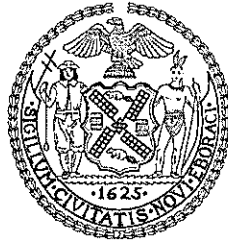


Financial Plan Statements
for
New York City
November 2010



The City of New York



This report contains Financial Plan Statements for November 2010 which have been prepared in accordance with the New York State Financial Emergency Act for the City of New York.

The fiscal year plan reflects the Financial Plan as submitted to the Financial Control Board on November 18, 2010.

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 "Stuart Klein".

Stuart Klein
First Deputy Director
Office of Management and Budget

A handwritten signature in black ink, appearing to read "Simcha Felder".

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

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NOTES TO FINANCIAL PLAN STATEMENTS

I. Summary of Significant Financial Policies, Procedures and Development

A. Financial Plan Statements

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

The City's Financial Plan Statements incorporate the policies and procedures discussed in Note B. Such data are unaudited. Prior years' balances for cash, accounts receivable and outstanding obligations are consistent with the FY 2010 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.

Covered Organization Financial Plans are issued quarterly.

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

(e) Vacation and Sick Leave

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

(f) Materials and Supplies

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

(g) General Reserve

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

3. Capital Commitments

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

C. Pension Plans

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

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

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

Report No. 1

Financial Plan Summary

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

**MONTH: NOVEMBER
FISCAL YEAR 2011**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2011		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
REVENUES:									
TAXES									
GENERAL PROPERTY TAXES	\$ 57	\$ 41	\$ 16	\$ 9,212	\$ 9,196	\$ 16	\$ 16,787	\$ 16,787	\$ -
OTHER TAXES	1,095	1,052	43	7,005	6,962	43	22,202	22,202	-
MISCELLANEOUS REVENUES	391	380	11	2,149	2,138	11	6,177	6,177	-
UNRESTRICTED INTGOVT. AID	-	1	(1)	-	1	(1)	14	14	-
LESS: INTRA-CITY REVENUES	(92)	(92)	-	(198)	(198)	-	(1,824)	(1,824)	-
DISALLOWANCES	-	-	-	-	-	-	(15)	(15)	-
SUBTOTAL	1,451	1,382	69	18,168	18,099	69	43,341	43,341	-
OTHER CATEGORICAL GRANTS	55	60	(5)	274	279	(5)	1,330	1,330	-
CAPITAL INTER-FUND TRANSFERS	33	70	(37)	127	164	(37)	559	559	-
FEDERAL GRANTS	526	502	24	1,070	1,046	24	7,871	7,871	-
STATE GRANTS	922	1,093	(171)	2,695	2,866	(171)	11,475	11,475	-
TOTAL REVENUES	\$ 2,987	\$ 3,107	\$ (120)	\$ 22,334	\$ 22,454	\$ (120)	\$ 64,576	\$ 64,576	\$ -
EXPENDITURES:									
PS	\$ 2,672	\$ 2,712	\$ 40	\$ 12,198	\$ 12,273	\$ 75	\$ 36,049	\$ 36,049	\$ -
OTPS	1,184	1,128	(56)	14,430	14,153	(277)	26,798	26,798	-
DEBT SERVICE	27	135	108	147	395	248	3,253	3,253	-
GENERAL RESERVE	-	-	-	-	-	-	300	300	-
SUBTOTAL	3,883	3,975	92	26,775	26,821	46	66,400	66,400	-
LESS: INTRA-CITY EXPENSES	(92)	(92)	-	(198)	(198)	-	(1,824)	(1,824)	-
TOTAL EXPENDITURES	\$ 3,791	\$ 3,883	\$ 92	\$ 26,577	\$ 26,623	\$ 46	\$ 64,576	\$ 64,576	\$ -
SURPLUS/(DEFICIT)	\$ (804)	\$ (776)	\$ (28)	\$ (4,243)	\$ (4,169)	\$ (74)	\$ -	\$ -	\$ -

Report No. 1A

Month-by-Month Revenue and Obligation Forecast

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

MONTH: NOVEMBER
FISCAL YEAR 2011

	ACTUAL					FORECAST											
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	POST JUNE	TOTAL YEAR			
REVENUES:																	
TAXES																	
GENERAL PROPERTY TAXES	\$ 7,652	\$ 110	\$ 980	\$ 413	\$ 57	\$ 3,927	\$ 2,270	\$ 58	\$ 912	\$ 379	\$ 15	\$ 30	\$ (16)	\$ 16,787			
OTHER TAXES	915	938	3,075	982	1,095	2,711	2,565	1,133	2,403	2,043	845	3,221	276	22,202			
MISCELLANEOUS REVENUES	613	293	433	419	391	445	594	339	447	459	607	624	513	6,177			
UNRESTRICTED INTGOVT. AID	-	-	-	-	-	-	-	2	-	-	-	12	-	14			
LESS: INTRA-CITY REVENUES	(3)	(3)	(30)	(70)	(92)	(100)	(257)	(102)	(126)	(171)	(104)	(253)	(513)	(1,824)			
DISALLOWANCES	-	-	-	-	-	-	-	-	-	-	(5)	(10)	-	(15)			
SUBTOTAL	9,177	1,338	4,458	1,744	1,451	6,983	5,172	1,430	3,636	2,710	1,358	3,624	260	43,341			
OTHER CATEGORICAL GRANTS	6	116	63	34	55	112	76	50	97	85	50	586	-	1,330			
CAPITAL INTER-FUND TRANSFERS	-	-	56	38	33	77	20	20	122	22	19	29	123	559			
FEDERAL GRANTS	30	28	159	327	526	502	482	625	1,060	606	633	732	2,161	7,871			
STATE GRANTS	25	2	1,525	221	922	1,010	977	898	1,047	967	944	1,288	1,649	11,475			
TOTAL REVENUES:	\$ 9,238	\$ 1,484	\$ 6,261	\$ 2,364	\$ 2,987	\$ 8,684	\$ 6,727	\$ 3,023	\$ 5,962	\$ 4,390	\$ 3,004	\$ 6,259	\$ 4,193	\$ 64,576			
EXPENDITURES:																	
PS	\$ 2,014	\$ 1,971	\$ 2,741	\$ 2,800	\$ 2,672	\$ 2,850	\$ 3,553	\$ 2,741	\$ 2,760	\$ 2,782	\$ 2,745	\$ 4,957	\$ 1,463	\$ 36,049			
OTPS	7,123	2,334	2,328	1,461	1,184	1,928	1,788	1,440	1,865	1,350	1,422	2,010	565	26,798			
DEBT SERVICE	95	16	(1)	10	27	174	243	293	359	404	189	1,444	-	3,253			
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300			
SUBTOTAL	9,232	4,321	5,068	4,271	3,883	4,952	5,584	4,474	4,984	4,536	4,356	8,411	2,328	66,400			
LESS: INTRA-CITY EXPENSES	(3)	(3)	(30)	(70)	(92)	(100)	(257)	(102)	(126)	(171)	(104)	(253)	(513)	(1,824)			
TOTAL EXPENDITURES	\$ 9,229	\$ 4,318	\$ 5,038	\$ 4,201	\$ 3,791	\$ 4,852	\$ 5,327	\$ 4,372	\$ 4,858	\$ 4,365	\$ 4,252	\$ 8,158	\$ 1,815	\$ 64,576			
SURPLUS/(DEFICIT)	\$ 9	\$ (2,834)	\$ 1,223	\$ (1,837)	\$ (804)	\$ 3,832	\$ 1,400	\$ (1,349)	\$ 1,104	\$ 25	\$ (1,248)	\$ (1,899)	\$ 2,378	\$ -			

