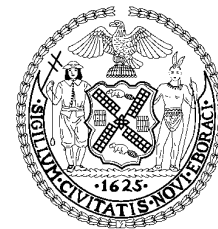


Financial Plan Statements
for
New York City
November 2012



The City of New York



This report contains the Financial Plan Statements for November 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

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John Grathwol

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

Handwritten signature of Ari Hoffnung in black ink, written over a horizontal line.

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: NOVEMBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
REVENUES:							
TAXES							
GENERAL PROPERTY TAX	\$ 78	\$ 42	\$ 36	\$ 10,332	\$ 10,296	\$ 36	\$ 18,430
OTHER TAXES	1,292	1,257	35	8,110	8,075	35	25,409
SUBTOTAL: TAXES	\$ 1,370	\$ 1,299	\$ 71	\$ 18,442	\$ 18,371	\$ 71	\$ 43,839
MISCELLANEOUS REVENUES	573	458	115	2,320	2,205	115	6,506
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-
LESS: INTRA-CITY REVENUE DISALLOWANCES	(185)	(109)	(76)	(307)	(231)	(76)	(1,704)
	-	-	-	-	-	-	(15)
SUBTOTAL: CITY FUNDS	\$ 1,758	\$ 1,648	\$ 110	\$ 20,455	\$ 20,345	\$ 110	\$ 48,626
OTHER CATEGORICAL GRANTS	24	11	13	279	266	13	978
INTER-FUND REVENUES	28	32	(4)	112	116	(4)	538
FEDERAL CATEGORICAL GRANTS	268	639	(371)	1,063	1,434	(371)	7,262
STATE CATEGORICAL GRANTS	697	795	(98)	2,630	2,728	(98)	11,566
TOTAL REVENUES	\$ 2,775	\$ 3,125	\$ (350)	\$ 24,539	\$ 24,889	\$ (350)	\$ 68,970
EXPENDITURES:							
PERSONAL SERVICE	\$ 2,884	\$ 2,794	\$ (90)	\$ 12,666	\$ 12,526	\$ (140)	\$ 37,356
OTHER THAN PERSONAL SERVICE	1,092	1,297	205	15,859	15,775	(84)	29,153
DEBT SERVICE	125	549	424	1,088	1,298	210	3,865
GENERAL RESERVE	-	-	-	-	-	-	300
SUBTOTAL	\$ 4,101	\$ 4,640	\$ 539	\$ 29,613	\$ 29,599	\$ (14)	\$ 70,674
LESS: INTRA-CITY EXPENSES	(185)	(109)	76	(307)	(231)	76	(1,704)
TOTAL EXPENDITURES	\$ 3,916	\$ 4,531	\$ 615	\$ 29,306	\$ 29,368	\$ 62	\$ 68,970
NET TOTAL	\$ (1,141)	\$ (1,406)	\$ 265	\$ (4,767)	\$ (4,479)	\$ (288)	\$ -

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: NOVEMBER
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	\$ 4,302	\$ 2,258	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 37	\$ (39)	\$ 18,430	
OTHER TAXES	1,057	1,110	3,164	1,487	1,292	2,771	2,893	1,273	2,673	2,635	1,137	3,604	313	25,409	
SUBTOTAL: TAXES	\$ 9,639	\$ 1,308	\$ 3,954	\$ 2,171	\$ 1,370	\$ 7,073	\$ 5,151	\$ 1,371	\$ 3,682	\$ 3,048	\$ 1,157	\$ 3,641	\$ 274	\$ 43,839	
MISCELLANEOUS REVENUES	624	398	327	398	573	445	463	364	489	451	603	991	380	6,506	
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
LESS: INTRA-CITY REVENUE	(1)	(16)	(37)	(68)	(185)	(124)	(159)	(76)	(129)	(130)	(28)	(381)	(370)	(1,704)	
DISALLOWANCES	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)	
SUBTOTAL: CITY FUNDS	\$ 10,262	\$ 1,690	\$ 4,244	\$ 2,501	\$ 1,758	\$ 7,394	\$ 5,455	\$ 1,659	\$ 4,042	\$ 3,369	\$ 1,732	\$ 4,251	\$ 269	\$ 48,626	
OTHER CATEGORICAL GRANTS	17	26	137	75	24	49	49	25	73	32	15	456	-	978	
INTER-FUND REVENUES	-	-	52	32	28	49	71	45	39	80	42	69	31	538	
FEDERAL CATEGORICAL GRANTS	30	33	94	638	268	639	733	641	591	749	664	632	1,550	7,262	
STATE CATEGORICAL GRANTS	5	9	1,475	444	697	931	1,013	959	1,247	1,130	932	1,141	1,583	11,566	
TOTAL REVENUES	\$ 10,314	\$ 1,758	\$ 6,002	\$ 3,690	\$ 2,775	\$ 9,062	\$ 7,321	\$ 3,329	\$ 5,992	\$ 5,360	\$ 3,385	\$ 6,549	\$ 3,433	\$ 68,970	
EXPENDITURES:															
PERSONAL SERVICE	\$ 1,996	\$ 2,107	\$ 2,827	\$ 2,852	\$ 2,884	\$ 3,513	\$ 2,922	\$ 2,772	\$ 2,868	\$ 2,788	\$ 2,847	\$ 5,129	\$ 1,851	\$ 37,356	
OTHER THAN PERSONAL SERVICE	8,241	3,262	1,643	1,621	1,092	1,958	1,773	1,428	1,599	1,767	1,307	2,420	1,042	29,153	
DEBT SERVICE	120	356	161	326	125	77	681	134	172	459	70	1,184	-	3,865	
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300	
SUBTOTAL	\$ 10,357	\$ 5,725	\$ 4,631	\$ 4,799	\$ 4,101	\$ 5,548	\$ 5,376	\$ 4,334	\$ 4,639	\$ 5,014	\$ 4,224	\$ 8,733	\$ 3,193	\$ 70,674	
LESS: INTRA-CITY EXPENSES	(1)	(16)	(37)	(68)	(185)	(124)	(159)	(76)	(129)	(130)	(28)	(381)	(370)	(1,704)	
TOTAL EXPENDITURES	\$ 10,356	\$ 5,709	\$ 4,594	\$ 4,731	\$ 3,916	\$ 5,424	\$ 5,217	\$ 4,258	\$ 4,510	\$ 4,884	\$ 4,196	\$ 8,352	\$ 2,823	\$ 68,970	
NET TOTAL	\$ (42)	\$ (3,951)	\$ 1,408	\$ (1,041)	\$ (1,141)	\$ 3,638	\$ 2,104	\$ (929)	\$ 1,482	\$ 476	\$ (811)	\$ (1,803)	\$ 610	\$ -	

