July and August 2011 to February 2012. Development of the Brooklyn Navy Yard, totaling \$11.4 advanced from June 2012 to November 2011. |

Brooklyn Army Terminal, totaling \$6.6 million, advanced from June 2012 to August thru November 2011. Economic Development for industrial, waterfront and commercial purpose, totaling \$9.6 million, advanced from June 2012 to November 2011. Modernization and reconstruction of piers, City-wide, totaling \$4.5 million, advanced from June 2012 to August, October and November 2011. Various slippages and advances account for the remaining variance.

- Fire - Vehicle acquisition, City-wide, totaling \$15.4 million, advanced from June 2012 to July thru November 2011. Facility improvements, City-wide, totaling \$8.2 million, advanced from May and June 2012 to July, and September thru November 2011. Various slippages and advances account for the remaining variance.
- Housing - Deregistration of contracts for Housing authority projects, totaling \$5.6 million, occurred in October 2011. Seaview Senior Housing, totaling \$13.5 million, advanced from June 2012 to October 2011. Queens West, totaling \$8.5 million, advanced from June 2012 to September 2011. Computer purchases and upgrade, totaling \$2.7 million, advanced from June 2012 to July 2011 thru October 2011. Low income rental program, totaling \$5.9 million, advanced from June 2012 to August 2011. Various slippages and advances account for the remaining variance.
- Highway Bridges - Protection against Marine Borers, City-wide, totaling \$18.0 million, advanced from March and June 2012 to November 2011. Deregistration of contracts for the reconstruction of Francis Lewis Boulevard, totaling \$2.3 million, occurred in November 2011. Various slippages and advances account for the remaining variance.
- Highways - Construction and reconstruction of streets City-wide, totaling \$6.3 million, slipped from July thru September 2011 and November 2011 to February 2012. Sidewalk reconstruction, totaling \$3.1 million, slipped from August, September and November 2011 to February 2012. Resurfacing of streets, City-wide, totaling \$7.4 million, advanced from January and June 2012 to July thru September 2011. Land Acquisition for streets and sewers, totaling \$3.9 million, slipped from July, August and October 2011 to February 2012. Reconstruction of Tillary Street, totaling \$3.4 million, slipped from September 2011 to February 2012. Reconstruction of Arthur Kill Road, totaling \$2.5 million, slipped from November 2011 to February 2012. Reconstruction of City-owned retaining walls, City-wide, totaling \$4.2 million, slipped from

July, thru November 2011 to February 2012. Various slippages and advances account for the remaining variance.

- Parks
 - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$17.9 million, slipped from August thru November 2011 to February 2012. Construction, reconstruction of playgrounds and Recreational Facilities, totaling \$4.0 million, slipped from September 2011 to February 2012. Street and park tree planting, City-wide, totaling \$18.7 million, advanced from June 2012 to August thru November 2011. Ferry Point Park, totaling \$2.8 million, advanced from June 2012 to October and November 2011. Washington Square Park, totaling \$5.9 million, slipped from November 2011 to February 2012. High Line Park, totaling \$5.1 million advanced from June 2012 to July thru November 2011. Various slippages and advances account for the remaining variance.

- Police
 - Purchase of ultra-high frequency radio telephone equipment, totaling \$27.9 million, slipped from August thru November 2011 to February 2012. Acquisition and installation of computers for the Police Department, totaling \$6.7 million, slipped from August thru November 2011 to February 2012. Improvements to Police Department property, City-wide, totaling \$3.6 million, advanced from December 2011 to September thru November 2011. Marine launches for Harbor Unit, totaling \$4.0 million, slipped from September and October 2011 to February 2012. Acquisition of vehicles, totaling \$11.8 million, slipped from July thru November 2011 to February 2012. Purchase of new equipment for the police department, totaling \$3.1 million, slipped from July and September 2011 to February 2012. New York Public Safety answering Center, totaling \$4.0 million, advanced from December 2011 to September and October 2011. Various slippages and advances account for the remaining variance.