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 2011**

DESCRIPTION	INITIAL PLAN 7/13/2010	CHANGES FROM INITIAL PLAN	CHANGES FROM PREVIOUS FORECAST
REVENUES:			
TAXES			
GENERAL PROPERTY TAXES	\$ 16,780	\$ 7	\$ -
OTHER TAXES	22,126	76	-
MISCELLANEOUS REVENUES	5,912	265	-
UNRESTRICTED INTERGOVERNMENTAL AID	14	-	-
LESS:INTRA-CITY REVENUES	(1,616)	(208)	-
DISALLOWANCES	(15)	-	-
SUBTOTAL	43,201	140	-
OTHER CATEGORICAL GRANTS	1,235	95	-
CAPITAL INTERFUND TRANSFERS	558	1	-
FEDERAL GRANTS	6,813	1,058	-
STATE GRANTS	11,352	123	-
TOTAL REVENUES	\$ 63,159	\$ 1,417	\$ -
EXPENDITURES:			
PERSONAL SERVICE	\$ 36,462	\$ (413)	\$ -
OTHER THAN PERSONAL SERVICE	25,783	1,015	-
DEBT SERVICE	2,093	1,160	-
GENERAL RESERVE	437	(137)	-
SUBTOTAL	64,775	1,625	-
LESS:INTRA-CITY EXPENDITURES	(1,616)	(208)	-
TOTAL EXPENDITURES	\$ 63,159	\$ 1,417	\$ -

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 2011**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2011		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
TAXES:									
GENERAL PROPERTY TAXES	\$ 57	\$ 41	\$ 16	\$ 9,212	\$ 9,196	\$ 16	\$ 16,787	\$ 16,787	\$ -
PERSONAL INCOME TAX	364	342	22	2,264	2,242	22	7,533	7,533	-
GENERAL CORPORATION TAX	42	28	14	534	520	14	2,307	2,307	-
BANKING CORPORATION TAX	(1)	1	(2)	463	465	(2)	1,095	1,095	-
UNINCORPORATED BUSINESS TAX	(8)	(2)	(6)	336	342	(6)	1,588	1,588	-
GENERAL SALES TAX	424	397	27	2,114	2,087	27	5,285	5,285	-
REAL PROPERTY TRANSFER TAX	57	51	6	281	275	6	669	669	-
MORTGAGE RECORDING TAX	38	35	3	170	167	3	415	415	-
COMMERCIAL RENT TAX	3	4	(1)	149	150	(1)	566	566	-
UTILITY TAX	26	28	(2)	124	126	(2)	383	383	-
OTHER TAXES	37	40	(3)	252	255	(3)	953	953	-
TAX AUDIT REVENUES *	113	128	(15)	216	231	(15)	628	628	-
TAX PROGRAM	-	-	-	-	-	-	-	-	-
STAR PROGRAM	-	-	-	102	102	-	780	780	-
TOTAL TAXES	\$ 1,152	\$ 1,093	\$ 59	\$ 16,217	\$ 16,158	\$ 59	\$ 38,989	\$ 38,989	\$ -
MISCELLANEOUS REVENUES:									
LICENSES/FRANCHISES/ETC.	65	57	8	244	236	8	495	495	-
INTEREST INCOME	2	1	1	8	7	1	21	21	-
CHARGES FOR SERVICES	42	45	(3)	243	246	(3)	755	755	-
WATER AND SEWER CHARGES	83	86	(3)	790	793	(3)	1,331	1,331	-
RENTAL INCOME	15	15	-	100	100	-	235	235	-
FINES AND FORFEITURES	68	70	(2)	347	349	(2)	858	858	-
MISCELLANEOUS	24	14	10	219	209	10	658	658	-
INTRA-CITY REVENUE	92	92	-	198	198	-	1,824	1,824	-
TOTAL MISCELLANEOUS	\$ 391	\$ 380	\$ 11	\$ 2,149	\$ 2,138	\$ 11	\$ 6,177	\$ 6,177	\$ -

* The financial plan as submitted on November 18, 2010 reflects \$628 million in Tax Audit Revenues, anticipated to be collected as follows:

	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	FISCAL YEAR 2011 PLAN
GENERAL SALES TAX	\$ 2	\$ 4	\$ 21
PERSONAL INCOME TAX	1	4	29
GENERAL CORPORATION TAX	19	58	381
COMMERCIAL RENT TAX	2	11	15
BANKING CORPORATION TAX	86	95	99
UTILITY TAX	1	32	37
UNINCORPORATED BUSINESS TAX	1	8	30
REAL PROPERTY TRANSFER TAX	-	-	7
OTHER TAXES	1	4	9
TOTAL	\$ 113	\$ 216	\$ 628

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

**MONTH: NOVEMBER
FISCAL YEAR 2011**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2011		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNRESTRICTED INTGOVT. AID									
FEDERAL REVENUE SHARING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
NY STATE REVENUE SHARING	-	-	-	-	-	-	-	-	-
OTHER INTGOVT. AID	-	1	(1)	-	1	(1)	14	14	-
TOTAL UNRESTRICTED INTG.	\$ -	\$ 1	\$ (1)	\$ -	\$ 1	\$ (1)	\$ 14	\$ 14	\$ -
OTHER CATEGORICAL GRANTS	55	60	(5)	274	279	(5)	1,330	1,330	-
CAPITAL INTER-FUND TRANSFERS	33	70	(37)	127	164	(37)	559	559	-
LESS: INTRA-CITY REVENUES	(92)	(92)	-	(198)	(198)	-	(1,824)	(1,824)	-
LESS: DISALLOWANCES	-	-	-	-	-	-	(15)	(15)	-
FEDERAL GRANTS									
COMMUNITY DEVELOPMENT	21	21	-	77	77	-	279	279	-
WELFARE	434	263	171	662	491	171	2,931	2,931	-
EDUCATION	29	78	(49)	67	116	(49)	2,834	2,834	-
OTHER	42	140	(98)	264	362	(98)	1,827	1,827	-
TOTAL FEDERAL GRANTS	\$ 526	\$ 502	\$ 24	\$ 1,070	\$ 1,046	\$ 24	\$ 7,871	\$ 7,871	\$ -
STATE GRANTS									
WELFARE	215	144	71	410	339	71	2,098	2,098	-
EDUCATION	652	840	(188)	2,150	2,338	(188)	7,981	7,981	-
HIGHER EDUCATION	33	33	-	66	66	-	186	186	-
HEALTH AND MENTAL HYGIENE	6	67	(61)	7	68	(61)	452	452	-
OTHER	16	9	7	62	55	7	758	758	-
TOTAL STATE GRANTS	\$ 922	\$ 1,093	\$ (171)	\$ 2,695	\$ 2,866	\$ (171)	\$ 11,475	\$ 11,475	\$ -
TOTAL REVENUES	\$ 2,987	\$ 3,107	\$ (120)	\$ 22,334	\$ 22,454	\$ (120)	\$ 64,576	\$ 64,576	\$ -