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 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: NOVEMBER
FISCAL YEAR 2013

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
TAXES:							
GENERAL PROPERTY TAX	\$ 78	\$ 42	\$ 36	\$ 10,332	\$ 10,296	\$ 36	\$ 18,430
PERSONAL INCOME TAX	399	425	(26)	2,776	2,802	(26)	8,493
GENERAL CORPORATION TAX	35	25	10	508	498	10	2,477
BANKING CORPORATION TAX	(5)	-	(5)	411	416	(5)	1,308
UNINCORPORATED BUSINESS TAX	12	-	12	357	345	12	1,770
GENERAL SALES TAX	451	459	(8)	2,327	2,335	(8)	6,061
REAL PROPERTY TRANSFER TAX	97	82	15	410	395	15	946
MORTGAGE RECORDING TAX	72	49	23	267	244	23	594
COMMERCIAL RENT TAX	2	3	(1)	164	165	(1)	653
UTILITY TAX	28	26	2	125	123	2	402
OTHER TAXES	33	31	2	270	268	2	1,043
TAX AUDIT REVENUES *	168	157	11	307	296	11	838
STAR PROGRAM	-	-	-	188	188	-	824
TOTAL TAXES	\$ 1,370	\$ 1,299	\$ 71	\$ 18,442	\$ 18,371	\$ 71	\$ 43,839
MISCELLANEOUS REVENUES:							
LICENSES/FRANCHISES/ETC.	\$ 103	\$ 103	\$ -	\$ 275	\$ 275	\$ -	\$ 569
INTEREST INCOME	1	1	-	5	5	-	17
CHARGES FOR SERVICES	93	50	43	250	207	43	888
WATER AND SEWER CHARGES	111	67	44	903	859	44	1,508
RENTAL INCOME	27	31	(4)	102	106	(4)	291
FINES AND FORFEITURES	56	78	(22)	341	363	(22)	812
MISCELLANEOUS	(3)	19	(22)	137	159	(22)	717
INTRA-CITY REVENUE	185	109	76	307	231	76	1,704
TOTAL MISCELLANEOUS REVENUES	\$ 573	\$ 458	\$ 115	\$ 2,320	\$ 2,205	\$ 115	\$ 6,506

* The financial plan as submitted on November 9, 2012 reflects \$838 million in Tax Audit Revenues, anticipated to be collected as follows:

	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
GENERAL SALES TAX	\$ 2	\$ 5	\$ 23
PERSONAL INCOME TAX	1	17	40
GENERAL CORPORATION TAX	141	194	507
COMMERCIAL RENT TAX	3	8	20
BANKING CORPORATION TAX	12	40	132
UTILITY TAX	6	7	8
UNINCORPORATED BUSINESS TAX	2	27	93
REAL PROPERTY TRANSFER TAX	-	7	6
OTHER TAXES	1	2	9
TOTAL	\$ 168	\$ 307	\$ 838

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

MONTH: NOVEMBER
FISCAL YEAR 2013

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
UNRESTRICTED INTGVT. AID							
FEDERAL REVENUE SHARING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
NY STATE REVENUE SHARING	-	-	-	-	-	-	-
OTHER INTGVT. AID	-	-	-	-	-	-	-
TOTAL UNRESTRICTED INTGVT. AID	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
LESS: INTRA-CITY REVENUES	(185)	(109)	(76)	(307)	(231)	(76)	(1,704)
DISALLOWANCES	-	-	-	-	-	-	(15)
OTHER CATEGORICAL GRANTS	24	11	13	279	266	13	978
INTER-FUND REVENUES	28	32	(4)	112	116	(4)	538
FEDERAL CATEGORICAL GRANTS							
COMMUNITY DEVELOPMENT	\$ 10	\$ 19	\$ (9)	\$ 60	\$ 69	\$ (9)	\$ 229
WELFARE	99	266	(167)	510	677	(167)	3,218
EDUCATION	22	137	(115)	63	178	(115)	1,904
OTHER	137	217	(80)	430	510	(80)	1,911
TOTAL FEDERAL CATEGORICAL GRANTS	<u>\$ 268</u>	<u>\$ 639</u>	<u>\$ (371)</u>	<u>\$ 1,063</u>	<u>\$ 1,434</u>	<u>\$ (371)</u>	<u>\$ 7,262</u>
STATE CATEGORICAL GRANTS							
WELFARE	\$ 48	\$ 112	\$ (64)	\$ 233	\$ 297	\$ (64)	\$ 1,478
EDUCATION	574	606	(32)	2,309	2,341	(32)	8,388
HIGHER EDUCATION	47	-	47	47	-	47	235
HEALTH AND MENTAL HYGIENE	4	64	(60)	5	65	(60)	567
OTHER	24	13	11	36	25	11	898
TOTAL STATE CATEGORICAL GRANTS	<u>\$ 697</u>	<u>\$ 795</u>	<u>\$ (98)</u>	<u>\$ 2,630</u>	<u>\$ 2,728</u>	<u>\$ (98)</u>	<u>\$ 11,566</u>
TOTAL REVENUES	<u><u>\$ 2,775</u></u>	<u><u>\$ 3,125</u></u>	<u><u>\$ (350)</u></u>	<u><u>\$ 24,539</u></u>	<u><u>\$ 24,889</u></u>	<u><u>\$ (350)</u></u>	<u><u>\$ 68,970</u></u>

