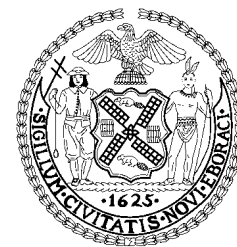
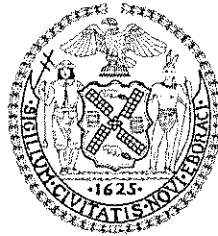


Financial Plan Statements
for
New York City
October 2012



The City of New York



This report contains Financial Plan Statements for October 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

A handwritten signature in black ink, appearing to read 'John Grathwol', written over a horizontal line.

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

A handwritten signature in black ink, appearing to read 'Simcha Felder', written over a horizontal line.

Simcha Felder
Deputy Comptroller of Accountancy and Budget
Office of the Comptroller

TABLE OF CONTENTS

<u>REPORT NO.</u>	<u>INTRODUCTION</u>	<u>PAGE</u>
	Notes to Financial Plan Statements	1-3
1/1A	Revenue and Obligation Forecast	4-6
2	Analysis of Change in Fiscal Year Plan	7-9
3	Revenue Activity By Major Area	10-12
4/4A	Obligation Analysis and Personnel Control Report	13-18
5	Capital Commitments	19-27
5A	Capital Cash Flow	28-29
6/6A	Month-By-Month Cash Flow Forecast	30-32

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: OCTOBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
REVENUES:							
TAXES							
GENERAL PROPERTY TAX	\$ 684	\$ 654	\$ 30	\$ 10,254	\$ 10,121	\$ 133	\$ 18,430
OTHER TAXES	1,487	1,451	36	6,818	6,712	106	25,409
SUBTOTAL: TAXES	\$ 2,171	\$ 2,105	\$ 66	\$ 17,072	\$ 16,833	\$ 239	\$ 43,839
MISCELLANEOUS REVENUES	398	640	(242)	1,747	1,841	(94)	6,506
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-
LESS: INTRA-CITY REVENUE DISALLOWANCES	(68)	(139)	71	(122)	(190)	68	(1,704)
	-	-	-	-	-	-	(15)
SUBTOTAL: CITY FUNDS	\$ 2,501	\$ 2,606	\$ (105)	\$ 18,697	\$ 18,484	\$ 213	\$ 48,626
OTHER CATEGORICAL GRANTS	75	31	44	255	231	24	978
INTER-FUND REVENUES	32	35	(3)	84	86	(2)	538
FEDERAL CATEGORICAL GRANTS	638	567	71	795	879	(84)	7,262
STATE CATEGORICAL GRANTS	444	202	242	1,933	1,772	161	11,566
TOTAL REVENUES	\$ 3,690	\$ 3,441	\$ 249	\$ 21,764	\$ 21,452	\$ 312	\$ 68,970
EXPENDITURES:							
PERSONAL SERVICE	\$ 2,852	\$ 2,766	\$ (86)	\$ 9,782	\$ 9,739	\$ (43)	\$ 37,356
OTHER THAN PERSONAL SERVICE	1,621	1,801	180	14,767	14,515	(252)	29,153
DEBT SERVICE	326	375	49	963	768	(195)	3,865
GENERAL RESERVE	-	-	-	-	-	-	300
SUBTOTAL	\$ 4,799	\$ 4,942	\$ 143	\$ 25,512	\$ 25,022	\$ (490)	\$ 70,674
LESS: INTRA-CITY EXPENSES	(68)	(139)	(71)	(122)	(190)	(68)	(1,704)
TOTAL EXPENDITURES	\$ 4,731	\$ 4,803	\$ 72	\$ 25,390	\$ 24,832	\$ (558)	\$ 68,970
NET TOTAL	\$ (1,041)	\$ (1,362)	\$ 321	\$ (3,626)	\$ (3,380)	\$ (246)	\$ -

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

NOTES TO REPORT #1

The current month and year-to-date plan data in Report No. 1 reflect the Financial Plan submitted to the Financial Control Board on June 28, 2012. The fiscal year plan data in Report No. 1 reflect the Financial Plan submitted to the Financial Control Board on November 9, 2012.

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

MONTH: OCTOBER
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	\$ 42	\$ 4,302	\$ 2,258	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 37	\$ (3)	\$ 18,430		
OTHER TAXES	1,057	1,110	3,164	1,487	1,257	2,767	2,893	1,273	2,673	2,636	1,129	3,604	359	25,409		
SUBTOTAL: TAXES	\$ 9,639	\$ 1,308	\$ 3,954	\$ 2,171	\$ 1,299	\$ 7,069	\$ 5,151	\$ 1,371	\$ 3,682	\$ 3,049	\$ 1,149	\$ 3,641	\$ 356	\$ 43,839		
MISCELLANEOUS REVENUES	624	398	327	398	458	412	486	373	515	491	603	1,020	401	6,506		
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
LESS: INTRA-CITY REVENUE	(1)	(16)	(37)	(68)	(109)	(135)	(169)	(87)	(140)	(140)	(40)	(392)	(370)	(1,704)		
DISALLOWANCES	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)		
SUBTOTAL: CITY FUNDS	\$ 10,262	\$ 1,690	\$ 4,244	\$ 2,501	\$ 1,648	\$ 7,346	\$ 5,468	\$ 1,657	\$ 4,057	\$ 3,400	\$ 1,712	\$ 4,269	\$ 372	\$ 48,626		
OTHER CATEGORICAL GRANTS	17	26	137	75	11	65	49	20	72	30	14	462	-	978		
INTER-FUND REVENUES	-	-	52	32	32	49	71	44	39	79	41	67	32	538		
FEDERAL CATEGORICAL GRANTS	30	33	94	638	639	455	727	619	575	724	594	622	1,512	7,262		
STATE CATEGORICAL GRANTS	5	9	1,475	444	795	847	1,038	966	1,266	1,106	883	1,135	1,597	11,566		
TOTAL REVENUES	\$ 10,314	\$ 1,758	\$ 6,002	\$ 3,690	\$ 3,125	\$ 8,762	\$ 7,353	\$ 3,306	\$ 6,009	\$ 5,339	\$ 3,244	\$ 6,555	\$ 3,513	\$ 68,970		
EXPENDITURES:																
PERSONAL SERVICE	\$ 1,996	\$ 2,107	\$ 2,827	\$ 2,852	\$ 2,826	\$ 3,514	\$ 2,895	\$ 2,780	\$ 2,908	\$ 2,828	\$ 2,885	\$ 5,071	\$ 1,867	\$ 37,356		
OTHER THAN PERSONAL SERVICE	8,241	3,262	1,643	1,621	1,441	1,770	1,793	1,395	1,679	1,673	1,402	2,405	828	29,153		
DEBT SERVICE	120	356	161	326	521	19	623	76	114	401	10	1,138	-	3,865		
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300		
SUBTOTAL	\$ 10,357	\$ 5,725	\$ 4,631	\$ 4,799	\$ 4,788	\$ 5,303	\$ 5,311	\$ 4,251	\$ 4,701	\$ 4,902	\$ 4,297	\$ 8,614	\$ 2,995	\$ 70,674		
LESS: INTRA-CITY EXPENSES	(1)	(16)	(37)	(68)	(109)	(135)	(169)	(87)	(140)	(140)	(40)	(392)	(370)	(1,704)		
TOTAL EXPENDITURES	\$ 10,356	\$ 5,709	\$ 4,594	\$ 4,731	\$ 4,679	\$ 5,168	\$ 5,142	\$ 4,164	\$ 4,561	\$ 4,762	\$ 4,257	\$ 8,222	\$ 2,625	\$ 68,970		
NET TOTAL	\$ (42)	\$ (3,951)	\$ 1,408	\$ (1,041)	\$ (1,554)	\$ 3,594	\$ 2,211	\$ (858)	\$ 1,448	\$ 577	\$ (1,013)	\$ (1,667)	\$ 888	\$ -		