Report No. 4

Obligation Analysis

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

**MONTH: NOVEMBER
FISCAL YEAR 2011**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2011		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES									
POLICE DEPT.	\$ 341	\$ 379	\$ 38	\$ 1,894	\$ 1,820	\$ (74)	\$ 4,645	\$ 4,645	\$ -
FIRE DEPT.	122	130	8	708	731	23	1,734	1,734	-
DEPT. OF CORRECTION	73	75	2	403	418	15	1,024	1,024	-
SANITATION DEPT.	61	184	123	744	678	(66)	1,323	1,323	-
HEALTH & WELFARE									
ADMIN. FOR CHILD SERVICES	234	165	(69)	1,727	1,449	(278)	2,729	2,729	-
DEPT. OF SOCIAL SERVICES	570	266	(304)	3,600	3,418	(182)	8,687	8,687	-
DEPT. OF HOMELESS SERVICES	23	25	2	722	641	(81)	1,016	1,016	-
HEALTH & MENTAL HYGIENE	79	47	(32)	1,101	1,140	39	1,659	1,659	-
OTHER AGENCIES									
HOUSING PRESERVATION & DEV.	52	22	(30)	351	313	(38)	729	729	-
ENVIRONMENTAL PROTECTION	38	64	26	444	485	41	1,033	1,033	-
TRANSPORTATION DEPT.	59	49	(10)	431	418	(13)	798	798	-
PARKS & RECREATION DEPT.	28	24	(4)	170	159	(11)	338	338	-
DEPT. OF CITYWIDE ADMIN. SERVICES	8	19	11	910	1,020	110	1,159	1,159	-
ALL OTHER	148	187	39	1,639	1,822	183	3,218	3,218	-
COVERED ORGANIZATIONS									
DEPT. OF EDUCATION	1,215	1,309	94	6,929	7,117	188	18,710	18,710	-
HIGHER EDUCATION	(13)	46	59	250	295	45	772	772	-
HEALTH & HOSPITALS CORP.	6	3	(3)	41	38	(3)	185	185	-
OTHER									
MISCELLANEOUS BUDGET:									
FRINGE BENEFITS	195	211	16	1,123	1,065	(58)	3,959	3,959	-
TRANSIT SUBSIDIES	(30)	-	30	140	124	(16)	462	462	-
JUDGMENTS & CLAIMS	61	38	(23)	235	138	(97)	687	687	-
OTHER	9	18	9	181	250	69	968	968	-
PENSION CONTRIBUTIONS	577	579	2	2,885	2,887	2	7,012	7,012	-
DEBT SERVICE	27	135	108	147	395	248	3,253	3,253	-
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-	-	-
SUB-TOTAL	\$ 3,883	\$ 3,975	\$ 92	\$ 26,775	\$ 26,821	\$ 46	\$ 66,100	\$ 66,100	\$ -
PLUS GENERAL RESERVE	-	-	-	-	-	-	300	300	-
LESS INTRA-CITY EXPENSES	(92)	(92)	-	(198)	(198)	-	(1,824)	(1,824)	-
TOTAL EXPENDITURES	\$ 3,791	\$ 3,883	\$ 92	\$ 26,577	\$ 26,623	\$ 46	\$ 64,576	\$ 64,576	\$ -

Report No. 4A & 4B

Personnel Control Reports

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

**MONTH: NOVEMBER
FISCAL YEAR 2011**

	FT & FTE POSITIONS		PERSONAL SERVICE COSTS						FT & FTE POSITIONS		PERSONAL SERVICE COSTS			
	CURRENT MONTH		CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2011 PROJECTIONS		FISCAL YEAR 2011 PROJECTIONS			
	ACTUAL	PLAN *	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES														
POLICE DEPT.	51,041	51,446	\$ 331	\$ 323	\$ (8)	\$ 1,681	\$ 1,620	\$ (61)	50,159	50,159	-	\$ 4,243	\$ 4,243	\$ -
FIRE DEPT.	15,967	16,233	118	117	(1)	601	588	(13)	15,805	15,805	-	1,536	1,536	-
DEPT. OF CORRECTION	9,977	10,125	66	67	1	335	339	4	10,235	10,235	-	902	902	-
SANITATION DEPT.	9,106	9,489	59	60	1	303	308	5	9,217	9,217	-	796	796	-
HEALTH & WELFARE														
ADMIN. FOR CHILD SERVICES	5,821	6,028	29	29	-	144	145	1	5,879	5,879	-	358	358	-
DEPT. OF SOCIAL SERVICES	13,965	14,498	57	57	-	288	297	9	14,512	14,512	-	773	773	-
DEPT. OF HOMELESS SERVICES	1,905	2,122	9	9	-	46	48	2	2,122	2,122	-	122	122	-
HEALTH & MENTAL HYGIENE	5,934	6,201	29	31	2	148	154	6	6,482	6,482	-	404	404	-
OTHER AGENCIES														
ENVIRONMENTAL PROTECTION	5,825	6,007	34	35	1	178	181	3	6,127	6,127	-	458	458	-
TRANSPORTATION DEPT.	4,906	4,976	30	28	(2)	153	141	(12)	4,928	4,928	-	373	373	-
PARKS & RECREATION DEPT.	5,669	5,111	21	19	(2)	129	110	(19)	5,930	5,930	-	256	256	-
CITYWIDE ADMIN. SERVICES	2,206	2,374	11	11	-	56	55	(1)	2,283	2,283	-	140	140	-
ALL OTHER	31,338	30,081	144	130	(14)	801	789	(12)	30,668	30,668	-	2,036	2,036	-
COVERED ORGANIZATIONS														
DEPT. OF EDUCATION	133,979	135,972	962	1,006	44	3,327	3,546	219	135,777	135,777	-	12,627	12,627	-
OTHER														
MISCELLANEOUS BUDGET	-	-	195	211	16	1,123	1,065	(58)	-	-	-	4,013	4,013	-
PENSION CONTRIBUTIONS	-	-	577	579	2	2,885	2,887	2	-	-	-	7,012	7,012	-
TOTAL	297,639	300,663	\$ 2,672	\$ 2,712	\$ 40	\$ 12,198	\$ 12,273	\$ 75	300,124	300,124	-	\$ 36,049	\$ 36,049	\$ -

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

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

**MONTH: NOVEMBER
FISCAL YEAR 2011**

	FULL-TIME POSITIONS CURRENT MONTH			FULL-TIME POSITIONS FISCAL YEAR 2011		
	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES						
POLICE DEPT.	49,714	49,543	(171)	48,617	48,617	-
FIRE DEPT.	15,885	16,168	283	15,739	15,739	-
DEPT. OF CORRECTION	9,937	10,076	139	10,186	10,186	-
SANITATION DEPT.	9,041	9,358	317	9,079	9,079	-
HEALTH & WELFARE						
ADMIN. FOR CHILD SERVICES	5,774	5,979	205	5,818	5,818	-
DEPT. OF SOCIAL SERVICES	13,901	14,458	557	14,465	14,465	-
DEPT. OF HOMELESS SERVICES	1,904	2,121	217	2,121	2,121	-
HEALTH & MENTAL HYGIENE	4,799	4,972	173	5,249	5,249	-
OTHER AGENCIES						
ENVIRONMENTAL PROTECTION	5,698	5,898	200	6,007	6,007	-
TRANSPORTATION DEPT.	4,552	4,692	140	4,695	4,695	-
PARKS & RECREATION DEPT.	3,461	3,240	(221)	3,180	3,180	-
CITYWIDE ADMIN. SERVICES	2,033	2,065	32	1,988	1,988	-
ALL OTHER	25,573	25,479	(94)	25,555	25,555	-
COVERED ORGANIZATIONS						
DEPT. OF EDUCATION	119,605	120,909	1,304	119,083	119,083	-
TOTAL	271,877	274,958	3,081	271,782	271,782	-

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

The current month, year-to-date and fiscal year data in Reports No. 4, 4A & 4B reflect the Financial Plan submitted to the Financial Control Board on November 18, 2010.