Report No. 4 & 4A

Obligation Analysis and Personnel Control Report

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

**MONTH: NOVEMBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
UNIFORM FORCES							
POLICE DEPT.	\$ 397	\$ 336	\$ (61)	\$ 1,883	\$ 1,792	\$ (91)	\$ 4,824
FIRE DEPT.	138	137	(1)	728	787	59	1,876
DEPT. OF CORRECTION	84	72	(12)	435	432	(3)	1,065
SANITATION DEPT.	113	180	67	727	683	(44)	1,363
HEALTH & WELFARE							
ADMIN. FOR CHILD SERVICES	99	132	33	1,577	1,701	124	2,813
DEPT. OF SOCIAL SERVICES	392	396	4	3,994	3,701	(293)	9,293
DEPT. OF HOMELESS SERVICES	7	13	6	644	655	11	926
HEALTH & MENTAL HYGIENE	53	54	1	847	983	136	1,653
OTHER AGENCIES							
HOUSING PRESERVATION & DEV.	50	34	(16)	330	284	(46)	614
ENVIRONMENTAL PROTECTION	57	66	9	486	522	36	1,142
TRANSPORTATION DEPT.	49	51	2	447	436	(11)	826
PARKS & RECREATION DEPT.	20	25	5	160	156	(4)	352
DEPT. OF CITYWIDE ADMIN. SERVICES	11	42	31	942	1,114	172	1,221
ALL OTHER	223	250	27	1,841	1,883	42	3,376
MAJOR ORGANIZATIONS							
DEPT. OF EDUCATION	1,262	1,236	(26)	7,575	7,499	(76)	19,511
HIGHER EDUCATION	30	56	26	304	270	(34)	862
HEALTH & HOSPITALS CORP.	13	8	(5)	52	54	2	198
OTHER							
MISCELLANEOUS BUDGET:							
FRINGE BENEFITS	238	230	(8)	1,183	1,157	(26)	3,879
TRANSIT SUBSIDIES	32	52	20	558	389	(169)	786
JUDGMENTS & CLAIMS	43	46	3	233	234	1	735
OTHER	7	15	8	282	269	(13)	1,132
PENSION CONTRIBUTIONS	658	660	2	3,297	3,300	3	8,062
DEBT SERVICE	125	549	424	1,088	1,298	210	3,865
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-
SUBTOTAL	\$ 4,101	\$ 4,640	\$ 539	\$ 29,613	\$ 29,599	\$ (14)	\$ 70,374
PLUS GENERAL RESERVE	-	-	-	-	-	-	300
LESS: INTRA-CITY EXPENSES	(185)	(109)	76	(307)	(231)	76	(1,704)
TOTAL EXPENDITURES	\$ 3,916	\$ 4,531	\$ 615	\$ 29,306	\$ 29,368	\$ 62	\$ 68,970

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

**MONTH: NOVEMBER
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 *	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN	PLAN
UNIFORM FORCES										
POLICE DEPT.	49,772	50,878	\$ 369	\$ 319	\$ (50)	\$ 1,668	\$ 1,591	\$ (77)	50,171	\$ 4,337
FIRE DEPT.	15,453	15,389	125	121	(4)	603	615	12	15,252	1,635
DEPT. OF CORRECTION	10,080	10,597	73	69	(4)	360	341	(19)	10,597	943
SANITATION DEPT.	9,268	9,362	98	61	(37)	339	310	(29)	9,328	826
HEALTH & WELFARE										
ADMIN. FOR CHILD SERVICES	6,171	6,553	30	31	1	149	149	-	6,634	398
DEPT. OF SOCIAL SERVICES	14,076	14,250	56	58	2	281	287	6	14,614	754
DEPT. OF HOMELESS SERVICES	1,811	1,949	9	9	-	44	46	2	1,949	121
HEALTH & MENTAL HYGIENE	5,369	6,194	30	30	-	136	149	13	6,381	391
OTHER AGENCIES										
ENVIRONMENTAL PROTECTION	5,692	5,982	37	35	(2)	174	179	5	6,109	461
TRANSPORTATION DEPT.	4,713	4,541	31	27	(4)	148	132	(16)	4,530	351
PARKS & RECREATION DEPT.	5,227	5,318	23	18	(5)	119	113	(6)	5,915	262
CITYWIDE ADMIN. SERVICES	2,004	2,395	12	11	(1)	54	55	1	2,216	143
ALL OTHER	30,174	33,339	134	161	27	770	774	4	30,278	2,099
MAJOR ORGANIZATIONS										
DEPT. OF EDUCATION	132,159	132,367	961	954	(7)	3,341	3,328	(13)	132,367	12,588
OTHER										
MISCELLANEOUS BUDGET	-	-	238	230	(8)	1,183	1,157	(26)	-	3,985
PENSION CONTRIBUTIONS	-	-	658	660	2	3,297	3,300	3	-	8,062
TOTAL	291,969	299,114	\$ 2,884	\$ 2,794	\$ (90)	\$ 12,666	\$ 12,526	\$ (140)	296,341	\$ 37,356

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

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 291,969 filled positions as of November of which 269,044 are full-time positions and 22,925 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:

- \$(17) million in accelerated encumbrances, including \$(9) million for contractual services and \$(8) million for other services and charges, that was planned to be obligated later in the fiscal year.
- \$3 million in delayed encumbrances, primarily for supplies and materials, that will be obligated later in the fiscal year.
- \$(77) million in personal services, including \$(79) million for overtime and \$(10) million for differentials, offset by \$8 million for full-time normal gross and \$3 million for other salaried positions.