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: OCTOBER
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>

NOTES TO REPORT #2

REVENUE:

Taxes: The forecast for taxes increases by \$195 million from previous level to reflect the latest economic outlook and latest trends in collections. The increase in the forecast includes \$13 million in general property tax and \$182 million in other taxes.

Miscellaneous Revenue: The decrease of \$443 million is primarily due to \$544 million in Miscellaneous Revenue, \$7 million in Water and Sewer Charges and \$2 million in interest income, offset by increases of \$73 million in Intra-City Revenues, \$18 million in Licenses and Franchises, \$11 million in Rental Income and \$7 million in Fines and Forfeitures.

Other Categorical Grants: The increase of \$54 million in Other Categorical grants is primarily due to funding adjustments reflected in the expenditure forecast and categorical budget modifications.

Federal and State Grants: The increase of \$601 million in Federal categorical grants is primarily due to funding adjustments reflected in the expenditure forecast and categorical budget modifications. The increase of \$136 million in State categorical grants is primarily due to funding adjustments reflected in the expenditure forecast and categorical budget modifications.

EXPENDITURES:

The increase of \$469 million in total expenditures from the previous forecast is summarized in the following table on the next page.

EXPENDITURES PLAN TO PLAN CHANGES
TOTAL FUNDS*
(MILLIONS OF DOLLARS)

Agency	6/28/12 Forecast	New Needs/ PRS	Collective Bargaining	Budget Stabilization Account/ Prepayments	All Other Adjustments	PEGs	11/9/12 Plan
Uniform Forces							
Police Department	\$ 4,458	\$ 10	\$ -	\$ -	\$ 148	\$ (22)	\$ 4,594
Fire Department	1,783	7	-	-	90	(7)	1,873
Department of Correction	1,050	25	-	-	10	(20)	1,065
Department of Sanitation	1,351	6	1	-	3	(1)	1,360
Health and Welfare							
Child Services	2,824	-	-	-	18	(30)	2,812
Social Services	9,276	2	-	-	8	(4)	9,282
Homeless Services	801	93	-	-	33	(2)	925
Health & Mental Hygiene	1,575	1	-	-	87	(18)	1,645
Other Mayoral							
HPD	570	-	-	-	44	(3)	611
Environmental Protection	1,133	-	-	-	8	(1)	1,140
Finance	224	-	-	-	3	-	227
Transportation	710	-	-	-	111	3	824
Parks	295	-	-	-	13	-	308
Dept. of Administrative Services	369	4	-	-	21	(6)	388
All Other Mayoral	2,385	12	-	-	81	(65)	2,413
Education							
Department of Education	19,707	-	-	-	(49)	(166)	19,492
CUNY	832	-	-	-	1	-	833
Covered Organization							
HHC	74	-	-	-	(2)	-	72
Other							
Pensions	7,937	-	-	-	-	-	7,937
Miscellaneous	6,429	11	(1)	-	17	-	6,456
Debt Service	3,898	-	-	-	-	(33)	3,865
General Reserve	300	-	-	-	-	-	300
Elected Officials							
Mayoralty	90	-	-	-	5	(2)	93
All Other Elected	430	-	-	-	27	(2)	455
Total	\$ 68,501	\$ 171	\$ -	\$ -	\$ 677	\$ (379)	\$ 68,970

* Less Intra-city

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: OCTOBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
TAXES:							
GENERAL PROPERTY TAX	\$ 684	\$ 654	\$ 30	\$ 10,254	\$ 10,121	\$ 133	\$ 18,430
PERSONAL INCOME TAX	694	688	6	2,377	2,383	(6)	8,493
GENERAL CORPORATION TAX	41	8	33	473	493	(20)	2,477
BANKING CORPORATION TAX	18	(3)	21	416	278	138	1,308
UNINCORPORATED BUSINESS TAX	17	34	(17)	345	357	(12)	1,770
GENERAL SALES TAX	464	456	8	1,876	1,871	5	6,061
REAL PROPERTY TRANSFER TAX	61	81	(20)	313	333	(20)	946
MORTGAGE RECORDING TAX	43	48	(5)	195	205	(10)	594
COMMERCIAL RENT TAX	8	5	3	162	167	(5)	653
UTILITY TAX	34	36	(2)	97	102	(5)	402
OTHER TAXES	30	30	-	237	236	1	1,043
TAX AUDIT REVENUES *	77	60	17	139	120	19	838
STAR PROGRAM	-	8	(8)	188	167	21	824
TOTAL TAXES	\$ 2,171	\$ 2,105	\$ 66	\$ 17,072	\$ 16,833	\$ 239	\$ 43,839
MISCELLANEOUS REVENUES:							
LICENSES/FRANCHISES/ETC.	\$ 36	\$ 56	(20)	\$ 172	\$ 176	(4)	\$ 569
INTEREST INCOME	2	1	1	4	6	(2)	17
CHARGES FOR SERVICES	33	81	(48)	157	212	(55)	888
WATER AND SEWER CHARGES	99	84	15	792	683	109	1,508
RENTAL INCOME	20	22	(2)	75	62	13	291
FINES AND FORFEITURES	70	69	1	285	269	16	812
MISCELLANEOUS	70	188	(118)	140	243	(103)	717
INTRA-CITY REVENUE	68	139	(71)	122	190	(68)	1,704
TOTAL MISCELLANEOUS REVENUES	\$ 398	\$ 640	\$ (242)	\$ 1,747	\$ 1,841	\$ (94)	\$ 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	\$ 1	\$ 2	\$ 23
PERSONAL INCOME TAX	1	16	40
GENERAL CORPORATION TAX	14	52	507
COMMERCIAL RENT TAX	2	4	20
BANKING CORPORATION TAX	27	28	132
UTILITY TAX	1	2	8
UNINCORPORATED BUSINESS TAX	23	26	93
REAL PROPERTY TRANSFER TAX	6	7	6
OTHER TAXES	2	2	9
TOTAL	\$ 77	\$ 139	\$ 838