There are 297,639 filled positions as of November of which 271,877 are full-time positions and 25,762 are full-time equivalent positions. Of the 297,639 filled positions, 259,039 are estimated to be wholly or partially city funded. For the fiscal year (June 30, 2011) 271,782 of the 300,124 positions are full-time and 259,339 of the 300,124 positions are estimated to be city funded positions.

In some instances prior year charges are reflected in FY 2011 year-to-date expenses. These will be journaled back to prior years at a later date.

Police Department: The \$(74) million year-to-date variance is primarily due to:

- \$(44) million in accelerated encumbrances, including \$(24) million for other services and charges and \$(20) million for contractual services.
- \$31 million in delayed encumbrances, including \$20 million for property and equipment, \$7 million for supplies and materials and \$3 million for heat, light and power.
- \$(61) million in personal services, including \$(57) million for overtime, \$(14) million for other adjustments and \$(3) million for differentials, offset by \$12 million for fringe benefits and \$3 million for unsalaried positions.

Fire Department: The \$23 million year-to-date variance is primarily due to:

- \$60 million in delayed encumbrances, primarily for general contractual services and heat, light and power.
- \$(24) million in accelerated encumbrances, including \$(8) million for rentals of land, buildings and structures,

\$ (3) million for general maintenance and repairs and \$ (3) million for automotive supplies and materials.

- \$ (13) million in personal services, including \$ (14) million for overtime, \$ (4) million for other adjustments and \$ (2) million for differentials, offset by \$ 6 million for full-time normal gross.

Department of Correction: The \$ 15 million year-to-date variance is primarily due to:

- \$ 17 million in delayed encumbrances, primarily for heat, light and power and telephone and other communications.
- \$ (6) million in accelerated encumbrances, primarily for general maintenance and repairs.
- \$ 4 million in personal services, including \$ 4 million for differentials, \$ 4 million for holiday pay, \$ 2 million for full-time normal gross and \$ 2 million for fringe benefits, offset by \$ (8) million for overtime.

Sanitation Department: The \$ (66) million year-to-date variance is primarily due to:

- \$ (100) million in accelerated encumbrances, including \$ (89) million for municipal waste export and \$ (4) million for general supplies and material.
- \$ 29 million in delayed encumbrances, primarily for motor vehicle fuel and heat, light and power.
- \$ 5 million in personal services, primarily for full-time normal gross.

Administration for Children's Services: The \$ (278) million year-to-date variance is primarily due to:

- \$ (352) million in accelerated encumbrances, including \$ (208) million for children's charitable institutions, \$ (68) million for child welfare services, \$ (31) million for direct foster care of children, \$ (27) million for Special Education Facilities for the Institutionalized and Foster Care and \$ (9) million for day care of children.

- \$73 million in delayed encumbrances, including \$25 million for general fixed charges, \$19 million for subsidized adoption, \$8 million for Head Start, \$5 million for other general expenses and \$4 million for rentals of land, buildings and structures.
- \$1 million in personal services.

Department of Social Services: The \$(182) million year-to-date variance is primarily due to:

- \$(258) million in accelerated encumbrances, including \$(177) million for Medical Assistance, \$(26) million for employment services, \$(12) million for AIDS services, \$(8) million for security services, \$(6) million for general contractual services, \$(4) million for safety net payments for home relief, \$(4) million for home energy assistance program and \$(3) million for general maintenance and repairs.
- \$67 million in delayed encumbrances, primarily for Public Assistance and rentals of land, buildings and structures.
- \$9 million in personal services, including \$17 million for full-time normal gross, offset by \$(4) million for differentials.

Department of Homeless Services: The \$(81) million year-to-date variance is primarily due to:

- \$(99) million in accelerated encumbrances, primarily for homeless family services and rentals of land, buildings and structures.
- \$16 million in delayed encumbrances, primarily for security services and heat, light and power.
- \$2 million in personal services.

Department of Health and Mental Hygiene: The \$39 million year-to-date variance is primarily due to:

- \$99 million in delayed encumbrances, including \$57 million for hospital contracts, \$15 million for rentals of land, buildings and structures and \$11 million for other professional services.
- \$(66) million in accelerated encumbrances, including \$(50) million for mental hygiene services, \$(10) million for AIDS services and \$(3) million for HHC mental health services.
- \$6 million in personal services, including \$7 million for unsalaried positions and \$4 million for full-time normal gross, offset by \$(3) million for differentials.

Department of Housing Preservation and Development: The \$(38) million year-to-date variance is primarily due to:

- \$(43) million in accelerated encumbrances, including \$(25) million for general contractual services, \$(5) million for general maintenance and repairs and \$(4) million for community consultant contracts.
- \$5 million in delayed encumbrances, primarily for Federal Section 8 Rent Subsidy and data processing supplies.

Department of Environmental Protection: The \$41 million year-to-date variance is primarily due to:

- \$59 million in delayed encumbrances, including \$17 million for other general expenses, \$17 million for heat, light and power, \$11 million for general contractual services and \$6 million for general supplies and materials.
- \$(21) million in accelerated encumbrances, primarily for rentals of land, building and structures and data processing equipment.
- \$3 million in personal services.

Department of Transportation: The \$(13) million year-to-date variance is primarily due to:

- \$(26) million in accelerated encumbrances, including \$(20) million for supplies and materials and \$(6) million for other services and charges.
- \$25 million in delayed encumbrances, including \$13 million for contractual services and \$12 million for heat, light and power.
- \$(12) million in personal services, primarily for unsalaried positions and overtime.

Department of Parks and Recreation: The \$(11) million year-to-date variance is primarily due to:

- \$(3) million in accelerated encumbrances, primarily for contractual services.
- \$11 million in delayed encumbrances, primarily for heat, light and power and supplies and materials.
- \$(19) million in personal services, primarily for full-time normal gross and other salaried positions.

Department of Citywide Administrative Services: The \$110 million year-to-date variance is primarily due to:

- \$118 million in delayed encumbrances, primarily for heat, light and power and general contractual services.
- \$(7) million in accelerated encumbrances, primarily for rentals of land, building and structures and general supplies and materials.
- \$(1) million in personal services.

Department of Education: The \$188 million year-to-date variance is primarily due to:

- \$(31) million in OTPS, primarily due to accelerated encumbrances of \$(82) million for rentals of land, buildings and structures, \$(63) million for direct educational services to students, \$(52) million for other professional services, \$(44) million for curriculum and professional development, \$(32) million for maintenance and operation of infrastructure, \$(27) million for data processing equipment, \$(27) million for professional computer services, \$(22) million for payments to contract schools and corporate schools, \$(14) million for data processing supplies, \$(11) million for payments to Fashion Institute of Technology, \$(9) million for general equipment, \$(8) million for transportation of pupils, \$(8) million for payments for special schooling of handicapped children, \$(6) million for telephone and other communications, \$(3) million for payments for surety bonds and insurance premiums and \$(3) million for general contractual services, offset by delayed encumbrances of \$124 million for general supplies and materials, \$74 million for food and forage supplies, \$55 million for heat, light and power, \$45 million for NYC Transit Authority reduced fares for schoolchildren, \$21 million for other books, \$13 million for private bus companies reduced fares for schoolchildren, \$10 million for training program for city employees, \$9 million for tuition payments for foster care, \$8 million for telecommunications maintenance, \$6 million for fuel oil, \$5 million for library books and \$5 million for MTA Payroll Tax.
- \$219 million in personal services, of which \$(36) million represents backpay that will be journaled to prior years and \$255 million represents the current year spending variance.