Fire Department: The \$59 million year-to-date variance is primarily due to:

- \$(8) million in accelerated encumbrances, including \$(4) million for property and charges, \$(2) million for contractual services and \$(1) million for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$55 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$12 million in personal services, primarily for overtime.

Sanitation Department: The \$(44) million year-to-date variance is primarily due to:

- \$(24) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$9 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.

- \$(29) million in personal services, including \$(24) million for overtime, \$(4) million for holiday pay and \$(3) million for differentials, offset by \$2 million for full-time normal gross.

Administration for Children’s Services: The \$124 million year-to-date variance is primarily due to:

- \$(35) million in accelerated encumbrances, including \$(20) million for social services and \$(15) million for other services and charges, that was planned to be obligated later in the fiscal year.
- \$159 million in delayed encumbrances, including \$107 million for contractual charges and \$52 million for fixed and miscellaneous charges, that will be obligated later in the fiscal year.

Department of Social Services: The \$(293) million year-to-date variance is primarily due to:

- \$(321) million in accelerated encumbrances, including \$(283) million for medical assistance, \$(26) million for contractual services, \$(8) million for public assistance and \$(2) million for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$22 million in delayed encumbrances, including \$17 million for other services and charges and \$5 million for social services, that will be obligated later in the fiscal year.
- \$6 million in personal services, including \$12 million for full-time normal gross, offset by \$(6) million for differentials.

Department of Homeless Services: The \$11 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.
- \$11 million in delayed encumbrances, including \$7 million for contractual services and \$3 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 \$136 million year-to-date variance is primarily due to:

- \$(2) million in accelerated encumbrances, primarily for other services and charges, that was planned to be obligated later in the fiscal year.
- \$125 million in delayed encumbrances, including \$93 million for contractual services, \$26 million for social services and \$5 million for supplies and materials, that will be obligated later in the fiscal year.
- \$13 million in personal services, including \$11 million for other salaried positions and \$8 million for full-time normal

gross, offset by \$(3) million for differentials.

Housing Preservation and Development: The \$(46) million year-to-date variance is primarily due to:

- \$(59) 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 \$36 million year-to-date variance is primarily due to:

- \$(11) million in accelerated encumbrances, primarily for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$42 million in delayed encumbrances, including \$37 million for other services and charges, \$3 million for property and equipment and \$2 million for fixed and miscellaneous charges, that will be obligated later in the fiscal year.
- \$5 million in personal services, including \$11 million for full-time normal gross and \$2 million for fringe benefits, offset by \$(6) million for overtime and \$(2) million for differentials.

Transportation Department: The \$(11) million year-to-date variance is primarily due to:

- \$(20) million in accelerated encumbrances, including \$(17) million for supplies and materials and \$(2) million for other services and charges, that was planned to be obligated later in the fiscal year.
- \$25 million in delayed encumbrances, primarily for contractual services, that will be obligated later in the fiscal year.
- \$(16) million in personal services, including \$(6) million for overtime, \$(3) million for differentials, \$(2) million for other salaried positions and \$(2) million for prior year charges.

Department of Citywide Administrative Services: The \$172 million year-to-date variance is primarily due to:

- \$171 million in delayed encumbrances, including \$148 million for other services and charges, \$18 million for contractual services and \$5 million for supplies and materials, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Department of Education: The \$(76) million year-to-date variance is primarily due to:

- \$(184) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$121 million in delayed encumbrances, including \$64 million for supplies and materials, \$29 million for fixed and miscellaneous charges, \$21 million for other services and charges and \$7 million for property and equipment, that will be obligated later in the fiscal year.
- \$(13) million in personal services, including \$(50) million for prior year charges, \$(14) million for full-time normal gross, \$(5) million for overtime and \$(4) million for differentials, offset by \$42 million for other salaried positions, \$13 million for fringe benefits and \$3 million for terminal leave.

Higher Education: The \$(34) million year-to-date variance is primarily due to:

- \$(27) million in accelerated encumbrances, primarily for fixed and miscellaneous charges, that was planned to be obligated later in the fiscal year.
- \$8 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$(15) million in personal services, primarily for full-time normal gross.

Miscellaneous Budget: The \$(207) million year-to-date variance is primarily due to:

- \$(26) million in fringe benefits reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$(169) million in transit subsidies reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$1 million in judgments and claims reflecting delayed encumbrances, that will be obligated later in the fiscal year.
- \$(13) million in other reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.