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

**MONTH: OCTOBER
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	(68)	(139)	71	(122)	(190)	68	(1,704)
DISALLOWANCES	-	-	-	-	-	-	(15)
OTHER CATEGORICAL GRANTS	75	31	44	255	231	24	978
INTER-FUND REVENUES	32	35	(3)	84	86	(2)	538
FEDERAL CATEGORICAL GRANTS							
COMMUNITY DEVELOPMENT	\$ 18	\$ 19	\$ (1)	\$ 50	\$ 54	\$ (4)	\$ 229
WELFARE	390	283	107	411	465	(54)	3,218
EDUCATION	21	49	(28)	41	80	(39)	1,904
OTHER	209	216	(7)	293	280	13	1,911
TOTAL FEDERAL CATEGORICAL GRANTS	<u>\$ 638</u>	<u>\$ 567</u>	<u>\$ 71</u>	<u>\$ 795</u>	<u>\$ 879</u>	<u>\$ (84)</u>	<u>\$ 7,262</u>
STATE CATEGORICAL GRANTS							
WELFARE	\$ 181	\$ 102	\$ 79	\$ 185	\$ 169	\$ 16	\$ 1,478
EDUCATION	259	1	258	1,735	1,447	288	8,388
HIGHER EDUCATION	-	44	(44)	-	44	(44)	235
HEALTH AND MENTAL HYGIENE	1	20	(19)	1	70	(69)	567
OTHER	3	35	(32)	12	42	(30)	898
TOTAL STATE CATEGORICAL GRANTS	<u>\$ 444</u>	<u>\$ 202</u>	<u>\$ 242</u>	<u>\$ 1,933</u>	<u>\$ 1,772</u>	<u>\$ 161</u>	<u>\$ 11,566</u>
TOTAL REVENUES	<u><u>\$ 3,690</u></u>	<u><u>\$ 3,441</u></u>	<u><u>\$ 249</u></u>	<u><u>\$ 21,764</u></u>	<u><u>\$ 21,452</u></u>	<u><u>\$ 312</u></u>	<u><u>\$ 68,970</u></u>

NOTES TO REPORT #3

The current month and year-to-date plan data in Report No. 3 reflect the Financial Plan submitted to the Financial Control Board on June 28, 2012. The fiscal year plan data in Report No. 3 reflect the Financial Plan submitted to the Financial Control Board on November 9, 2012.

Report No. 4 & 4A

Obligation Analysis and Personnel Control Report

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

**MONTH: OCTOBER
FISCAL YEAR 2013**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	PLAN
UNIFORM FORCES							
POLICE DEPT.	\$ 362	\$ 347	\$ (15)	\$ 1,487	\$ 1,442	\$ (45)	\$ 4,824
FIRE DEPT.	134	139	5	590	586	(4)	1,876
DEPT. OF CORRECTION	82	71	(11)	351	358	7	1,065
SANITATION DEPT.	80	65	(15)	614	520	(94)	1,363
HEALTH & WELFARE							
ADMIN. FOR CHILD SERVICES	83	264	181	1,477	1,582	105	2,813
DEPT. OF SOCIAL SERVICES	716	985	269	3,602	3,569	(33)	9,293
DEPT. OF HOMELESS SERVICES	17	11	(6)	638	548	(90)	926
HEALTH & MENTAL HYGIENE	238	60	(178)	794	888	94	1,653
OTHER AGENCIES							
HOUSING PRESERVATION & DEV.	53	20	(33)	280	241	(39)	614
ENVIRONMENTAL PROTECTION	56	91	35	429	455	26	1,142
TRANSPORTATION DEPT.	49	47	(2)	398	313	(85)	826
PARKS & RECREATION DEPT.	28	24	(4)	140	132	(8)	352
DEPT. OF CITYWIDE ADMIN. SERVICES	10	14	4	931	1,068	137	1,221
ALL OTHER	242	268	26	1,618	1,609	(9)	3,376
MAJOR ORGANIZATIONS							
DEPT. OF EDUCATION	1,306	1,190	(116)	6,313	6,098	(215)	19,511
HIGHER EDUCATION	55	43	(12)	274	201	(73)	862
HEALTH & HOSPITALS CORP.	6	8	2	39	46	7	198
OTHER							
MISCELLANEOUS BUDGET:							
FRINGE BENEFITS	240	179	(61)	945	862	(83)	3,879
TRANSIT SUBSIDIES	-	1	1	526	555	29	786
JUDGMENTS & CLAIMS	32	47	15	189	188	(1)	735
OTHER	24	18	(6)	275	292	17	1,132
PENSION CONTRIBUTIONS	660	675	15	2,639	2,701	62	8,062
DEBT SERVICE	326	375	49	963	768	(195)	3,865
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-
SUBTOTAL	\$ 4,799	\$ 4,942	\$ 143	\$ 25,512	\$ 25,022	\$ (490)	\$ 70,374
PLUS GENERAL RESERVE	-	-	-	-	-	-	300
LESS: INTRA-CITY EXPENSES	(68)	(139)	(71)	(122)	(190)	(68)	(1,704)
TOTAL EXPENDITURES	\$ 4,731	\$ 4,803	\$ 72	\$ 25,390	\$ 24,832	\$ (558)	\$ 68,970

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

**MONTH: OCTOBER
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.	50,463	50,803	\$ 337	\$ 319	\$ (18)	\$ 1,299	\$ 1,272	\$ (27)	50,171	\$ 4,337
FIRE DEPT.	15,506	15,352	121	123	2	478	490	12	15,252	1,635
DEPT. OF CORRECTION	10,130	10,402	72	67	(5)	286	265	(21)	10,597	943
SANITATION DEPT.	9,342	9,354	58	59	1	241	249	8	9,328	826
HEALTH & WELFARE										
ADMIN. FOR CHILD SERVICES	6,144	6,512	30	31	1	119	122	3	6,634	398
DEPT. OF SOCIAL SERVICES	14,089	14,078	56	57	1	224	231	7	14,614	754
DEPT. OF HOMELESS SERVICES	1,814	1,935	9	9	-	35	36	1	1,949	121
HEALTH & MENTAL HYGIENE	5,566	5,757	28	28	-	106	113	7	6,381	391
OTHER AGENCIES										
ENVIRONMENTAL PROTECTION	5,655	5,955	34	35	1	138	141	3	6,109	461
TRANSPORTATION DEPT.	4,711	4,300	31	25	(6)	116	97	(19)	4,530	351
PARKS & RECREATION DEPT.	5,785	6,016	20	20	-	96	94	(2)	5,915	262
CITYWIDE ADMIN. SERVICES	2,061	2,462	11	11	-	42	44	2	2,216	143
ALL OTHER	30,642	29,350	165	153	(12)	637	615	(22)	30,278	2,099
MAJOR ORGANIZATIONS										
DEPT. OF EDUCATION	132,608	132,367	980	970	(10)	2,381	2,394	13	132,367	12,588
OTHER										
MISCELLANEOUS BUDGET	-	-	240	184	(56)	945	875	(70)	-	3,985
PENSION CONTRIBUTIONS	-	-	660	675	15	2,639	2,701	62	-	8,062
TOTAL	294,516	294,643	\$ 2,852	\$ 2,766	\$ (86)	\$ 9,782	\$ 9,739	\$ (43)	296,341	\$ 37,356