Higher Education: The \$45 million year-to-date variance is primarily due to:

- \$55 million in delayed encumbrances, primarily for Advance to State of New York for CUNY Senior College Expenditures and contractual services.
- \$(10) million in personal services, primarily for fringe benefits.

Miscellaneous: The \$(102) million year-to-date variance is primarily due to:

- \$(58) million in fringe benefits reflecting accelerated encumbrances.
- \$(16) million in transit subsidies reflecting accelerated encumbrances.
- \$(97) million in judgments and claims reflecting prior year charges.
- \$69 million in other.

Debt Service: The \$248 million year-to-date variance is primarily due to:

- \$272 million in delayed encumbrances primarily for general interest on bonds and payments to counterparties.
- \$(24) million in accelerated encumbrances primarily for costs associated with financing and blended component units.

Report No. 5

Capital Commitments

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

DESCRIPTION	MONTH: NOVEMBER		FISCAL YEAR: 2011			
	CURRENT MONTH		YEAR-TO-DATE		FISCAL YEAR	
	ACTUAL	PLAN	ACTUAL	PLAN	PLAN	PLAN
TRANSIT	\$35.0 (C)	\$0.0 (C)	\$35.0 (C)	\$0.0 (C)	\$183.0 (C)	
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	32.2 (N)	
HIGHWAY AND STREETS	6.6 (C)	10.0 (C)	63.0 (C)	54.1 (C)	568.7 (C)	
	0.4 (N)	0.4 (N)	3.1 (N)	5.9 (N)	257.6 (N)	
HIGHWAY BRIDGES	6.4 (C)	0.0 (C)	25.0 (C)	20.9 (C)	358.1 (C)	
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	65.0 (N)	
WATERWAY BRIDGES	5.3 (C)	0.0 (C)	7.8 (C)	3.7 (C)	35.8 (C)	
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	20.8 (N)	
WATER SUPPLY	(6.2) (C)	0.0 (C)	(3.0) (C)	0.0 (C)	22.1 (C)	
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	
WATER MAINS, SOURCES & TREATMENT	28.3 (C)	9.5 (C)	157.6 (C)	48.9 (C)	988.0 (C)	
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	4.9 (N)	
SEWERS	5.4 (C)	7.1 (C)	33.0 (C)	55.6 (C)	433.1 (C)	
	0.0 (N)	0.7 (N)	11.4 (N)	11.4 (N)	63.2 (N)	
WATER POLLUTION CONTROL	20.7 (C)	0.0 (C)	137.4 (C)	0.0 (C)	631.4 (C)	
	0.0 (N)	0.0 (N)	8.0 (N)	0.0 (N)	8.9 (N)	
ECONOMIC DEVELOPMENT	4.4 (C)	0.0 (C)	89.4 (C)	12.0 (C)	938.3 (C)	
	0.7 (N)	0.0 (N)	11.6 (N)	1.7 (N)	189.1 (N)	
EDUCATION	0.0 (C)	0.0 (C)	474.0 (C)	274.0 (C)	1,358.7 (C)	
	0.0 (N)	0.0 (N)	429.9 (N)	329.9 (N)	1,063.1 (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: 2011		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	0.6 (C) 0.0 (N)	0.8 (C) 0.0 (N)	7.4 (C) 0.0 (N)	103.6 (C) 0.0 (N)	400.7 (C) 0.0 (N)
SANITATION	21.0 (C) 0.0 (N)	3.7 (C) 0.0 (N)	412.6 (C) 0.3 (N)	366.9 (C) 0.3 (N)	834.6 (C) 4.9 (N)
POLICE	1.2 (C) 0.0 (N)	13.6 (C) 0.0 (N)	27.6 (C) 0.0 (N)	89.1 (C) 0.0 (N)	322.7 (C) 0.0 (N)
FIRE	(16.7) (C) 0.9 (N)	0.5 (C) 0.0 (N)	23.6 (C) 2.7 (N)	15.4 (C) 0.0 (N)	214.4 (C) 17.2 (N)
HOUSING	6.4 (C) (3.6) (N)	0.3 (C) 0.0 (N)	12.7 (C) (4.6) (N)	11.2 (C) 0.0 (N)	693.9 (C) 225.9 (N)
HOSPITALS	1.0 (C) 0.0 (N)	10.8 (C) 2.5 (N)	62.1 (C) 0.0 (N)	62.9 (C) 2.5 (N)	222.3 (C) 3.2 (N)
PUBLIC BUILDINGS	42.3 (C) 0.0 (N)	0.0 (C) 0.0 (N)	67.9 (C) 0.0 (N)	14.7 (C) 0.0 (N)	495.2 (C) 0.3 (N)
PARKS	11.8 (C) 0.9 (N)	0.0 (C) 0.0 (N)	172.3 (C) 11.3 (N)	27.7 (C) 2.5 (N)	1,085.8 (C) 208.3 (N)
ALL OTHER DEPARTMENTS	90.4 (C) (0.8) (N)	3.6 (C) 0.1 (N)	411.9 (C) 10.7 (N)	82.4 (C) 28.1 (N)	3,523.3 (C) 456.7 (N)
TOTAL	\$263.6 (C) (\$1.5) (N)	\$60.0 (C) \$3.6 (N)	\$2,217.6 (C) \$484.3 (N)	\$1,242.8 (C) \$382.3 (N)	\$13,309.9 (C) \$2,621.3 (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: 2011

City Funds:

Total Authorized Commitment Plan	\$13,310
Less: Reserve for Unattained Commitments Commitment Plan	<u>(3,875)</u> <u>\$9,435</u>

Non-City Funds:

Total Authorized Commitment Plan	\$2,621
Less: Reserve for Unattained Commitments Commitment Plan	<u>0</u> <u>\$2,621</u>

Month and year-to-date variances for City funds are reported against the authorized FY 2011 September Capital Commitment Plan of \$13,310 million rather than the Financial Plan level of \$9,435 million. The additional \$3,875 million of commitments is included to help the City meet its overall Financial Plan target. Aggregate commitments are not expected to exceed the approved plan level as it may be modified from time to time.

