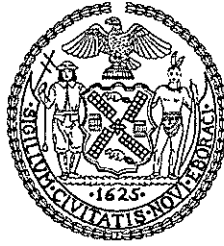


Financial Plan Statements
for
New York City
September 2009



The City of New York



This report contains Financial Plan Statements for September 2009 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 June 23, 2009.

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


Stuart Klein
First Deputy Director
Office of Management and Budget

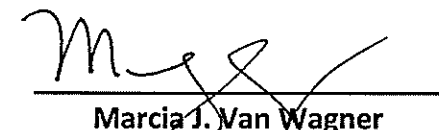

Marcia J. Van Wagner
Deputy Comptroller Budget
Office of the Comptroller

TABLE OF CONTENTS

<u>REPORT NO.</u>	<u>INTRODUCTION</u>	<u>PAGE</u>
	Notes to Financial Plan Statements	1-4
1	Financial Plan Summary	5
1A	Month-By-Month Revenue and Obligation Forecast	6
2	Analysis of Change in Fiscal Year Plan	7
3	Revenue Activity By Major Area	8-10
4	Obligation Analysis	11
4A/4B	Personnel Control Reports	12-19
5	Capital Commitments	20-28
5A	Capital Cash Flow	29-30
6/6A	Month-By-Month Cash Flow Forecast	31-33

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.

Covered Organization Financial Plans are issued quarterly.

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 derived from preliminary FY 2009 balances and are subjected to audit adjustments. Amounts reported may be subject to reclassification or adjustments arising from management review and audits of the City's FY 2009 and FY 2010 Financial Statements. The Financial Plan on which these statements are based was prepared in accordance with generally accepted accounting principles.

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.

Debt Service expenditures are net of Transitional Finance Authority (TFA) debt service and City personal income taxes (PIT) are net of PIT deposited into the TFA 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 2010 for OTPS purchase orders and contracts expected to be received by June 30, 2010 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 2010 are recorded when paid and adjusted at year-end for any additional unpaid settlements reached or judgments entered during FY 2010.

(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.

Report No. 1

Financial Plan Summary

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2010		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
REVENUES:									
TAXES									
GENERAL PROPERTY TAXES	\$ 648	\$ 723	\$ (75)	\$ 8,067	\$ 8,180	\$ (113)	\$ 16,072	\$ 16,072	\$ -
OTHER TAXES	2,503	2,404	99	4,288	4,095	193	19,128	19,128	-
MISCELLANEOUS REVENUES	255	424	(169)	1,135	1,335	(200)	5,973	5,973	-
UNRESTRICTED INTGOVT. AID	-	-	-	-	-	-	340	340	-
LESS: INTRA-CITY REVENUES	(17)	(99)	82	(22)	(105)	83	(1,669)	(1,669)	-
DISALLOWANCES	-	-	-	-	-	-	(15)	(15)	-
SUBTOTAL	3,389	3,452	(63)	13,468	13,505	(37)	39,829	39,829	-
OTHER CATEGORICAL GRANTS	24	122	(98)	295	393	(98)	1,053	1,053	-
CAPITAL INTER-FUND TRANSFERS	28	31	(3)	39	42	(3)	486	486	-
FEDERAL GRANTS	159	182	(23)	190	213	(23)	6,600	6,600	-
STATE GRANTS	1,571	1,598	(27)	1,661	1,688	(27)	11,512	11,512	-
TOTAL REVENUES	\$ 5,171	\$ 5,385	\$ (214)	\$ 15,653	\$ 15,841	\$ (188)	\$ 59,480	\$ 59,480	\$ -
EXPENDITURES:									
PS	\$ 2,670	\$ 2,613	\$ (57)	\$ 6,600	\$ 6,600	\$ -	\$ 35,949	\$ 35,949	\$ -
OTPS	1,677	2,360	683	11,628	10,726	(902)	24,423	24,423	-
DEBT SERVICE	(10)	14	24	22	50	28	477	477	-
GENERAL RESERVE	-	-	-	-	-	-	300	300	-
SUBTOTAL	4,337	4,987	650	18,250	17,376	(874)	61,149	61,149	-
LESS: INTRA-CITY EXPENSES	(17)	(99)	(82)	(22)	(105)	(83)	(1,669)	(1,669)	-
TOTAL EXPENDITURES	\$ 4,320	\$ 4,888	\$ 568	\$ 18,228	\$ 17,271	\$ (957)	\$ 59,480	\$ 59,480	\$ -
SURPLUS/(DEFICIT)	\$ 851	\$ 497	\$ 354	\$ (2,575)	\$ (1,430)	\$ (1,145)	\$ -	\$ -	\$ -