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

NOTES TO REPORTS NO. 4 AND 4A

The current month and year-to-date plan data in Reports No. 4 and 4A reflect the Financial Plan submitted to the Financial Control Board on June 28, 2012. The 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 294,516 filled positions as of October of which 269,384 are full-time positions and 25,132 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 \$(45) million year-to-date variance is primarily due to:

- \$(27) million in accelerated encumbrances, including \$(13) million for other services and charges and \$(13) million for contractual services, that was planned to be obligated later in the fiscal year.
- \$9 million in delayed encumbrances, primarily for property and equipment, that will be obligated later in the fiscal year.
- \$(27) million in personal services, including \$(31) million for overtime and \$(7) million for differentials, offset by \$7 million for full-time normal gross and \$3 million for fringe benefits.

Sanitation Department: The \$(94) million year-to-date variance is primarily due to:

- \$(112) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$10 million in delayed encumbrances, including \$8 million for other services and charges and \$2 million for supplies and materials, that will be obligated later in the fiscal year.
- \$8 million in personal services, including \$5 million for overtime, \$1 million for full-time normal gross, \$1 million for differentials and \$1 million for holiday pay.

Administration for Children's Services: The \$105 million year-to-date variance is primarily due to:

- \$(22) million in accelerated encumbrances, including \$(13) million for social services and \$(9) million for other services and charges, that was planned to be obligated later in the fiscal year.

- \$124 million in delayed encumbrances, including \$94 million for contractual charges and \$27 million for fixed and miscellaneous charges, that will be obligated later in the fiscal year.
- \$3 million in personal services.

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

- \$(56) million in accelerated encumbrances, including \$(25) million for medical assistance, \$(23) million for contractual services and \$(3) million for public assistance, that was planned to be obligated later in the fiscal year.
- \$16 million in delayed encumbrances, including \$13 million for other services and charges and \$3 million for social services, that will be obligated later in the fiscal year.
- \$7 million in personal services, including \$11 million for full-time normal gross, offset by \$(4) million for differentials.

Department of Homeless Services: The \$(90) million year-to-date variance is primarily due to:

- \$(92) million in accelerated encumbrances, primarily for contractual services, that was planned to be obligated later in the fiscal year.
- \$1 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Department of Health and Mental Hygiene: The \$94 million year-to-date variance is primarily due to:

- \$(17) million in accelerated encumbrances, primarily for other services and charges, that was planned to be obligated later in the fiscal year.
- \$104 million in delayed encumbrances, including \$75 million for contractual services, \$21 million for social services and \$7 million for supplies and materials, that will be obligated later in the fiscal year.
- \$7 million in personal services, including \$9 million for other salaried positions, offset by \$(2) million for differentials.

Housing Preservation and Development: The \$(39) million year-to-date variance is primarily due to:

- \$(43) million in accelerated encumbrances, including \$(23) million for fixed and miscellaneous charges, \$(17) million for contractual services and \$(3) million for supplies and materials, that was planned to be obligated later in the fiscal year.

- \$3 million in delayed encumbrances, primarily for other services and charges, that will be obligated later in the fiscal year.
- \$1 million in personal services.

Environmental Protection: The \$26 million year-to-date variance is primarily due to:

- \$(16) million in accelerated encumbrances, primarily for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$39 million in delayed encumbrances, including \$34 million for other services and charges and \$3 million for property and equipment, that will be obligated later in the fiscal year.
- \$3 million in personal services.

Transportation Department: The \$(85) million year-to-date variance is primarily due to:

- \$(66) million in accelerated encumbrances, including \$(35) million for contractual services, \$(20) million for supplies and materials and \$(11) million for other services and charges, that was planned to be obligated later in the fiscal year.
- \$(19) million in personal services, including \$(8) million for full-time normal gross, \$(4) million for overtime, \$(2) million for differentials, \$(2) million for other salaried positions and \$(2) million for prior year charges.

Department of Citywide Administrative Services: The \$137 million year-to-date variance is primarily due to:

- \$(9) million in accelerated encumbrances, including \$(6) million for contractual services and \$(2) million for supplies and materials, that was planned to be obligated later in the fiscal year.
- \$144 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 Education: The \$(215) million year-to-date variance is primarily due to:

- \$(484) million in accelerated encumbrances, including \$(475) million for contractual services and \$(9) million for property and equipment, that was planned to be obligated later in the fiscal year.
- \$256 million in delayed encumbrances, including \$167 million for supplies and materials, \$47 million for fixed and miscellaneous charges and \$42 million for other services and charges, that will be obligated later in the fiscal year.

- \$13 million in personal services, including \$45 million for other salaried positions, \$14 million for full-time normal gross, \$11 million for fringe benefits and \$3 million for terminal leave, offset by \$(48) million for prior year charges, \$(5) million for overtime, \$(3) million for differentials and \$(3) million for all other adjustments.

Higher Education: The \$(73) million year-to-date variance is primarily due to:

- \$(48) million in accelerated encumbrances, including \$(27) million for fixed and miscellaneous charges, \$(16) million for other services and charges, \$(3) million for contractual services and \$(2) million for property and equipment, that was planned to be obligated later in the fiscal year.
- \$(25) million in personal services, including \$(10) million for full-time normal gross, \$(9) million for other salaried positions, \$(3) million for fringe benefits and \$(2) million for overtime.

Miscellaneous Budget: The \$(38) million year-to-date variance is primarily due to:

- \$(83) million in fringe benefits reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$29 million in transit subsidies reflecting delayed encumbrances, that will be obligated later in the fiscal year.
- \$(1) million in judgments and claims reflecting accelerated encumbrances, that was planned to be obligated later in the fiscal year.
- \$17 million in other reflecting delayed encumbrances, that will be obligated later in the fiscal year.