NOTES TO REPORT #5

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

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

- | | | |
|-------------------------|---|---|
| Correction | - | Adolescent Reception Detention Center, Riker’s Island, totaling \$9.5 million, slipped from July and August 2010 to February 2011. Correction facilities, construction, reconstruction and improvements, City-wide, totaling \$60.0 million, slipped from July and September 2010 to February 2011. Purchase of equipment for other use by the Department of Correction, totaling \$5.1 million, slipped from July 2010 to February 2011. Acquisition and construction of the supplementary housing program and support facilities, totaling \$2.2 million, slipped from July 2010 to February 2011 and planned deregistration, totaling \$1.8 million, slipped from October 2010 to February 2011. Purchase of computer equipment, totaling \$13.5 million, slipped from July 2010 to February 2011. Construction of High Security Institution, Rikers Island, totaling \$2.2 million, slipped from July 2010 to February 2011. Various slippages and advances account for the remaining variance. |
| Education | - | Five-Year Educational Capital Plan, totaling \$200.0 million, advanced from June 2011 to August and October 2010. Various slippages and advances account for the remaining variance. |
| Economic
Development | - | Brooklyn Navy Yard, totaling \$9.0 million, advanced from June 2011 to August 2010. Acquisition and site development for commercial redevelopment, City-wide, totaling \$62.8 million, advanced from June 2011 to August thru November 2010. Modernization and reconstruction of piers, City-wide, totaling \$4.2 million, advanced from June 2011 to July thru November 2010. Various slippages and advances account for the remaining variance. |

- Fire

 - Acquisition of vehicles for the Fire Department, totaling \$2.1 million, advanced from June 2011 to July 2010 thru November 2010. Deregistration of contracts for Fire Department facility improvements, City-wide, totaling \$17.5 million, occurred in November 2010. New training center for the New York City Fire Department, totaling \$6.1 million, advanced from June 2011 to August and September 2010. Management information and Control System, totaling \$5.4 million, advanced from June 2011 to July 2010 and September thru November 2010.

- Highways

 - Highway repaving, City-wide, totaling \$11.3 million, advanced from December 2010 to July thru November 2010. Repaving and resurfacing of streets, City-wide, totaling \$12.6 million, advanced from December 2010 and June 2011 to July thru November 2010. Deregistration of contracts for the Department of transportation facilities, totaling \$8.1 million, occurred in October 2010. Reconstruction of City-owned retaining walls, City-wide, totaling \$3.7 million, slipped from November 2010 to February 2011. Various slippages and advances account for the remaining variance.

- Parks

 - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$17.4 million, advanced from December 2010 and January and June 2011 to July thru November 2010. Acquisition of property for playgrounds, City-wide, totaling \$6.4 million, advanced from June 2011 to August and September 2010. Deregistration of construction contracts for Rockaway Beach Boardwalk, totaling \$8.8 million, occurred in August 2010 and the remaining plan totaling \$8.8 million, slipped from July 2010 to February 2011. Orchard Beach Expansion, totaling \$3.8 million, advanced from June 2011 to September 2010. Street and park tree planting, City-wide, totaling \$8.8 million, advanced from June 2011 to August thru November 2010. Improvements to Waterfront Park, totaling \$94.6 million, advanced from June 2011 to August 2010. Improvements to the New Yankee Stadium, totaling \$12.1 million, advanced from June 2011 to July, September and November 2010. Various slippages and advances account for the remaining variance.

- Police

 - Purchase of ultra high frequency radio telephone equipment, totaling \$52.3 million, slipped from July thru September 2010 to February 2011. Improvements to Police Department property, City-wide, totaling \$10.4 million, advanced from December 2010 and February and April 2011 to July thru November 2010. Marine launches for Harbor Unit, totaling \$2.7 million, slipped from September 2010 to February 2011. Acquisition and installation of computer equipment, City-wide, totaling \$4.7 million, slipped from

November 2010 to February 2011. Acquisition of vehicles, totaling \$8.5 million, slipped from September 2010 to February 2011. Various slippages and advances account for the remaining variance.

- Public Buildings - Construction and reconstruction of public buildings, City-wide, totaling \$44.7 million, advanced from April thru June 2011 to July thru November 2010. Reconstruction and improvements to long term leased facilities, City-wide, totaling \$2.7 million, slipped from September 2010 to February 2011, and deregistration of contracts, totaling \$2.1 million, occurred in October 2010. Installation of fuel facility vapor control systems, totaling \$4.9 million, advanced from June 2011 to September and October 2010. Board of Elections, totaling \$7.1 million, advanced from April and June 2011 to August thru October 2010. Various slippages and advances account for the remaining variance.
- Sanitation - Purchase of collection trucks and equipment, totaling \$59.9 million, advanced from January 2011 to October and November 2010. Improvements to garages and other facilities, totaling \$6.4 million, slipped from July thru November 2010 to February 2011. Construction of sanitation garage for District 1/2/5 Manhattan, totaling \$2.1 million, slipped from October 2010 to February 2011. Various slippages and advances account for the remaining variance.
- Sewers - Construction and reconstruction of sanitary and combined sewers, City-wide, totaling \$15.3 million, slipped from July thru November 2010 to February 2011. Construction and reconstruction of storm sewers, City-wide, totaling \$16.8 million, slipped from July, August and October 2010 to February 2011. Acquisition of land, pursuant to storm water management program, totaling \$9.4 million, advanced from June 2011 to July thru November 2010. Various slippages and advances account for the remaining variance.
- Transit - Reconstruction of Transit lines under operation, City-wide, totaling \$35.0 million, advanced from June 2011 to November 2010.
- Water Mains - Water main extensions, City-wide, totaling \$11.6 million, slipped from July thru September and November 2010 to February 2011. Deregistration of trunk main extensions and improvements, totaling \$5.0 million, occurred in September 2010. Construction of the Croton Filtration Plant, totaling \$51.2 million, advanced from June 2011 to July thru November 2010. Improvements to structures on watersheds outside the City,

totaling \$72.8 million, advanced from June 2011 to July thru November 2010. Water supply improvements, totaling \$3.0 million, advanced from June 2011 and FY 2012 to August thru November 2010. Various slippages and advances account for the remaining variance.

Water Pollution
Control

- Reconstruction of Ward's Island Water Pollution Control Plant, totaling \$6.3 million, advanced from June 2011 to August thru November 2010. Reconstruction of Water Pollution Control Projects, totaling \$24.6 million, advanced from June 2011 to July thru November 2010. Construction of combined sewer overflow abatement, totaling \$30.9 million, advanced from June 2011 to July thru November 2010. Upgrade of Bowery Bay Ward Water Pollution Control, totaling \$10.2 million, advanced from June 2011 to July thru November 2010. Upgrade of Tallmans Island Ward Water Pollution Control Plant, totaling \$15.4 million, advanced from June 2011 to August thru November 2010. Construction and reconstruction of pumping stations, City-wide, totaling \$9.6 million, advanced from June 2011 to July thru November 2010. Engineering, architect and other administrative costs associated with Water Pollution Control, totaling \$6.1 million, advanced from June 2011 to September thru November 2010. Upgrade of the Newtown Creek Water Pollution Control Plant, totaling \$27.4 million, advanced from June 2011 to July thru November 2010. Various slippages and advances account for the remaining variance.

Others

- Purchase of EDP equipment for the Department of Information Technology and Telecommunications, totaling \$30.8 million, advanced from June 2011 to July thru November 2010. Emergency communications system and facilities, totaling \$25.4 million, advanced from June 2011 to July thru November 2010.
- Purchase of DEP equipment, totaling \$4.8 million, advanced from June 2011 to July thru September and November 2010. Purchase of electronic data processing equipment, totaling \$23.9 million, advanced from June 2011 to July thru November 2010. Mandated payments for private gas utility relocation for the Department of Environmental Protection, totaling \$4.7 million, advanced from December 2010 and June 2011 to July thru October 2010. Remedial action at closed landfill, totaling \$9.2 million, advanced from June 2011 to September and November 2010. Installation of water measuring devices, City-wide, totaling \$15.8 million, advanced from June 2011 to July thru November 2010.