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: SEPTEMBER
FISCAL YEAR 2010

	ACTUAL			FORECAST										
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	POST JUNE	TOTAL YEAR
REVENUES:														
TAXES														
GENERAL PROPERTY TAXES	\$ 7,382	\$ 37	\$ 648	\$ 402	\$ 47	\$ 3,148	\$ 3,023	\$ 43	\$ 805	\$ 380	\$ 20	\$ 33	\$ 104	\$ 16,072
OTHER TAXES	922	863	2,503	1,034	1,050	2,199	1,972	910	1,973	1,704	985	2,997	16	19,128
MISCELLANEOUS REVENUES	588	292	255	410	388	333	495	344	592	474	663	746	393	5,973
UNRESTRICTED INTGOVT. AID	-	-	-	-	-	-	-	-	-	-	-	340	-	340
LESS: INTRA-CITY REVENUES	(3)	(2)	(17)	(105)	(111)	(98)	(201)	(93)	(133)	(161)	(109)	(243)	(393)	(1,669)
DISALLOWANCES	-	-	-	-	-	-	-	-	-	-	(5)	(10)	-	(15)
SUBTOTAL	8,889	1,190	3,389	1,741	1,374	5,582	5,289	1,204	3,237	2,397	1,554	3,863	120	39,829
OTHER CATEGORICAL GRANTS	108	163	24	109	41	39	127	43	45	53	89	212	-	1,053
CAPITAL INTER-FUND TRANSFERS	-	11	28	24	36	28	98	33	27	25	24	28	124	486
FEDERAL GRANTS	9	22	159	355	415	364	649	714	608	601	633	587	1,484	6,600
STATE GRANTS	65	25	1,571	227	1,090	948	922	1,063	1,076	1,110	1,012	1,018	1,385	11,512
TOTAL REVENUES:	\$ 9,071	\$ 1,411	\$ 5,171	\$ 2,456	\$ 2,956	\$ 6,961	\$ 7,085	\$ 3,057	\$ 4,993	\$ 4,186	\$ 3,312	\$ 5,708	\$ 3,113	\$ 59,480
EXPENDITURES:														
PS	\$ 1,462	\$ 2,468	\$ 2,670	\$ 2,702	\$ 2,709	\$ 2,757	\$ 3,358	\$ 2,685	\$ 2,683	\$ 2,704	\$ 2,692	\$ 4,865	\$ 2,194	\$ 35,949
OTPS	7,721	2,230	1,677	1,686	1,279	1,267	1,596	1,418	1,267	1,095	1,129	1,423	635	24,423
DEBT SERVICE	45	(12)	11	18	13	16	61	36	64	73	67	85	-	477
GENERAL RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	300	300
SUBTOTAL	9,228	4,686	4,358	4,406	4,001	4,040	5,015	4,139	4,014	3,872	3,888	6,373	3,129	61,149
LESS: INTRA-CITY EXPENSES	(3)	(2)	(17)	(105)	(111)	(98)	(201)	(93)	(133)	(161)	(109)	(243)	(393)	(1,669)
TOTAL EXPENDITURES	\$ 9,225	\$ 4,684	\$ 4,341	\$ 4,301	\$ 3,890	\$ 3,942	\$ 4,814	\$ 4,046	\$ 3,881	\$ 3,711	\$ 3,779	\$ 6,130	\$ 2,736	\$ 59,480
SURPLUS/(DEFICIT)	\$ (154)	\$ (3,273)	\$ 830	\$ (1,845)	\$ (934)	\$ 3,019	\$ 2,271	\$ (989)	\$ 1,112	\$ 475	\$ (467)	\$ (422)	\$ 377	\$ -

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: SEPTEMBER
FISCAL YEAR 2010**