Debt Service: The \$210 million year-to-date variance is primarily due to:

- \$(251) million in accelerated encumbrances, including \$(217) million for redemption of general obligation bonds, \$(25) million for costs associated with financing and \$(9) million for blended component units, that was planned to be obligated later in the fiscal year.
- \$461 million in delayed encumbrances, including \$458 million for general interest on bonds and \$3 million for payments to counterparties, 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: 2013		
	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)	\$85.4 (C) 0.0 (N)	\$24.4 (C) 0.0 (N)	\$278.4 (C) 2.0 (N)
HIGHWAY AND STREETS	8.1 (C) 16.0 (N)	2.4 (C) 0.1 (N)	38.2 (C) 41.8 (N)	41.7 (C) 14.3 (N)	608.2 (C) 358.1 (N)
HIGHWAY BRIDGES	0.5 (C) 0.0 (N)	0.0 (C) 0.0 (N)	22.5 (C) 0.0 (N)	6.3 (C) 0.0 (N)	494.5 (C) 298.5 (N)
WATERWAY BRIDGES	2.9 (C) (2.2) (N)	0.0 (C) 0.0 (N)	(3.6) (C) (39.4) (N)	2.7 (C) 0.0 (N)	25.6 (C) 20.9 (N)
WATER SUPPLY	2.6 (C) 0.0 (N)	0.0 (C) 0.0 (N)	45.3 (C) 0.0 (N)	28.1 (C) 0.0 (N)	447.4 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	(58.9) (C) 0.2 (N)	2.3 (C) 0.0 (N)	(12.5) (C) 0.2 (N)	33.2 (C) 0.0 (N)	993.1 (C) 33.5 (N)
SEWERS	58.5 (C) 0.0 (N)	10.0 (C) 0.0 (N)	178.4 (C) 0.3 (N)	60.0 (C) 0.0 (N)	480.4 (C) 0.3 (N)
WATER POLLUTION CONTROL	(20.4) (C) 0.0 (N)	0.0 (C) 0.0 (N)	28.9 (C) (0.0) (N)	33.9 (C) 0.0 (N)	834.0 (C) 10.7 (N)
ECONOMIC DEVELOPMENT	14.2 (C) 0.6 (N)	0.0 (C) 0.0 (N)	131.2 (C) 2.8 (N)	13.1 (C) 0.0 (N)	1,037.2 (C) 104.6 (N)
EDUCATION	15.0 (C) 0.0 (N)	0.0 (C) 0.0 (N)	435.8 (C) 394.0 (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: NOVEMBER		FISCAL YEAR: 2013		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	14.7 (C) 0.0 (N)	9.1 (C) 0.0 (N)	21.5 (C) 0.0 (N)	39.0 (C) 0.0 (N)	400.1 (C) 0.0 (N)
SANITATION	6.7 (C) 4.6 (N)	20.3 (C) 0.0 (N)	68.5 (C) 5.7 (N)	35.6 (C) 0.0 (N)	778.0 (C) 6.8 (N)
POLICE	10.9 (C) 0.0 (N)	0.5 (C) 0.0 (N)	24.6 (C) 0.0 (N)	18.4 (C) 0.0 (N)	287.9 (C) 0.0 (N)
FIRE	14.4 (C) 2.1 (N)	0.0 (C) 0.0 (N)	28.9 (C) 2.3 (N)	0.5 (C) 0.0 (N)	239.0 (C) 9.5 (N)
HOUSING	21.3 (C) 0.0 (N)	0.0 (C) 0.0 (N)	39.8 (C) 9.0 (N)	0.7 (C) 0.0 (N)	823.6 (C) 132.6 (N)
HOSPITALS	40.5 (C) 0.0 (N)	6.9 (C) 0.0 (N)	140.6 (C) 0.0 (N)	35.6 (C) 2.2 (N)	424.5 (C) 2.2 (N)
PUBLIC BUILDINGS	27.0 (C) 0.0 (N)	10.2 (C) 0.0 (N)	56.2 (C) 0.0 (N)	57.0 (C) 0.0 (N)	724.2 (C) 0.0 (N)
PARKS	3.7 (C) 1.3 (N)	0.0 (C) 0.0 (N)	116.2 (C) 12.0 (N)	18.5 (C) 0.3 (N)	1,101.3 (C) 183.8 (N)
ALL OTHER DEPARTMENTS	19.2 (C) 15.5 (N)	5.2 (C) 0.0 (N)	154.0 (C) 49.0 (N)	125.7 (C) 29.4 (N)	3,977.7 (C) 367.3 (N)
TOTAL	\$180.7 (C) \$38.2 (N)	\$66.9 (C) \$0.1 (N)	\$1,599.9 (C) \$477.6 (N)	\$995.0 (C) \$440.3 (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: November

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 November are primarily due to timing differences.

- Waterway Bridges - Reconstruction of the Willis Avenue Bridge, totaling \$2.9 million, advanced from June 2013 to November 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.

- Correction - Correction facilities, construction, reconstruction and improvements, City-wide, totaling \$19.4 million, slipped from September thru November 2012 to February 2013. Purchase of computer equipment for other use by the Department of Correction, totaling \$8.5 million, slipped from October and November 2012 to February 2013. Riker's Island infrastructure, totaling \$11.9 million, advanced from December 2012 and January 2013 to November 2012. Various slippages and advances account for the remaining variance.

- Education - Education facilities, totaling \$15.0 million, was expected to correct conditions created by hurricane Sandy.

- Economic Development - Acquisition, site development, construction and reconstruction related to Economic Development, totaling \$97.1 million, advanced from June 2013 to July thru November 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 \$12.8 million, advanced from June 2013 to July thru November 2012. Facility improvements, City-wide, totaling \$9.6 million, advanced from June 2013 to July thru November 2012. Management information and control for the Department of Fire, totaling \$5.9 million, advanced from June 2013 to August thru November 2012. Various slippages and advances account for the remaining variance.

- Highway Bridges
 - Improvements to Highway Bridges, totaling \$8.8 million, slipped from August thru November 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 \$4.6 million, advanced from December 2012 and June 2013 to August thru October 2012. Reconstruction of the Belt Shore Parkway over Fresh Creek, Brooklyn, totaling \$5.9 million, advanced from June 2013 to July, August and October 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
 - Four twenty one trust fund, totaling \$6.1 million, advanced from June 2013 to November 2012. Spring Creek, totaling \$4.9 million, advanced from December 2012 and June 2013 to November 2012. Third party transfer station, totaling \$4.2 million, advanced from June 2013 to September 2012. Low income rental, totaling \$10.2 million, advanced from June 2013 to July thru September and November 2012. Various slippages and advances account for the remaining variance.