Pension Contributions: The \$62 million year-to-date variance is primarily due to:

- \$62 million in delayed encumbrances in pension contributions, that will be obligated later in the fiscal year.

Debt Service: The \$(195) million year-to-date variance is primarily due to:

- \$(262) million in accelerated encumbrances, including \$(235) million for redemption of general obligation bonds and \$(27) million for costs associated with financing, that was planned to be obligated later in the fiscal year.
- \$67 million in delayed encumbrances, including \$63 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: OCTOBER		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	7.3 (C) 12.5 (N)	1.6 (C) 5.3 (N)	30.0 (C) 25.8 (N)	39.3 (C) 14.2 (N)	608.2 (C) 358.1 (N)
HIGHWAY BRIDGES	6.6 (C) 0.0 (N)	0.5 (C) 0.0 (N)	22.0 (C) 0.0 (N)	6.3 (C) 0.0 (N)	494.5 (C) 298.5 (N)
WATERWAY BRIDGES	1.5 (C) 0.0 (N)	0.0 (C) 0.0 (N)	(6.5) (C) (37.3) (N)	2.7 (C) 0.0 (N)	25.6 (C) 20.9 (N)
WATER SUPPLY	1.8 (C) 0.0 (N)	26.5 (C) 0.0 (N)	42.7 (C) 0.0 (N)	28.1 (C) 0.0 (N)	447.4 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	15.6 (C) 0.0 (N)	4.8 (C) 0.0 (N)	46.4 (C) 0.0 (N)	30.9 (C) 0.0 (N)	993.1 (C) 33.5 (N)
SEWERS	21.6 (C) 0.0 (N)	0.0 (C) 0.0 (N)	120.0 (C) 0.2 (N)	50.0 (C) 0.0 (N)	480.4 (C) 0.3 (N)
WATER POLLUTION CONTROL	(3.6) (C) (0.0) (N)	33.4 (C) 0.0 (N)	49.2 (C) (0.0) (N)	33.9 (C) 0.0 (N)	834.0 (C) 10.7 (N)
ECONOMIC DEVELOPMENT	25.1 (C) 0.3 (N)	0.0 (C) 0.0 (N)	117.0 (C) 2.1 (N)	13.1 (C) 0.0 (N)	1,037.2 (C) 104.6 (N)
EDUCATION	100.0 (C) 100.0 (N)	100.0 (C) 100.0 (N)	420.8 (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: OCTOBER		FISCAL YEAR: 2013		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	3.3 (C) 0.0 (N)	16.4 (C) 0.0 (N)	6.9 (C) 0.0 (N)	29.9 (C) 0.0 (N)	400.1 (C) 0.0 (N)
SANITATION	11.0 (C) 1.1 (N)	6.4 (C) 0.0 (N)	61.8 (C) 1.1 (N)	15.3 (C) 0.0 (N)	778.0 (C) 6.8 (N)
POLICE	8.5 (C) 0.0 (N)	16.6 (C) 0.0 (N)	13.7 (C) 0.0 (N)	17.9 (C) 0.0 (N)	287.9 (C) 0.0 (N)
FIRE	3.5 (C) (0.0) (N)	0.0 (C) 0.0 (N)	14.6 (C) 0.1 (N)	0.5 (C) 0.0 (N)	239.0 (C) 9.5 (N)
HOUSING	4.0 (C) 6.6 (N)	0.0 (C) 0.0 (N)	18.5 (C) 9.0 (N)	0.7 (C) 0.0 (N)	823.6 (C) 132.6 (N)
HOSPITALS	38.2 (C) 0.0 (N)	15.5 (C) 0.0 (N)	100.1 (C) 0.0 (N)	28.6 (C) 2.2 (N)	424.5 (C) 2.2 (N)
PUBLIC BUILDINGS	(3.0) (C) 0.0 (N)	3.5 (C) 0.0 (N)	29.2 (C) 0.0 (N)	46.8 (C) 0.0 (N)	724.2 (C) 0.0 (N)
PARKS	66.6 (C) 4.4 (N)	0.2 (C) 0.0 (N)	112.6 (C) 10.7 (N)	18.5 (C) 0.3 (N)	1,101.3 (C) 183.8 (N)
ALL OTHER DEPARTMENTS	22.7 (C) 5.0 (N)	19.6 (C) 0.6 (N)	134.9 (C) 33.5 (N)	120.4 (C) 29.4 (N)	3,977.7 (C) 367.3 (N)
TOTAL	\$330.8 (C) \$129.8 (N)	\$245.0 (C) \$105.9 (N)	\$1,419.3 (C) \$439.4 (N)	\$928.1 (C) \$440.2 (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: October

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 October are primarily due to timing differences.

- | | | |
|-------------------------|---|--|
| Waterway Bridges | - | Reconstruction of the Williamsburg Bridge, totaling \$9.0 million, slipped from September 2012 to November 2012. Various slippages and advances account for the remaining variance. |
| Correction | - | Correction facilities, construction, reconstruction and improvements, City-wide, totaling \$12.5 million, slipped from September and October 2012 to November 2012. Purchase of computer equipment for other use by the Department of Correction, totaling \$8.5 million, slipped from October 2012 to November 2012. Various slippages and advances account for the remaining variance. |
| Economic
Development | - | Acquisition, site development, construction and reconstruction related to Economic Development, totaling \$91.3 million, advanced from June 2013 to July thru October 2012. Brooklyn Navy Yard, totaling \$3.4 million, advanced from June 2013 to October 2012. Industrial and Commercial Development, City-wide, totaling \$3.2 million, advanced from June 2013 to July and August 2012. Modernization and reconstruction of piers, City-wide, totaling \$4.3 million, advanced from June 2013 to July, August and October 2012. Various slippages and advances account for the remaining variance. |
| Fire | - | Vehicle acquisition, City-wide, totaling \$9.0 million, advanced from June 2013 to July thru October 2012. Facility improvements, City-wide, totaling \$3.7 million, advanced from June 2013 to July thru October 2012. Various slippages and advances account for the remaining variance. |

- Highway Bridges - Improvements to Highway Bridges, totaling \$8.2 million, slipped from August and October 2012 to November 2012. Planned deregistration of contracts, for design costs for bridge facilities, City-wide, totaling \$1.5 million, slipped from August 2012 to November 2012, 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 - Third party transfer station, totaling \$4.2 million, advanced from June 2013 to September 2012. Low income rental, totaling \$4.0 million, advanced from June 2013 to July thru September 2012. Various slippages and advances account for the remaining variance.