- Public Buildings
 - Improvements to the Queens Visitors Center, totaling \$17.2 million, slipped from September 2011 to February 2012. Construction and reconstruction of public buildings, City-wide, totaling \$27.7 million, advanced from April and June 2012 to October and November 2011. Reconstruction and improvements to long term leased facilities, City-wide, totaling \$54.9 million, slipped from July 2011 to February 2012. Board of Elections, totaling \$7.2 million, advanced from December 2011 thru April 2012 to July and October 2011. 253 Broadway, Manhattan totaling \$2.4 million, advanced from June 2012 to August thru November 2011. Various slippages and advances account for the remaining variance.

- Sanitation - Collection trucks and other equipment, totaling \$58.0 million, advanced from December 2011 and January 2012 to July thru November 2011. Improvements to garages and other facilities, totaling \$4.2 million, slipped from October and November to February 2012. Site acquisition for sanitation garages, City-wide, totaling \$20.0 million, slipped from November 2011 to February 2012. Construction of salt storage sheds, totaling \$11.2 million, slipped from August thru November 2011 to February 2012. Improvements to Sanitation Garage District 1/2/5, Manhattan, totaling \$2.9 million, slipped from September and October 2011 to February 2012. Purchase of electronic data processing, totaling \$45.4 million, slipped from September and October 2011 to February 2012. A planned contract deregistration for improvements to Sanitation Garage District 4/4A/7, totaling \$1.3 million, slipped from November 2011 to February 2012. Reconstruction of leased facility, totaling \$2.6 million, advanced from June 2012 to November 2011.

- Sewers - Construction and reconstruction of sanitary and combined sewers, City-wide, totaling \$15.2 million, slipped from July thru November 2011 to February 2012. Construction and reconstruction of storm sewers, City-wide, totaling \$37.9 million, slipped from July thru November 2011 to February 2012. Acquisition of land pursuant to storm water management program, Staten Island, totaling \$2.1 million, advanced from June 2012 to July thru November 2011. Various slippages and advances account for the remaining variance.

- Transit - Reconstruction to lines under operation, City-wide, totaling \$35.0 million, advanced from June 2012 to October 2011.

- Water Supply - Additional Water Supply Emergency, totaling \$10.9 million, advanced from June 2012 to July, August thru November 2011. City Tunnel Number three, Stage two, totaling \$28.1 million, advanced from June 2012 to July thru November 2011. Various slippages and advances account for the remaining variance.

- Water Mains - Trunk main extensions and improvements, totaling \$24.7 million, advanced from December 2011 thru January 2012 to September thru November 2011. Construction of the Croton Filtration Plant, totaling \$41.8 million, advanced from June 2012 to July thru November 2011. Improvements to structures on watersheds outside the City, totaling \$35.9 million, advanced from February and June 2012 to July thru November 2011. Water supply improvements, totaling \$4.1 million, advanced from June 2012 and Fiscal

Year 2013 to August thru November 2011. Various slippages and advances account for the remaining variance.

Water Pollution
Control

- Hunts Point Water Pollution Control Plant, totaling \$3.8 million, advanced from Fiscal Year 2013 to July thru November 2011. Construction and reconstruction of pumping stations, totaling \$7.3 million, advanced from February and June 2012 to August thru November 2011. Reconstruction of Ward's Island Water Pollution Control Plant, totaling \$21.1 million, advanced from June 2012 to July thru September and November 2011. Reconstruction of Water Pollution Control Projects, totaling \$17.8 million, advanced from February and June 2012 to October and November 2011. North River Water Pollution Control Plant, totaling \$10.6 million, advanced from June 2012 to July thru November 2011. Combined sewer overflow abatement, totaling \$7.3 million, advanced from June 2012 to July thru November 2011. Upgrade of Bowery Bay Water Pollution Control Plant, totaling \$5.9 million, advanced from June 2012 to August thru November 2011. Reconstruction of Jamaica Water Pollution Control Plant, totaling \$6.1 million, advanced from June 2012 to July thru November 2011. Upgrade of Tallmans Island Water Pollution Control Plant, totaling \$7.5 million, advanced from June 2012 to August thru November 2011. Upgrade of the Newtown Creek Water Pollution Control Plant, totaling \$85.7 million, advanced from June 2012 to July thru November 2011. Engineering, architect and other administrative costs associated with Water Pollution Control, totaling \$12.2 million, advanced from June 2012 to September thru November 2011. Various slippages and advances account for the remaining variance.