- Parks
 - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$29.4 million, advanced from March, April and June 2013 to July thru November 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. Ocean Breeze reconstruction, Staten Island, totaling \$33.0 million, advanced from June 2013 to October 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 \$12.4 million, advanced from June 2013 to July thru October 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 ultra-high frequency radio telephone equipment, totaling \$9.6 million, advanced from December 2012 to November 2012. Purchase of security equipment, totaling \$8.8 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. Acquisition and installation of computers for the Police Department, totaling \$2.3 million, advanced from December 2012 to July thru November 2012. Improvements to Police Department property, City-wide, totaling \$2.8 million, advanced from December 2012 and January 2013 to July thru November 2012. Acquisition of vehicles, totaling \$2.5 million, slipped from August thru October 2012 to February 2013. Purchase of new equipment for the police department, totaling \$2.0 million, slipped from October 2012 to February 2013. Various slippages and advances account for the remaining variance.

Sanitation

- Collection trucks and other equipment, totaling \$9.9 million, advanced from January 2013 to July thru November 2012. Improvements to garages and other facilities, totaling \$4.7 million, slipped from September and November 2012 to February 2013. Reconstruction to the Marine Transfer Station, totaling \$2.8 million, slipped from October 2012 to February 2013. Sites for Sanitation Garages, totaling \$20.0 million, slipped 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 \$9.6 million, advanced from January 2013 to September thru November 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 \$39.2 million, advanced from December 2012 and June 2013 to July thru November 2012. Construction and reconstruction of storm sewers, City-wide, totaling \$49.4 million, advanced from December 2012 and June 2013 to July thru November 2012. Engineering, architect and other administrative costs associated with the Department of Environmental Protection, totaling \$7.5 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. Various slippages and advances account for the remaining variance.

Water Supply - Additional Water Supply Emergency, totaling \$16.2 million, advanced from June 2013 to July thru November 2012. Various slippages and advances account for the remaining variance.

Water Mains - Water main extensions, City-wide, totaling \$43.5 million, advanced from December 2012 to July thru November 2012. Trunk main extensions and improvements, totaling \$13.7 million, advanced from December 2012 and June 2013 to October and November 2012. Deregistration of contracts for construction of the Croton Filtration Plant, totaling \$116.4 million, occurred in November 2012. Improvements to structures on watersheds outside the City, totaling \$3.3 million, slipped from October 2012 to February 2013. Water supply improvements, totaling \$2.2 million, advanced from June 2013 to October 2012. Various slippages and advances account for the remaining variance.

Water Pollution Control - Hunts Point Water Pollution Control Plant registrations, totaling \$2.8 million, occurred in July 2012 and October 2012. Deregistration for reconstruction of Ward's Island Water Pollution Control Plant, totaling \$4.6 million, occurred in August thru November 2012. Reconstruction of Water Pollution Control Projects, totaling \$8.3 million, advanced from June 2013 to July thru November 2012. Twenty Sixth Ward Water Pollution Control Plant, totaling \$6.5 million, advanced from June 2013 to August thru October 2012. Reconstruction of Jamaica Water Pollution Control Plant, totaling \$4.4 million, advanced from June 2013 to July thru November 2012. Reconstruction of Tallmans Island Water Pollution Control Plant, totaling \$2.7 million, advanced from June 2013 to July thru November 2012. Deregistration of contracts for Newtown Creek Water Pollution Control Plant, totaling \$29.7 million, occurred in September thru November 2012. Deregistration of contracts for the reconstruction of pumping stations, totaling \$2.5 million, occurred in October 2012. Engineering, architect and other administrative costs associated with Water Pollution Control, totaling \$3.9 million, advanced from June 2013 to November 2012. Bionutrient removal facilities, City-wide, totaling \$3.0 million, advanced from June 2013 to August thru November 2012. Various slippages and advances account for the remaining variance.

Others

- Purchase of electronic data processing equipment, totaling \$39.6 million, advanced from June 2013 to August thru November 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 \$4.8 million, occurred in October and November 2012. Installation of Water Measuring Devices, totaling \$17.2 million, slipped from September 2012 to February 2013. Mandated payments for private gas utility relocation for the Department of Environmental Protection, totaling \$3.0 million, advanced from December 2012 to November 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 and August 2012. Congregate Facilities for the homeless, totaling \$2.4 million, advanced from January and June 2013 to July thru October 2012.
- City University improvements, City-wide, totaling \$8.6 million, advanced from June 2013 to July thru November 2012. Medgar Evers College, Brooklyn, totaling \$2.0 million, advanced from June 2013 to October 2012.
- Queens's libraries system and equipment purchases, totaling \$10.3 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's libraries, totaling \$23.2 million, slipped from July thru November 2012 to February 2013 and a deregistration totaling \$13.9 million, occurred in October 2012.
- Brooklyn children's museum, totaling \$5.8 million, slipped from September 2012 to February 2013. 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 for surface transit service, totaling \$6.2 million, advanced from June 2013 to September 2012.

- Purchase of electronic data processing equipment, totaling \$15.6 million, advanced from June 2013 to July thru November 2012. Energy efficiency and sustainability, totaling \$4.1 million, slipped from October 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 November occurred in the Department of Housing Preservation and Development, the Department of Parks and Recreation, 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.
- Housing - Low income rental, totaling \$2.4 million, advanced from June 2013 to July 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 \$7.0 million, advanced from December 2012 and June 2013 to October and November 2012. Resurfacing of streets, City-wide, totaling \$9.8 million, advanced from December 2012 to October 2012. Sidewalk reconstruction, totaling \$3.6 million, slipped from September and October 2012 to February 2013. Hudson Yards Manhattan, totaling \$19.4 million, advanced from December 2012 and 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 \$13.0 million, advanced from June 2013 to November 2012.