- Highways - Resurfacing of streets, City-wide, totaling \$5.1 million, advanced from December 2012 and June 2013 to July thru October 2012. Sidewalk reconstruction, totaling \$6.8 million, slipped from July thru October 2012 to November 2012. Construction, reconstruction and resurfacing of streets, totaling \$4.1 million, slipped from July thru October 2012 to November 2012. Land Acquisition for streets and sewers, totaling \$4.6 million, slipped from August and September 2012 to November 2012. Reconstruction of streets within the area, bounded by Conduit Avenue, totaling \$6.4 million, advanced from June 2013 to July 2012. Reconstruction of Springfield Blvd, totaling \$4.3 million, advanced from June 2013 to July 2012. Various slippages and advances account for the remaining variance.

- Parks - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$22.5 million, advanced from March, April and June 2013 to July thru October 2012. Acquisition of property, totaling \$7.1 million, advanced from June 2013 to October 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 \$8.2 million, advanced from June 2013 to July thru October 2012. Park improvements City-wide, totaling \$15.1 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.

- Public Buildings - Planned deregistration's and registrations for construction and reconstruction of public buildings, City-wide, totaling \$8.5 million, slipped from July 2012 thru October 2012 to November 2012. Surveys in connection with capital projects, City-wide, totaling \$6.6 million, slipped from July 2012 to November 2012. Deregistration of contracts for the reconstruction and improvements to long term leased facilities, City-wide, totaling \$2.9 million, occurred in October 2012. Abatement of unsafe conditions on city property, City-wide, totaling \$4.4 million, slipped from July 2012 to November 2012. Various slippages and advances account for the remaining variance.

- Sanitation - Collection trucks and other equipment, totaling \$8.7 million, advanced from January 2013 to July thru October 2012. Improvements to garages and other facilities, totaling \$4.1 million, slipped from September 2012 to November 2012. Reconstruction to the Marine Transfer Station, totaling \$3.3 million, slipped from October 2012 to November 2012. Improvements to Sanitation Garage, District 1/2/5, Manhattan, totaling \$36.3 million, advanced from June 2013 to July thru September 2012. Purchase of electronic data processing equipment, totaling \$9.2 million, advanced from January 2013 to September and October 2012. Various slippages and advances account for the remaining variance.

- Sewers - Construction and reconstruction of sanitary and combined sewers, City-wide, totaling \$26.6 million, advanced from December 2012 and June 2013 to July thru October 2012. Construction and reconstruction of storm sewers, City-wide, totaling \$14.7 million, advanced from December 2012 and June 2013 to July thru October 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 November 2012. Acquisition of land pursuant to storm water management program, Staten Island, totaling \$18.1 million, advanced from June 2013 to July 2012. 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 \$15.6 million, advanced from June 2013 to July thru October 2012. Various slippages and advances account for the remaining variance.

- Water Mains - Water main extensions, City-wide, totaling \$8.7 million, advanced from December 2012 to July thru October 2012. Trunk main extensions and improvements, totaling \$2.5 million, advanced from November

and December 2012 to October 2012. Construction of the Croton Filtration Plant, totaling \$14.6 million, advanced from June 2013 to October 2012. A deregistration of contracts for improvements to structures on watersheds outside the City, totaling \$19.4 million, occurred in October 2012. 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 and October 2012. Deregistration for reconstruction of Ward's Island Water Pollution Control Plant, totaling \$4.4 million, occurred in August thru October 2012. Reconstruction of Water Pollution Control Projects, totaling \$7.8 million, advanced from June 2013 to July thru October 2012. Combined sewer overflow abatement, totaling \$3.0 million, advanced from May and June 2013 to July thru October 2012. Twenty Sixth Ward Water Pollution Control Plant, totaling \$7.6 million, advanced from June 2013 to August thru October 2012. Reconstruction of Jamaica Water Pollution Control Plant, totaling \$3.6 million, advanced from June 2013 to July thru October 2012. Deregistration of contracts for the reconstruction of pumping Stations, City-wide, totaling \$2.8 million, occurred in October 2012. Deregistration of contracts for the upgrade of the Newtown Creek Water Pollution Control Plant, totaling \$4.4 million, occurred in September and October 2012. Various slippages and advances account for the remaining variance.

Others

- Purchase of electronic data processing equipment, totaling \$36.1 million, advanced from June 2013 to August thru October 2012.
- Purchase of electronic data processing equipment, totaling \$4.9 million, advanced from June 2013 to October 2012. A deregistration of contracts for acquisition, construction and reconstruction to leased spaces, totaling \$3.2 million, occurred in October 2012. Installation of Water Measuring Devices, totaling \$17.2 million, slipped from September 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 \$8.5 million, advanced from June 2013 to July thru October 2012. Medgar Evers College, Brooklyn, totaling \$2.0 million, advanced from June 2013 to October 2012.
- Queens's libraries system and equipment purchases, totaling \$10.4 million, slipped from July thru September 2012 to November 2012. Construction, reconstruction, improvements, acquisitions, outfitting and equipment for Queens's libraries, totaling \$19.3 million, slipped from July thru September 2012 to November 2012. A deregistration totaling \$13.9 million, occurred in October 2012.
- Improvements for surface transit service, totaling \$6.2 million, advanced from June 2013 to September 2012.
- Purchase of electronic data processing equipment, totaling \$10.5 million, advanced from June 2013 to July thru October 2012. Energy efficiency and sustainability, totaling \$4.1 million, slipped from October 2012 to November 2012.
- Various transit capital projects, totaling \$59.1 million, advanced from June 2013 to August 2012.

3. Variances in year-to-date commitments of non-City funds through October 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 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. |
| Highways | - Resurfacing of streets, City-wide, totaling \$9.8 million, advanced from December 2012 to October 2012. Sidewalk reconstruction, totaling \$3.7 million, slipped from October 2012 to November 2012. Hudson |

Yards Manhattan, totaling \$9.2 million, advanced from December 2012 and June 2013 to July and October 2012.

- Parks
 - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$3.3 million, advanced from June 2013 to July thru October 2012. Park improvements, totaling \$7.1 million, advanced from June 2013 to July thru October 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 \$14.3 million, slipped from July thru September 2012 to November 2012.