Others

- Deregistration of contracts for DASNY managed courts projects, totaling \$11.8 million, occurred in October 2011.
- Purchase of EDP equipment for DoITT, totaling \$17.4 million, advanced from June 2012 to July thru November 2011.
- Purchase of DEP equipment, totaling \$5.1 million, advanced from June 2011 to August thru November 2011. Acquisition and reconstruction of leased owned facilities by the Department of Environmental Protection, City-wide, totaling \$2.5 million slipped from July thru November 2011 to February 2012. Mandated payments for private gas utility relocation for the Department of Environmental Protection, totaling \$11.7 million, advanced from January, February and June 2012 to November 2011. Installation of

water measuring devices, City-wide, totaling \$2.8 million, advanced from June 2012 to July thru November 2011.

- Purchase of equipment for the use by the Department of Homeless Services, totaling \$3.2 million, advanced from January and June 2012 to July thru October 2011.
- City University improvements, City-wide, totaling \$7.3 million, advanced from January thru June 2012 to July thru November 2011. Community College improvements, totaling \$5.3 million, advanced from June 2012 to August thru November 2011.
- Construction site acquisition and furniture and equipment for all New York Public Libraries, totaling \$10.1 million, slipped from July thru November 2011 to February 2012. Construction, reconstruction, improvements, acquisitions, outfitting and equipment for Queens's libraries, totaling \$33.8 million, slipped from July thru November 2011 to February 2012.
- Purchase of electronic data processing equipment, totaling \$21.1 million, advanced from June 2012 to July thru November 2011. Judgments and settlements, totaling \$2.3 million, slipped from September 2011 to February 2012. Energy Efficiency and sustainably, totaling \$4.0 million, advanced from January 2012 to September thru November 2011. Deregistration of contracts for communication equipment, totaling \$7.2 million, occurred in October 2011.

3. Variances in year-to-date commitments of non-City funds through November occurred in the Department of Education, the Department of Transportation and others.

- | | | |
|-----------------|---|---|
| Education | - | Five-Year Educational Capital Plan, totaling \$120.0 million, slipped from November 2011 to February 2012. Various slippages and advances account for the remaining variance. |
| Highway Bridges | - | Protection against Marine Borers, City-wide, totaling \$46.2 million, advanced from June 2012 to November 2011. |

Highways -

Non-City funded highway construction projects, totaling \$3.8 million, slipped from August thru October 2011 to February 2012. Deregistration of contracts for Hudson yards, totaling \$1.1 million, occurred in July 2011 and contracts for Hudson yards, totaling \$1.0 million, slipped from August 2011 to February 2012. Various slippages and advances account for the remaining variance.

- Energy efficiency and sustainability, totaling \$9.5 million, advanced from June 2012 to September thru November 2011.