Report No. 5A

Capital Cash Flow

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

DESCRIPTION	MONTH: NOVEMBER		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	11.3 (C) 1.8 (N)		77.5 (C) 19.5 (N)	408.4 (C) 123.1 (N)
HIGHWAY BRIDGES	10.2 (C) 24.2 (N)		59.8 (C) 63.5 (N)	216.0 (C) 144.8 (N)
WATERWAY BRIDGES	6.9 (C) 8.4 (N)		34.2 (C) 55.8 (N)	160.2 (C) 114.2 (N)
WATER SUPPLY	11.8 (C) 0.0 (N)		39.9 (C) 0.0 (N)	253.0 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	59.2 (C) 0.1 (N)		332.7 (C) 0.8 (N)	680.0 (C) 12.5 (N)
SEWERS	11.4 (C) 0.5 (N)		78.9 (C) 2.6 (N)	306.1 (C) (1.3) (N)
WATER POLLUTION CONTROL	52.4 (C) 5.1 (N)		335.1 (C) 21.8 (N)	645.4 (C) 42.2 (N)
ECONOMIC DEVELOPMENT	3.0 (C) 0.0 (N)		67.4 (C) 9.2 (N)	285.4 (C) 43.1 (N)
EDUCATION	190.0 (C) 150.0 (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: NOVEMBER	FISCAL YEAR: 2013	FISCAL YEAR
	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	PLAN
CORRECTION	1.7 (C)	41.5 (C)	167.9 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
SANITATION	38.8 (C)	124.0 (C)	255.3 (C)
	0.0 (N)	0.0 (N)	1.7 (N)
POLICE	29.8 (C)	140.0 (C)	273.9 (C)
	0.0 (N)	0.0 (N)	(3.2) (N)
FIRE	3.0 (C)	26.8 (C)	94.2 (C)
	0.0 (N)	0.1 (N)	4.1 (N)
HOUSING	5.2 (C)	125.9 (C)	212.9 (C)
	1.4 (N)	33.9 (N)	58.0 (N)
HOSPITALS	9.6 (C)	62.6 (C)	119.1 (C)
	0.0 (N)	1.6 (N)	1.2 (N)
PUBLIC BUILDINGS	6.4 (C)	44.3 (C)	186.2 (C)
	0.0 (N)	0.0 (N)	0.2 (N)
PARKS	19.4 (C)	139.8 (C)	342.1 (C)
	2.9 (N)	8.8 (N)	69.8 (N)
ALL OTHER DEPARTMENTS	53.3 (C)	390.5 (C)	1,506.5 (C)
	11.9 (N)	65.1 (N)	164.8 (N)
TOTAL	\$523.3 (C)	\$2,716.2 (C)	\$7,321.8 (C)
	\$206.5 (N)	\$796.1 (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: NOVEMBER
FISCAL YEAR 2013