Report No. 5A

Capital Cash Flow

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

DESCRIPTION	MONTH: OCTOBER		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	21.1 (C) 6.6 (N)		66.2 (C) 17.7 (N)	408.4 (C) 123.1 (N)
HIGHWAY BRIDGES	19.0 (C) 7.5 (N)		49.6 (C) 39.2 (N)	216.0 (C) 144.8 (N)
WATERWAY BRIDGES	10.9 (C) 17.3 (N)		27.3 (C) 47.4 (N)	160.2 (C) 114.2 (N)
WATER SUPPLY	5.7 (C) 0.0 (N)		28.1 (C) 0.0 (N)	253.0 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	65.3 (C) 0.0 (N)		273.5 (C) 0.7 (N)	680.0 (C) 12.5 (N)
SEWERS	22.3 (C) 0.8 (N)		67.5 (C) 2.1 (N)	306.1 (C) (1.3) (N)
WATER POLLUTION CONTROL	59.9 (C) 4.3 (N)		282.7 (C) 16.7 (N)	645.4 (C) 42.2 (N)
ECONOMIC DEVELOPMENT	23.5 (C) 2.1 (N)		64.4 (C) 9.2 (N)	285.4 (C) 43.1 (N)
EDUCATION	0.0 (C) 0.0 (N)		320.0 (C) 363.5 (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: OCTOBER	FISCAL YEAR: 2013	FISCAL YEAR
	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	PLAN
CORRECTION	22.0 (C)	39.8 (C)	167.9 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
SANITATION	30.5 (C)	85.2 (C)	255.3 (C)
	0.0 (N)	0.0 (N)	1.7 (N)
POLICE	33.7 (C)	110.1 (C)	273.9 (C)
	0.0 (N)	0.0 (N)	(3.2) (N)
FIRE	8.7 (C)	23.8 (C)	94.2 (C)
	0.0 (N)	0.0 (N)	4.1 (N)
HOUSING	37.9 (C)	120.6 (C)	212.9 (C)
	20.0 (N)	32.4 (N)	58.0 (N)
HOSPITALS	20.8 (C)	53.0 (C)	119.1 (C)
	0.2 (N)	1.6 (N)	1.2 (N)
PUBLIC BUILDINGS	13.3 (C)	37.9 (C)	186.2 (C)
	0.0 (N)	0.0 (N)	0.2 (N)
PARKS	39.0 (C)	120.5 (C)	342.1 (C)
	1.8 (N)	5.8 (N)	69.8 (N)
ALL OTHER DEPARTMENTS	76.9 (C)	337.2 (C)	1,506.5 (C)
	11.8 (N)	53.1 (N)	164.8 (N)
TOTAL	\$510.7 (C)	\$2,193.0 (C)	\$7,321.8 (C)
	\$72.4 (N)	\$589.6 (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: OCTOBER
FISCAL YEAR 2013

	ACTUAL				NOV	DEC	JAN	FORECAST					12	ADJUST-	TOTAL	
	JUL	AUG	SEP	OCT				FEB	MAR	APR	MAY	JUN	Months	MENTS		
CASH INFLOWS																
CURRENT																
GENERAL PROPERTY TAX	\$ 3,091	\$ 198	\$ 790	\$ 784	\$ 42	\$ 4,302	\$ 2,158	\$ 98	\$ 1,009	\$ 413	\$ 20	\$ 3,537	\$ 16,442	\$ 1,988	\$ 18,430	
OTHER TAXES	495	1,120	3,013	1,622	1,235	2,757	2,848	1,365	2,528	2,754	1,142	3,622	24,501	908	25,409	
FEDERAL CATEGORICAL GRANTS	112	161	30	151	428	638	380	338	1,085	431	499	956	5,209	2,053	7,262	
STATE CATEGORICAL GRANTS	289	663	1,149	120	423	825	130	194	2,419	193	1,419	1,753	9,577	1,989	11,566	
OTHER CATEGORICAL GRANTS	61	163	213	(113)	109	48	61	41	40	66	14	267	970	8	978	
UNRESTRICTED (NET OF DISALL.)	-	-	-	-	-	-	-	-	-	-	-	-	-	(15)	(15)	
MISCELLANEOUS REVENUES	623	382	290	330	349	277	317	286	375	351	563	628	4,771	31	4,802	
INTER-FUND REVENUES	-	-	52	32	32	49	71	44	39	79	41	67	506	32	538	
SUBTOTAL	\$ 4,671	\$ 2,687	\$ 5,537	\$ 2,926	\$ 2,618	\$ 8,896	\$ 5,965	\$ 2,366	\$ 7,495	\$ 4,287	\$ 3,698	\$ 10,830	\$ 61,976	\$ 6,994	\$ 68,970	
PRIOR																
OTHER TAXES	781	217	-	-	-	-	-	-	-	-	-	-	998	-	998	
FEDERAL CATEGORICAL GRANTS	39	460	465	160	483	110	92	96	77	16	37	164	2,199	957	3,156	
STATE CATEGORICAL GRANTS	142	357	96	487	104	68	47	43	206	19	46	122	1,737	1,694	3,431	
OTHER CATEGORICAL GRANTS	4	32	21	177	-	-	8	-	-	2	-	-	244	78	322	
UNRESTRICTED INTGVT. AID	-	-	-	-	-	-	-	-	-	-	-	-	-	5	5	
MISC. REVENUE/IFA	2	-	128	-	-	-	-	-	-	-	-	-	130	(130)	-	
SUBTOTAL	\$ 968	\$ 1,066	\$ 710	\$ 824	\$ 587	\$ 178	\$ 147	\$ 139	\$ 283	\$ 37	\$ 83	\$ 286	\$ 5,308	\$ 2,604	\$ 7,912	
CAPITAL																
CAPITAL TRANSFERS	766	174	1,085	469	559	596	797	732	709	793	708	636	8,024	(702)	7,322	
FEDERAL AND STATE	243	37	401	6	163	51	148	145	159	94	114	345	1,906	-	1,906	
OTHER																
SENIOR COLLEGES	313	-	-	-	462	20	290	277	515	1	5	452	2,335	-	2,335	
HOLDING ACCT. & OTHER ADJ.	3	-	15	(4)	(14)	-	-	-	-	-	-	-	-	-	-	
OTHER SOURCES	-	-	16	315	323	-	-	-	-	-	-	-	654	-	654	
TOTAL INFLOWS	\$ 6,964	\$ 3,964	\$ 7,764	\$ 4,536	\$ 4,698	\$ 9,741	\$ 7,347	\$ 3,659	\$ 9,161	\$ 5,212	\$ 4,608	\$ 12,549	\$ 80,203	\$ 8,896	\$ 89,099	
CASH OUTFLOWS																
CURRENT																
PERSONAL SERVICE	\$ 1,395	\$ 2,685	\$ 2,754	\$ 2,875	\$ 2,659	\$ 2,835	\$ 2,845	\$ 2,780	\$ 3,487	\$ 2,828	\$ 2,885	\$ 3,990	\$ 34,018	\$ 3,338	\$ 37,356	
OTHER THAN PERSONAL SERVICE	1,624	1,659	2,131	2,048	1,375	2,136	2,158	2,069	2,121	1,971	1,880	3,294	24,466	3,283	27,749	
DEBT SERVICE	522	240	195	375	227	180	651	276	306	429	143	321	3,865	-	3,865	
SUBTOTAL	\$ 3,541	\$ 4,584	\$ 5,080	\$ 5,298	\$ 4,261	\$ 5,151	\$ 5,654	\$ 5,125	\$ 5,914	\$ 5,228	\$ 4,908	\$ 7,605	\$ 62,349	\$ 6,621	\$ 68,970	
PRIOR																
PERSONAL SERVICE	1,570	786	17	11	25	32	29	10	6	64	90	83	2,723	1,082	3,805	
OTHER THAN PERSONAL SERVICE	595	490	-	2	497	101	65	342	79	194	100	124	2,589	2,706	5,295	
OTHER TAXES	59	135	-	-	-	-	-	-	-	-	-	-	194	-	194	
DISALLOWANCE RESERVE	10	-	-	-	-	-	-	-	-	-	-	-	10	987	997	
SUBTOTAL	\$ 2,234	\$ 1,411	\$ 17	\$ 13	\$ 522	\$ 133	\$ 94	\$ 352	\$ 85	\$ 258	\$ 190	\$ 207	\$ 5,516	\$ 4,775	\$ 10,291	
CAPITAL																
CITY DISBURSEMENTS	582	435	664	511	735	552	817	456	698	618	663	591	7,322	-	7,322	
FEDERAL AND STATE	231	51	235	72	277	64	314	64	253	41	240	64	1,906	-	1,906	
OTHER																
SENIOR COLLEGES	119	116	166	165	165	188	171	171	249	171	171	171	2,023	312	2,335	
OTHER USES	439	45	-	-	-	-	-	-	-	-	-	170	654	-	654	
TOTAL OUTFLOWS	\$ 7,146	\$ 6,642	\$ 6,162	\$ 6,059	\$ 5,960	\$ 6,088	\$ 7,050	\$ 6,168	\$ 7,199	\$ 6,316	\$ 6,172	\$ 8,808	\$ 79,770	\$ 11,708	\$ 91,478	
NET CASH FLOW	\$ (182)	\$ (2,678)	\$ 1,602	\$ (1,523)	\$ (1,262)	\$ 3,653	\$ 297	\$ (2,509)	\$ 1,962	\$ (1,104)	\$ (1,564)	\$ 3,741	\$ 433	\$ (2,812)	\$ (2,379)	
BEGINNING BALANCE	\$ 7,493	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 7,103	\$ 7,400	\$ 4,891	\$ 6,853	\$ 5,749	\$ 4,185	\$ 7,493			
ENDING BALANCE	\$ 7,311	\$ 4,633	\$ 6,235	\$ 4,712	\$ 3,450	\$ 7,103	\$ 7,400	\$ 4,891	\$ 6,853	\$ 5,749	\$ 4,185	\$ 7,926	\$ 7,926			