Report No. 5A

Capital Cash Flow

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

DESCRIPTION	MONTH: NOVEMBER		FISCAL YEAR: 2012	
	CURRENT MONTH ACTUAL		YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
TRANSIT	\$0.0 (C) 0.0 (N)		\$0.0 (C) 0.0 (N)	\$78.6 (C) 11.0 (N)
HIGHWAY AND STREETS	17.0 (C) 4.0 (N)		75.9 (C) 13.6 (N)	366.7 (C) 90.1 (N)
HIGHWAY BRIDGES	11.8 (C) 3.7 (N)		69.8 (C) 57.1 (N)	292.8 (C) 206.4 (N)
WATERWAY BRIDGES	20.0 (C) 16.7 (N)		82.7 (C) 57.1 (N)	215.9 (C) 126.0 (N)
WATER SUPPLY	9.3 (C) 0.0 (N)		45.6 (C) 0.0 (N)	180.7 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	102.5 (C) 0.0 (N)		443.9 (C) 0.0 (N)	895.9 (C) 32.1 (N)
SEWERS	18.2 (C) 0.7 (N)		72.0 (C) 4.6 (N)	214.0 (C) 1.6 (N)
WATER POLLUTION CONTROL	78.5 (C) 6.1 (N)		421.3 (C) 22.8 (N)	801.1 (C) 47.9 (N)
ECONOMIC DEVELOPMENT	12.8 (C) 2.6 (N)		67.8 (C) 24.8 (N)	241.4 (C) 51.1 (N)
EDUCATION	350.0 (C) 0.0 (N)		674.4 (C) 475.8 (N)	1,055.8 (C) 877.2 (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: NOVEMBER	FISCAL YEAR: 2012	FISCAL YEAR
	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	PLAN
CORRECTION	0.8 (C)	18.3 (C)	124.0 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
SANITATION	27.2 (C)	106.8 (C)	286.9 (C)
	0.0 (N)	0.1 (N)	1.6 (N)
POLICE	16.3 (C)	80.7 (C)	307.1 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
FIRE	8.4 (C)	40.2 (C)	86.0 (C)
	0.0 (N)	0.1 (N)	0.7 (N)
HOUSING	6.3 (C)	84.5 (C)	241.0 (C)
	0.0 (N)	39.5 (N)	104.3 (N)
HOSPITALS	2.1 (C)	67.1 (C)	93.3 (C)
	0.0 (N)	0.0 (N)	0.1 (N)
PUBLIC BUILDINGS	13.6 (C)	61.1 (C)	186.2 (C)
	0.0 (N)	(0.1) (N)	0.2 (N)
PARKS	21.8 (C)	151.6 (C)	385.0 (C)
	1.4 (N)	14.9 (N)	60.9 (N)
ALL OTHER DEPARTMENTS	80.8 (C)	442.1 (C)	1,476.8 (C)
	14.5 (N)	63.7 (N)	154.2 (N)
TOTAL	\$797.4 (C)	\$3,005.5 (C)	\$7,529.2 (C)
	\$49.6 (N)	\$774.0 (N)	\$1,765.2 (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: NOVEMBER
FISCAL YEAR 2012