	ACTUAL					FORECAST							12 Months	ADJUST-MENTS	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	\$ 4,302	\$ 2,158	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 3,537	\$ 16,478	\$ 1,952	\$ 18,430	
OTHER TAXES	495	1,120	3,013	1,622	1,239	2,791	2,848	1,365	2,527	2,754	1,141	3,623	24,538	871	25,409	
FEDERAL CATEGORICAL GRANTS	112	161	30	151	239	580	421	362	1,073	478	544	958	5,109	2,153	7,262	
STATE CATEGORICAL GRANTS	289	663	1,149	120	586	1,004	147	224	2,280	166	1,455	1,709	9,792	1,774	11,566	
OTHER CATEGORICAL GRANTS	61	163	213	(113)	(12)	140	61	43	44	66	16	268	950	28	978	
UNRESTRICTED (NET OF DISALL.)	-	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)	
MISCELLANEOUS REVENUES	623	382	290	330	388	321	304	288	360	321	575	610	4,792	10	4,802	
INTER-FUND REVENUES	-	-	52	32	28	49	71	45	39	80	42	69	507	31	538	
SUBTOTAL	\$ 4,671	\$ 2,687	\$ 5,537	\$ 2,926	\$ 2,546	\$ 9,187	\$ 6,010	\$ 2,425	\$ 7,332	\$ 4,278	\$ 3,793	\$ 10,774	\$ 62,166	\$ 6,804	\$ 68,970	
PRIOR																
OTHER TAXES	781	217	-	-	-	-	-	-	-	-	-	-	998	-	998	
FEDERAL CATEGORICAL GRANTS	39	460	465	160	363	218	88	94	181	22	38	161	2,289	867	3,156	
STATE CATEGORICAL GRANTS	142	357	96	487	270	104	41	42	203	10	34	104	1,890	1,541	3,431	
OTHER CATEGORICAL GRANTS	4	32	21	177	14	1	6	-	-	2	-	-	257	65	322	
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	5	5	
MISC. REVENUE/IFA	2	-	128	-	-	-	-	-	-	-	-	-	130	(130)	-	
SUBTOTAL	\$ 968	\$ 1,066	\$ 710	\$ 824	\$ 647	\$ 323	\$ 135	\$ 136	\$ 384	\$ 34	\$ 72	\$ 265	\$ 5,564	\$ 2,348	\$ 7,912	
CAPITAL																
CAPITAL TRANSFERS	766	174	1,085	469	559	337	816	798	795	829	695	700	8,023	(701)	7,322	
FEDERAL AND STATE	243	37	401	6	143	54	150	148	162	97	117	348	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	(17)	-	-	-	-	-	-	-	-	-	
OTHER SOURCES	-	-	16	315	34	-	-	-	-	-	-	119	484	-	484	
TOTAL INFLOWS	\$ 6,964	\$ 3,964	\$ 7,764	\$ 4,536	\$ 4,348	\$ 9,884	\$ 7,421	\$ 3,799	\$ 9,204	\$ 5,239	\$ 4,682	\$ 12,674	\$ 80,479	\$ 8,138	\$ 88,617	
CASH OUTFLOWS																
CURRENT																
PERSONAL SERVICE	\$ 1,395	\$ 2,685	\$ 2,754	\$ 2,875	\$ 2,657	\$ 2,934	\$ 2,922	\$ 2,772	\$ 3,447	\$ 2,788	\$ 2,847	\$ 4,232	\$ 34,308	\$ 3,048	\$ 37,356	
OTHER THAN PERSONAL SERVICE	1,624	1,659	2,131	2,048	1,375	2,296	2,151	2,085	2,072	2,060	1,795	3,419	24,715	3,034	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	\$ 5,346	\$ 5,724	\$ 5,151	\$ 5,843	\$ 5,277	\$ 4,838	\$ 7,920	\$ 62,888	\$ 6,082	\$ 68,970	
PRIOR																
PERSONAL SERVICE	1,570	786	17	11	32	31	28	10	6	63	88	81	2,723	1,082	3,805	
OTHER THAN PERSONAL SERVICE	595	490	-	2	398	111	71	376	87	213	110	136	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	\$ 142	\$ 99	\$ 386	\$ 93	\$ 276	\$ 198	\$ 217	\$ 5,516	\$ 4,757	\$ 10,273	
CAPITAL																
CITY DISBURSEMENTS	582	435	664	511	523	582	848	486	728	649	693	621	7,322	-	7,322	
FEDERAL AND STATE	231	51	235	72	206	74	324	75	263	51	250	74	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	\$ 6,364	\$ 7,134	\$ 6,269	\$ 7,176	\$ 6,424	\$ 6,150	\$ 9,003	\$ 80,139	\$ 10,839	\$ 90,978	
NET CASH FLOW	\$ (182)	\$ (2,678)	\$ 1,602	\$ (1,523)	\$ (1,262)	\$ 3,520	\$ 287	\$ (2,470)	\$ 2,028	\$ (1,185)	\$ (1,468)	\$ 3,671	\$ 340	\$ (2,701)	\$ (2,361)	
BEGINNING BALANCE	\$ 7,493	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 6,970	\$ 7,257	\$ 4,787	\$ 6,815	\$ 5,630	\$ 4,162	\$ 7,493			
ENDING BALANCE	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 6,970	\$ 7,257	\$ 4,787	\$ 6,815	\$ 5,630	\$ 4,162	\$ 7,833	\$ 7,833			

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

MONTH: NOVEMBER
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	400	1,300	961	-	-	1,192	7,172	-	7,172	
(INC)/DEC RESTRICTED CASH	312	(923)	881	(821)	283	(362)	416	(502)	(166)	829	695	(492)	150	-	150	
SUBTOTAL	\$ 512	\$ 102	\$ 913	\$ 325	\$ 500	\$ 337	\$ 816	\$ 798	\$ 795	\$ 829	\$ 695	\$ 700	\$ 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	\$ 816	\$ 798	\$ 795	\$ 829	\$ 695	\$ 700	\$ 8,023	\$ (701)	\$ 7,322	
<u>FEDERAL AND STATE - INFLOWS:</u>																
CURRENT	\$ 5	\$ 37	\$ 401	\$ 6	\$ 143	\$ 54	\$ 150	\$ 148	\$ 162	\$ 97	\$ 117	\$ 348	\$ 1,668	\$ 238	\$ 1,906	
PRIOR	238	-	-	-	-	-	-	-	-	-	-	-	238	(238)	-	
TOTAL FEDERAL AND STATE INFLOWS	\$ 243	\$ 37	\$ 401	\$ 6	\$ 143	\$ 54	\$ 150	\$ 148	\$ 162	\$ 97	\$ 117	\$ 348	\$ 1,906	\$ -	\$ 1,906	
<u>CAPITAL OUTFLOWS:</u>																
CITY DISBURSEMENTS	\$ (582)	\$ (435)	\$ (664)	\$ (511)	\$ (523)	\$ (582)	\$ (848)	\$ (486)	\$ (728)	\$ (649)	\$ (693)	\$ (621)	\$ (7,322)	\$ -	\$ (7,322)	
FEDERAL AND STATE	(231)	(51)	(235)	(72)	(206)	(74)	(324)	(75)	(263)	(51)	(250)	(74)	(1,906)	-	(1,906)	
TOTAL OUTFLOWS	\$ (813)	\$ (486)	\$ (899)	\$ (583)	\$ (729)	\$ (656)	\$ (1,172)	\$ (561)	\$ (991)	\$ (700)	\$ (943)	\$ (695)	\$ (9,228)	\$ -	\$ (9,228)	
<u>NET CAPITAL:</u>																
NET CITY CAPITAL	\$ 184	\$ (261)	\$ 421	\$ (42)	\$ 36	\$ (245)	\$ (32)	\$ 312	\$ 67	\$ 180	\$ 2	\$ 79	\$ 701	\$ (701)	\$ -	
NET NON-CITY CAPITAL	12	(14)	166	(66)	(63)	(20)	(174)	73	(101)	46	(133)	274	-	-	-	
NET TOTAL CAPITAL	\$ 196	\$ (275)	\$ 587	\$ (108)	\$ (27)	\$ (265)	\$ (206)	\$ 385	\$ (34)	\$ 226	\$ (131)	\$ 353	\$ 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.