DESCRIPTION	INITIAL PLAN 6/23/2009	CHANGES FROM INITIAL PLAN	CHANGES FROM PREVIOUS FORECAST
REVENUES:			
TAXES			
GENERAL PROPERTY TAXES	\$ 16,072	\$ -	\$ -
OTHER TAXES	19,128	-	-
MISCELLANEOUS REVENUES	5,973	-	-
UNRESTRICTED INTERGOVERNMENTAL AID	340	-	-
LESS:INTRA-CITY REVENUES	(1,669)	-	-
DISALLOWANCES	(15)	-	-
SUBTOTAL	39,829	-	-
OTHER CATEGORICAL GRANTS	1,053	-	-
CAPITAL INTERFUND TRANSFERS	486	-	-
FEDERAL GRANTS	6,600	-	-
STATE GRANTS	11,512	-	-
TOTAL REVENUES	\$ 59,480	\$ -	\$ -
EXPENDITURES:			
PERSONAL SERVICE	\$ 35,949	\$ -	\$ -
OTHER THAN PERSONAL SERVICE	24,423	-	-
DEBT SERVICE	477	-	-
GENERAL RESERVE	300	-	-
SUBTOTAL	61,149	-	-
LESS:INTRA-CITY EXPENDITURES	(1,669)	-	-
TOTAL EXPENDITURES	\$ 59,480	\$ -	\$ -

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: SEPTEMBER
FISCAL YEAR 2010

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2010		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
TAXES:									
GENERAL PROPERTY TAXES	\$ 648	\$ 723	\$ (75)	\$ 8,067	\$ 8,180	\$ (113)	\$ 16,072	\$ 16,072	\$ -
PERSONAL INCOME TAX	632	534	98	1,457	1,342	115	5,877	5,877	-
GENERAL CORPORATION TAX	435	375	60	435	375	60	2,024	2,024	-
BANKING CORPORATION TAX	137	134	3	137	134	3	478	478	-
UNINCORPORATED BUSINESS TAX	302	261	41	302	261	41	1,455	1,455	-
GENERAL SALES TAX	376	413	(37)	1,065	948	117	4,069	4,069	-
REAL PROPERTY TRANSFER TAX	43	40	3	145	121	24	613	613	-
MORTGAGE RECORDING TAX	33	30	3	104	91	13	475	475	-
COMMERCIAL RENT TAX	140	131	9	140	131	9	543	543	-
UTILITY TAX	29	31	(2)	58	62	(4)	391	391	-
OTHER TAXES	103	105	(2)	172	160	12	826	826	-
TAX AUDIT REVENUES *	52	51	1	52	51	1	596	596	-
TAX PROGRAM	-	60	(60)	-	180	(180)	879	879	-
STAR PROGRAM	221	239	(18)	221	239	(18)	902	902	-
TOTAL TAXES	\$ 3,151	\$ 3,127	\$ 24	\$ 12,355	\$ 12,275	\$ 80	\$ 35,200	\$ 35,200	\$ -
MISCELLANEOUS REVENUES:									
LICENSES/FRANCHISES/ETC.	18	16	2	109	107	2	479	479	-
INTEREST INCOME	2	5	(3)	3	6	(3)	30	30	-
CHARGES FOR SERVICES	33	54	(21)	120	141	(21)	674	674	-
WATER AND SEWER CHARGES	85	95	(10)	563	573	(10)	1,369	1,369	-
RENTAL INCOME	16	13	3	49	46	3	220	220	-
FINES AND FORFEITURES	65	82	(17)	204	221	(17)	899	899	-
MISCELLANEOUS	19	60	(41)	65	136	(71)	633	633	-
INTRA-CITY REVENUE	17	99	(82)	22	105	(83)	1,669	1,669	-
TOTAL MISCELLANEOUS	\$ 255	\$ 424	\$ (169)	\$ 1,135	\$ 1,335	\$ (200)	\$ 5,973	\$ 5,973	\$ -

* The financial plan as submitted on June 23, 2009 reflects \$596 million in Tax Audit Revenues, anticipated to be collected as follows:

	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	FISCAL YEAR 2010 PLAN
SALES TAX	\$ 3	\$ 3	\$ 20
PERSONAL INCOME TAX	2	2	25
GENERAL CORPORATION TAX	41	41	362
COMMERCIAL RENT TAX	1	1	15
FINANCIAL CORPORATION TAX	1	1	101
UTILITY TAX	1	1	8
UNINCORPORATED BUSINESS TAX	3	3	49
REAL PROPERTY TRANSFER	-	-	7
OTHER TAXES	-	-	9
TOTAL	\$ 52	\$ 52	\$ 596