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

MONTH: OCTOBER
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)	\$ (188)	\$ (171)	\$ (171)	\$ (249)	\$ (171)	\$ (171)	\$ (171)	\$ (2,023)	\$ (312)	\$ (2,335)
SENIOR COLLEGES INFLOW - CURRENT	-	-	-	-	462	20	290	277	515	1	5	452	2,022	313	2,335
SENIOR COLLEGES INFLOW - PRIOR	313	-	-	-	-	-	-	-	-	-	-	-	313	(313)	-
NET SENIOR COLLEGES	\$ 194	\$ (116)	\$ (166)	\$ (165)	\$ 297	\$ (168)	\$ 119	\$ 106	\$ 266	\$ (170)	\$ (166)	\$ 281	\$ 312	\$ (312)	\$ -
CAPITAL															
<u>CURRENT CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	200	1,025	32	1,146	217	700	400	1,300	961	-	-	1,191	7,172	-	7,172
(INC)/DEC RESTRICTED CASH	312	(923)	881	(821)	282	(104)	397	(568)	(252)	793	708	(555)	150	-	150
SUBTOTAL	\$ 512	\$ 102	\$ 913	\$ 325	\$ 499	\$ 596	\$ 797	\$ 732	\$ 709	\$ 793	\$ 708	\$ 636	\$ 7,322	\$ -	\$ 7,322
<u>PRIOR CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
(INC)/DEC RESTRICTED CASH	254	72	172	144	60	-	-	-	-	-	-	-	702	(702)	-
SUBTOTAL	\$ 254	\$ 72	\$ 172	\$ 144	\$ 60	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 702	\$ (702)	\$ -
TOTAL CITY CAPITAL TRANSFERS	\$ 766	\$ 174	\$ 1,085	\$ 469	\$ 559	\$ 596	\$ 797	\$ 732	\$ 709	\$ 793	\$ 708	\$ 636	\$ 8,024	\$ (702)	\$ 7,322
<u>FEDERAL AND STATE - INFLOWS:</u>															
CURRENT	\$ 5	\$ 37	\$ 401	\$ 6	\$ 163	\$ 51	\$ 148	\$ 145	\$ 159	\$ 94	\$ 114	\$ 345	\$ 1,668	\$ 238	\$ 1,906
PRIOR	238	-	-	-	-	-	-	-	-	-	-	-	238	(238)	-
TOTAL FEDERAL AND STATE INFLOWS	\$ 243	\$ 37	\$ 401	\$ 6	\$ 163	\$ 51	\$ 148	\$ 145	\$ 159	\$ 94	\$ 114	\$ 345	\$ 1,906	\$ -	\$ 1,906
<u>CAPITAL OUTFLOWS:</u>															
CITY DISBURSEMENTS	\$ (582)	\$ (435)	\$ (664)	\$ (511)	\$ (735)	\$ (552)	\$ (817)	\$ (456)	\$ (698)	\$ (618)	\$ (663)	\$ (591)	\$ (7,322)	\$ -	\$ (7,322)
FEDERAL AND STATE	(231)	(51)	(235)	(72)	(277)	(64)	(314)	(64)	(253)	(41)	(240)	(64)	(1,906)	-	(1,906)
TOTAL OUTFLOWS	\$ (813)	\$ (486)	\$ (899)	\$ (583)	\$ (1,012)	\$ (616)	\$ (1,131)	\$ (520)	\$ (951)	\$ (659)	\$ (903)	\$ (655)	\$ (9,228)	\$ -	\$ (9,228)
<u>NET CAPITAL:</u>															
NET CITY CAPITAL	\$ 184	\$ (261)	\$ 421	\$ (42)	\$ (176)	\$ 44	\$ (20)	\$ 276	\$ 11	\$ 175	\$ 45	\$ 45	\$ 702	\$ (702)	\$ -
NET NON-CITY CAPITAL	12	(14)	166	(66)	(114)	(13)	(166)	81	(94)	53	(126)	281	-	-	-
NET TOTAL CAPITAL	\$ 196	\$ (275)	\$ 587	\$ (108)	\$ (290)	\$ 31	\$ (186)	\$ 357	\$ (83)	\$ 228	\$ (81)	\$ 326	\$ 702	\$ (702)	\$ -

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.