- Purchase of equipment for use by the Homeless, City-wide, totaling \$2.0 million, advanced from January and June 2011 to July, October and November 2010. Congregate facilities for the Homeless, City-wide, totaling \$4.8 million, advanced from December 2010 thru June 2011 to July thru November 2010.
- Improvements to health facilities, City-wide, totaling \$108.5 million, advanced from January, April, May and June 2011 to July thru November 2010.
- City University improvements, City-wide, totaling \$2.8 million, advanced from June 2011 to July thru November 2010.
- Federation of Italian American Organization, City-wide, totaling \$11.7 million, advanced from June 2011 to November 2010.
- Construction, reconstruction, improvements, acquisitions, outfitting and equipment for Queens's libraries, totaling \$14.8 million, slipped from July thru October 2010 to February 2011. Deregistration of contracts for the New York Public Library, totaling \$3.0 million, occurred in October 2010.
- Purchase of electronic data processing equipment, totaling \$66.2 million, advanced from June 2011 to July, October and November 2010. Purchase of electronic data processing equipment for FISA, totaling \$19.6 million, advanced from June 2011 to July thru November 2010. Communication equipment, totaling \$2.0 million, advanced from June 2011 to July thru October 2010.
- Deregistration of construction contracts for Cultural Institutions, or acquisition, City-wide, totaling \$12.6 million, occurred in September 2010.
- Installation of traffic signals, City-wide, totaling \$20.1 million, advanced from June 2011 to July thru November 2010. Street lighting draw down, City-wide, totaling \$5.6 million, slipped from July 2010 to February 2011.

3. Variances in year-to-date commitments of non-City funds through November occurred in the Department of Education, Department of Business Services, the Department of Parks and Recreation, the Department of Environmental Protection and the Department of Transportation.

- Education - Five-Year Educational Capital Plan, totaling \$100.0 million, advanced from June 2011 to August 2010. Various slippages and advances account for the remaining variance.
- Economic Development - Acquisition, site development, construction and reconstruction related to Economic Development, totaling \$9.9 million, advanced from January and June 2011 to July thru November 2010. Various slippages and advances account for the remaining variance.
- Parks - Miscellaneous parks, parkways and playgrounds, City-wide, totaling \$6.0 million, advanced from January and June 2011 to July, October and November 2010. Various slippages and advances account for the remaining variance.
- Water Pollution Control - Reconstruction of Water Pollution Control Plant Projects, totaling \$8.1 million, advanced from June 2011 to October 2010. Various slippages and advances account for the remaining variance.
- Others - Street lighting, City-wide, totaling \$22.3 million, slipped from July 2010 to February 2011.

Report No. 5A

Capital Cash Flow

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

DESCRIPTION	MONTH: NOVEMBER		FISCAL YEAR: 2011	
	CURRENT MONTH ACTUAL		YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
TRANSIT	\$0.0 (C) 0.0 (N)		\$40.6 (C) 0.0 (N)	\$92.4 (C) 6.3 (N)
HIGHWAY AND STREETS	16.9 (C) 4.2 (N)		70.8 (C) 15.5 (N)	281.7 (C) 73.2 (N)
HIGHWAY BRIDGES	21.9 (C) 15.6 (N)		84.8 (C) 57.1 (N)	289.8 (C) 120.2 (N)
WATERWAY BRIDGES	19.5 (C) 7.1 (N)		78.4 (C) 42.3 (N)	205.1 (C) 124.4 (N)
WATER SUPPLY	11.2 (C) 0.0 (N)		41.5 (C) 0.0 (N)	145.8 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	113.5 (C) 0.0 (N)		577.8 (C) 0.0 (N)	988.2 (C) 1.0 (N)
SEWERS	16.0 (C) 0.0 (N)		82.4 (C) 0.0 (N)	148.2 (C) 14.1 (N)
WATER POLLUTION CONTROL	98.7 (C) 8.0 (N)		517.8 (C) 16.9 (N)	911.8 (C) 51.2 (N)
ECONOMIC DEVELOPMENT	15.2 (C) 7.8 (N)		118.0 (C) 27.6 (N)	250.6 (C) 54.8 (N)
EDUCATION	268.9 (C) 131.1 (N)		995.7 (C) 204.6 (N)	1,783.2 (C) 690.1 (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: 2011	
	CURRENT MONTH ACTUAL		YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
CORRECTION	2.3 (C)		15.1 (C)	94.6 (C)
	0.0 (N)		0.0 (N)	0.0 (N)
SANITATION	25.4 (C)		203.9 (C)	358.2 (C)
	0.0 (N)		1.3 (N)	1.7 (N)
POLICE	12.8 (C)		66.0 (C)	298.7 (C)
	0.0 (N)		0.0 (N)	0.0 (N)
FIRE	7.8 (C)		36.1 (C)	86.3 (C)
	0.4 (N)		8.1 (N)	8.2 (N)
HOUSING	22.1 (C)		93.6 (C)	225.0 (C)
	10.8 (N)		18.9 (N)	70.1 (N)
HOSPITALS	3.0 (C)		71.9 (C)	64.1 (C)
	0.0 (N)		0.0 (N)	0.6 (N)
PUBLIC BUILDINGS	13.5 (C)		58.5 (C)	171.3 (C)
	0.0 (N)		0.0 (N)	0.1 (N)
PARKS	45.7 (C)		300.1 (C)	496.6 (C)
	1.3 (N)		10.3 (N)	53.4 (N)
ALL OTHER DEPARTMENTS	133.5 (C)		661.8 (C)	1,532.8 (C)
	7.2 (N)		42.1 (N)	146.8 (N)
TOTAL	\$847.9 (C)		\$4,114.7 (C)	\$8,424.6 (C)
	\$193.6 (N)		\$444.8 (N)	\$1,416.3 (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 2011