	ACTUAL					FORECAST							12	ADJUST-	TOTAL
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	Months	MENTS	
CASH INFLOWS															
CURRENT															
GENERAL PROPERTY TAX	\$3,455	\$127	\$1,024	\$532	\$162	\$3,968	\$2,367	\$80	\$925	\$392	\$9	\$2,506	\$15,547	\$2,099	\$17,646
OTHER TAXES	473	1,059	2,898	1,557	1,176	2,727	2,753	1,362	2,549	2,340	1,105	3,530	23,529	898	24,427
FEDERAL GRANTS	323	397	(252)	243	343	598	372	662	868	351	486	1,140	5,531	2,039	7,570
STATE GRANTS	326	269	665	407	489	836	278	141	2,066	181	1,577	1,832	9,067	2,233	11,300
OTHER CATEGORICAL	71	209	86	2	41	81	73	30	36	87	1	278	995	37	1,032
UNRESTRICTED (NET OF DISALL.)	-	-	1	7	-	-	2	6	2	2	-	-	20	(10)	10
MISCELLANEOUS REVENUES	542	420	333	305	335	278	303	259	417	284	531	469	4,476	-	4,476
CAPITAL INTER-FUND TRANSFERS	-	-	48	38	45	41	89	26	44	88	29	64	512	38	550
SUBTOTAL	5,190	2,481	4,803	3,091	2,591	8,529	6,237	2,566	6,907	3,725	3,738	9,819	59,677	7,334	67,011
PRIOR															
OTHER TAXES	822	289	-	-	-	-	-	-	-	-	-	-	1,111	-	1,111
FEDERAL GRANTS	290	526	439	390	257	304	58	99	120	47	56	157	2,743	812	3,555
STATE GRANTS	207	376	324	103	69	287	130	91	151	107	54	168	2,067	1,543	3,610
OTHER CATEGORICAL	6	16	181	49	70	4	3	2	4	1	8	6	350	131	481
UNRESTRICTED	-	1	-	-	-	-	-	-	-	-	-	-	1	-	1
MISC. REVENUE/CAPITAL IFA	1	25	35	-	-	-	-	-	-	-	-	-	61	(61)	-
SUBTOTAL	1,326	1,233	979	542	396	595	191	192	275	155	118	331	6,333	2,425	8,758
CAPITAL															
CAPITAL TRANSFERS	446	689	468	693	721	942	651	346	731	876	588	1,181	8,332	(803)	7,529
FEDERAL AND STATE	171	118	77	88	104	321	120	117	114	181	190	342	1,943	(178)	1,765
OTHER															
SENIOR COLLEGES	-	1	1	405	-	1	-	263	475	178	5	465	1,794	15	1,809
HOLDING ACCT. & OTHER ADJ.	2	2	1	3	(1)	(7)	-	-	-	-	-	-	-	-	-
OTHER SOURCES	1,371	-	343	-	35	-	-	-	-	-	-	-	1,749	-	1,749
TOTAL INFLOWS	\$8,506	\$4,524	\$6,672	\$4,822	\$3,846	\$10,381	\$7,199	\$3,484	\$8,502	\$5,115	\$4,639	\$12,138	\$79,828	\$8,793	88,621
CASH OUTFLOWS															
CURRENT															
PS	\$1,428	\$1,984	\$3,353	\$2,723	\$2,729	\$2,849	\$2,881	\$2,704	\$3,432	\$2,785	\$2,809	\$4,995	\$34,672	\$3,170	\$37,842
OTPS	1,281	1,766	2,143	2,102	1,447	1,993	2,044	2,115	2,173	1,917	1,903	3,005	23,889	3,141	27,030
DEBT SERVICE	80	44	13	18	46	145	419	294	304	375	174	227	2,139	-	2,139
SUBTOTAL	2,789	3,794	5,509	4,843	4,222	4,987	5,344	5,113	5,909	5,077	4,886	8,227	60,700	6,311	67,011
PRIOR															
PS	1,580	777	21	3	26	5	18	25	25	25	25	70	2,600	905	3,505
OTPS	777	500	49	2	544	68	55	50	150	55	100	50	2,400	2,558	4,958
OTHER TAXES	48	164	-	-	-	-	-	-	-	-	-	-	212	-	212
DISALLOWANCE RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	-	1,185	1,185
SUBTOTAL	2,405	1,441	70	5	570	73	73	75	175	80	125	120	5,212	4,648	9,860
CAPITAL															
CITY DISBURSEMENTS	446	522	449	791	797	485	593	523	635	704	686	898	7,529	-	7,529
FEDERAL AND STATE	82	270	53	319	50	85	430	88	168	62	70	88	1,765	-	1,765
OTHER															
SENIOR COLLEGES	118	120	153	153	120	175	154	139	209	139	139	190	1,809	-	1,809
OTHER USES	-	265	-	90	-	65	-	-	-	-	-	1,329	1,749	-	1,749
TOTAL OUTFLOWS	\$5,840	\$6,412	\$6,234	\$6,201	\$5,759	\$5,870	\$6,594	\$5,938	\$7,096	\$6,062	\$5,906	\$10,852	\$78,764	\$10,959	\$89,723
NET CASH FLOW	\$2,666	(\$1,888)	\$438	(\$1,379)	(\$1,913)	\$4,511	\$605	(\$2,454)	\$1,406	(\$947)	(\$1,267)	\$1,286	\$1,064	(\$2,166)	(\$1,102)
BEGINNING BALANCE	\$3,919	\$6,585	\$4,697	\$5,135	\$3,756	\$1,843	\$6,354	\$6,959	\$4,505	\$5,911	\$4,964	\$3,697	\$3,919		
ENDING BALANCE	\$6,585	\$4,697	\$5,135	\$3,756	\$1,843	\$6,354	\$6,959	\$4,505	\$5,911	\$4,964	\$3,697	\$4,983	\$4,983		