	ACTUAL					FORECAST						12	ADJUST-	TOTAL	
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	Months	MENTS	
CASH INFLOWS															
CURRENT															
GENERAL PROPERTY TAX	\$3,122	\$110	\$980	\$413	\$57	\$3,927	\$2,270	\$58	\$912	\$379	\$15	\$2,502	\$14,745	\$2,042	\$16,787
OTHER TAXES	444	953	2,896	1,142	1,070	2,771	2,506	1,177	2,293	2,144	863	3,251	21,510	692	22,202
FEDERAL GRANTS	107	431	(77)	406	101	374	224	461	1,268	631	586	1,035	5,547	2,324	7,871
STATE GRANTS	361	67	840	189	522	977	226	173	2,137	277	1,676	2,390	9,835	1,640	11,475
OTHER CATEGORICAL	48	218	60	108	11	106	39	73	51	84	32	261	1,091	239	1,330
UNRESTRICTED (NET OF DISALL.)	-	-	-	-	-	-	-	2	-	-	(5)	(10)	(13)	12	(1)
MISCELLANEOUS REVENUES	610	290	403	349	299	345	337	237	321	288	503	371	4,353	-	4,353
CAPITAL INTER-FUND TRANSFERS	-	-	56	38	33	77	20	20	122	22	19	29	436	123	559
SUBTOTAL	4,692	2,069	5,158	2,645	2,093	8,577	5,622	2,201	7,104	3,825	3,689	9,829	57,504	7,072	64,576
PRIOR															
OTHER TAXES	760	232	-	-	-	-	-	-	-	-	-	-	992	-	992
FEDERAL GRANTS	325	378	725	71	326	290	97	178	108	114	65	109	2,786	778	3,564
STATE GRANTS	19	498	534	289	116	216	87	95	185	44	56	164	2,303	1,798	4,101
OTHER CATEGORICAL	(3)	126	18	11	81	97	16	16	16	16	16	16	426	9	435
UNRESTRICTED	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
MISC. REVENUE/CAPITAL IFA	2	32	53	-	-	-	-	-	-	-	-	-	87	(87)	-
SUBTOTAL	1,103	1,266	1,330	371	523	603	200	289	309	174	137	289	6,594	2,498	9,092
CAPITAL															
CAPITAL TRANSFERS	605	1,251	1,029	1,017	554	619	1,088	632	752	729	794	767	9,837	(1,412)	8,425
FEDERAL AND STATE	3	4	68	19	366	41	117	36	55	31	303	373	1,416	-	1,416
OTHER															
SENIOR COLLEGES	288	2	1	143	256	1	-	267	487	26	4	669	2,144	(287)	1,857
HOLDING ACCT. & OTHER ADJ.	-	-	1	-	1	(2)	-	-	-	-	-	-	-	-	-
OTHER SOURCES	1	320	-	233	-	237	-	-	-	-	-	-	791	-	791
TOTAL INFLOWS	\$6,692	\$4,912	\$7,587	\$4,428	\$3,793	\$10,076	\$7,027	\$3,425	\$8,707	\$4,785	\$4,927	\$11,927	\$78,286	\$7,871	86,157
CASH OUTFLOWS															
CURRENT															
PS	\$1,436	\$1,971	\$2,659	\$3,333	\$2,712	\$2,550	\$3,306	\$2,741	\$2,760	\$3,399	\$2,745	\$4,310	\$33,922	\$2,127	\$36,049
OTPS	1,188	1,643	1,754	1,758	1,855	1,970	2,017	1,883	2,280	1,839	1,885	2,503	22,575	2,699	25,274
DEBT SERVICE	57	144	14	21	96	122	324	258	313	357	177	1,370	3,253	-	3,253
SUBTOTAL	2,681	3,758	4,427	5,112	4,663	4,642	5,647	4,882	5,353	5,595	4,807	8,183	59,750	4,826	64,576
PRIOR															
PS	1,784	780	33	9	30	39	40	40	40	40	35	30	2,900	-	2,900
OTPS	958	395	3	13	166	150	270	150	325	200	35	35	2,700	-	2,700
OTHER TAXES	82	179	-	-	-	-	-	-	-	-	-	-	261	-	261
DISALLOWANCE RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	-	1,093	1,093
SUBTOTAL	2,824	1,354	36	22	196	189	310	190	365	240	70	65	5,861	1,093	6,954
CAPITAL															
CITY DISBURSEMENTS	905	764	1,061	537	848	444	735	429	649	666	768	619	8,425	-	8,425
FEDERAL AND STATE	114	52	56	29	194	73	256	72	227	51	220	72	1,416	-	1,416
OTHER															
SENIOR COLLEGES	215	57	134	126	128	109	303	143	143	214	143	142	1,857	-	1,857
OTHER USES	-	-	62	-	191	-	-	-	-	-	-	538	791	-	791
TOTAL OUTFLOWS	\$6,739	\$5,985	\$5,776	\$5,826	\$6,220	\$5,457	\$7,251	\$5,716	\$6,737	\$6,766	\$6,008	\$9,619	\$78,100	\$5,919	\$84,019
NET CASH FLOW	(\$47)	(\$1,073)	\$1,811	(\$1,398)	(\$2,427)	\$4,619	(\$224)	(\$2,291)	\$1,970	(\$1,981)	(\$1,081)	\$2,308	\$186	\$1,952	\$2,138
BEGINNING BALANCE	\$4,659	\$4,612	\$3,539	\$5,350	\$3,952	\$1,525	\$6,144	\$5,920	\$3,629	\$5,599	\$3,618	\$2,537	\$4,659		
ENDING BALANCE	\$4,612	\$3,539	\$5,350	\$3,952	\$1,525	\$6,144	\$5,920	\$3,629	\$5,599	\$3,618	\$2,537	\$4,845	\$4,845		

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

MONTH: NOVEMBER
FISCAL YEAR 2011

	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)	(215)	(57)	(134)	(126)	(128)	(109)	(303)	(143)	(143)	(214)	(143)	(142)	(1,857)	-	(1,857)
SENIOR COLLEGES INFLOW - CURRENT	-	-	-	-	-	-	-	104	487	26	4	669	1,290	567	1,857
SENIOR COLLEGES INFLOW - PRIOR	288	2	1	143	256	1	-	163	-	-	-	-	854	(854)	-
NET SENIOR COLLEGES	73	(55)	(133)	17	128	(108)	(303)	124	344	(188)	(139)	527	287	(287)	-
CAPITAL															
<u>CURRENT CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	200	1,050	300	675	1,070	1,525	1,425	875	453	-	625	-	8,198	-	8,198
(INC)/DEC RESTRICTED CASH	200	72	254	77	(666)	(1,056)	(587)	(393)	264	729	169	767	(170)	(1,412)	(1,582)
SUBTOTAL	400	1,122	554	752	404	469	838	482	717	729	794	767	8,028	(1,412)	6,616
<u>PRIOR CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	-	150	250	250	-	-	-	-	-	-	-	-	650	-	650
(INC)/DEC RESTRICTED CASH	205	(21)	225	15	150	150	250	150	35	-	-	-	1,159	-	1,159
SUBTOTAL	205	129	475	265	150	150	250	150	35	-	-	-	1,809	-	1,809
TOTAL CITY CAPITAL TRANSFERS	605	1,251	1,029	1,017	554	619	1,088	632	752	729	794	767	9,837	(1,412)	8,425
<u>FEDERAL AND STATE - INFLOWS:</u>															
CURRENT	3	4	68	19	98	41	96	36	55	31	303	373	1,127	289	1,416
PRIOR	-	-	-	-	268	-	21	-	-	-	-	-	289	(289)	-
TOTAL FEDERAL AND STATE INFLOWS	3	4	68	19	366	41	117	36	55	31	303	373	1,416	-	1,416
<u>CAPITAL OUTFLOWS:</u>															
CITY DISBURSEMENTS	(905)	(764)	(1,061)	(537)	(848)	(444)	(735)	(429)	(649)	(666)	(768)	(619)	(8,425)	-	(8,425)
FEDERAL AND STATE	(114)	(52)	(56)	(29)	(194)	(73)	(256)	(72)	(227)	(51)	(220)	(72)	(1,416)	-	(1,416)
TOTAL OUTFLOWS	(1,019)	(816)	(1,117)	(566)	(1,042)	(517)	(991)	(501)	(876)	(717)	(988)	(691)	(9,841)	-	(9,841)
<u>NET CAPITAL:</u>															
NET CITY CAPITAL	(300)	487	(32)	480	(294)	175	353	203	103	63	26	148	1,412	(1,412)	-
NET NON-CITY CAPITAL	(111)	(48)	12	(10)	172	(32)	(139)	(36)	(172)	(20)	83	301	-	-	-
NET TOTAL CAPITAL	(411)	439	(20)	470	(122)	143	214	167	(69)	43	109	449	1,412	(1,412)	-

NOTES TO REPORT #6/6A

1. Beginning Balance

The July 2010 beginning balance is consistent with the FY 2010 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 2011 ending balance includes deferred revenue from FY 2012 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.