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

MONTH: NOVEMBER
FISCAL YEAR 2012

	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)	(118)	(120)	(153)	(153)	(120)	(175)	(154)	(139)	(209)	(139)	(139)	(190)	(1,809)	-	(1,809)
SENIOR COLLEGES INFLOW - CURRENT	-	-	-	16	-	1	-	263	475	178	5	465	1,403	406	1,809
SENIOR COLLEGES INFLOW - PRIOR	-	1	1	389	-	-	-	-	-	-	-	-	391	(391)	-
NET SENIOR COLLEGES	(118)	(119)	(152)	252	(120)	(174)	(154)	124	266	39	(134)	275	(15)	15	-
CAPITAL															
<u>CURRENT CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	200	982	272	783	971	409	-	400	1,550	200	619	789	7,175	-	7,175
(INC)/DEC RESTRICTED CASH	(83)	(490)	83	(219)	(285)	533	651	(54)	(819)	676	(31)	392	354	(803)	(449)
SUBTOTAL	117	492	355	564	686	942	651	346	731	876	588	1,181	7,529	(803)	6,726
<u>PRIOR CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	-	-	-	129	-	-	-	-	-	-	-	-	129	-	129
(INC)/DEC RESTRICTED CASH	329	197	113	-	35	-	-	-	-	-	-	-	674	-	674
SUBTOTAL	329	197	113	129	35	-	-	-	-	-	-	-	803	-	803
TOTAL CITY CAPITAL TRANSFERS	446	689	468	693	721	942	651	346	731	876	588	1,181	8,332	(803)	7,529
<u>FEDERAL AND STATE - INFLOWS:</u>															
CURRENT	137	18	33	88	104	321	120	117	114	181	190	342	1,765	-	1,765
PRIOR	34	100	44	-	-	-	-	-	-	-	-	-	178	(178)	-
TOTAL FEDERAL AND STATE INFLOWS	171	118	77	88	104	321	120	117	114	181	190	342	1,943	(178)	1,765
<u>CAPITAL OUTFLOWS:</u>															
CITY DISBURSEMENTS	(446)	(522)	(449)	(791)	(797)	(485)	(593)	(523)	(635)	(704)	(686)	(898)	(7,529)	-	(7,529)
FEDERAL AND STATE	(82)	(270)	(53)	(319)	(50)	(85)	(430)	(88)	(168)	(62)	(70)	(88)	(1,765)	-	(1,765)
TOTAL OUTFLOWS	(528)	(792)	(502)	(1,110)	(847)	(570)	(1,023)	(611)	(803)	(766)	(756)	(986)	(9,294)	-	(9,294)
<u>NET CAPITAL:</u>															
NET CITY CAPITAL	-	167	19	(98)	(76)	457	58	(177)	96	172	(98)	283	803	(803)	-
NET NON-CITY CAPITAL	89	(152)	24	(231)	54	236	(310)	29	(54)	119	120	254	178	(178)	-
NET TOTAL CAPITAL	89	15	43	(329)	(22)	693	(252)	(148)	42	291	22	537	981	(981)	-

NOTES TO REPORT #6/6A

1. **Beginning Balance**

The July 2011 beginning balance is consistent with the FY 2011 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 2012 ending balance includes deferred revenue from FY 2013 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.