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2010		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNRESTRICTED INTGOVT. AID									
FEDERAL REVENUE SHARING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
NY STATE REVENUE SHARING	-	-	-	-	-	-	327	327	-
OTHER INTGOVT. AID	-	-	-	-	-	-	13	13	-
TOTAL UNRESTRICTED INTG.	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 340	\$ 340	\$ -
OTHER CATEGORICAL GRANTS	24	122	(98)	295	393	(98)	1,053	1,053	-
CAPITAL INTER-FUND TRANSFERS	28	31	(3)	39	42	(3)	486	486	-
LESS: INTRA-CITY REVENUES	(17)	(99)	82	(22)	(105)	83	(1,669)	(1,669)	-
LESS: DISALLOWANCES	-	-	-	-	-	-	(15)	(15)	-
FEDERAL GRANTS									
COMMUNITY DEVELOPMENT	14	21	(7)	38	45	(7)	305	305	-
WELFARE	104	107	(3)	104	107	(3)	2,562	2,562	-
EDUCATION	12	14	(2)	18	20	(2)	2,746	2,746	-
OTHER	29	40	(11)	30	41	(11)	987	987	-
TOTAL FEDERAL GRANTS	\$ 159	\$ 182	\$ (23)	\$ 190	\$ 213	\$ (23)	\$ 6,600	\$ 6,600	\$ -
STATE GRANTS									
WELFARE	82	115	(33)	82	115	(33)	1,947	1,947	-
EDUCATION	1,470	1,445	25	1,556	1,531	25	8,186	8,186	-
HIGHER EDUCATION	-	-	-	-	-	-	198	198	-
HEALTH AND MENTAL HYGIENE	(3)	14	(17)	-	17	(17)	480	480	-
OTHER	22	24	(2)	23	25	(2)	701	701	-
TOTAL STATE GRANTS	\$ 1,571	\$ 1,598	\$ (27)	\$ 1,661	\$ 1,688	\$ (27)	\$ 11,512	\$ 11,512	\$ -
TOTAL REVENUES	\$ 5,171	\$ 5,385	\$ (214)	\$ 15,653	\$ 15,841	\$ (188)	\$ 59,480	\$ 59,480	\$ -

NOTES TO REPORT #3

Miscellaneous:

The year-to-date variance of \$(71) million in miscellaneous is primarily due to a delay in federal reimbursements of DSH/UPL funding to HHC which in turn delays the corporation's reimbursement of debt service payments for bonds issued on capital projects of \$(72) million.

Other Categorical Aid:

The year-to-date variance of \$(98) million is primarily due to the timing of the receipt of revenue for FDNY - EMS of \$(41) million, HHC Tort Reimbursement and Fringes of \$(38) million and Medicaid of \$(7) million.

Report No. 4

Obligation Analysis

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2010		
	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES									
POLICE DEPT.	\$ 353	\$ 337	\$ (16)	\$ 1,129	\$ 1,067	\$ (62)	\$ 4,358	\$ 4,358	\$ -
FIRE DEPT.	124	122	(2)	430	423	(7)	1,617	1,617	-
DEPT. OF CORRECTION	63	76	13	255	246	(9)	1,002	1,002	-
SANITATION DEPT.	72	64	(8)	536	441	(95)	1,303	1,303	-
HEALTH & WELFARE									
ADMIN. FOR CHILD SERVICES	106	135	29	1,492	1,335	(157)	2,675	2,675	-
DEPT. OF SOCIAL SERVICES	745	606	(139)	2,656	2,290	(366)	7,888	7,888	-
DEPT. OF HOMELESS SERVICES	34	27	(7)	556	502	(54)	765	765	-
HEALTH & MENTAL HYGIENE	79	173	94	1,099	757	(342)	1,647	1,647	-
OTHER AGENCIES									
HOUSING PRESERVATION & DEV.	55	38	(17)	245	165	(80)	583	583	-
ENVIRONMENTAL PROTECTION	116	145	29	336	368	32	1,025	1,025	-
TRANSPORTATION DEPT.	94	46	(48)	315	280	(35)	734	734	-
PARKS & RECREATION DEPT.	30	30	-	125	115	(10)	348	348	-
DEPT. OF CITYWIDE ADMIN. SERVICES	20	24	4	975	877	(98)	1,183	1,183	-
ALL OTHER	188	206	18	1,333	1,430	97	3,150	3,150	-
COVERED ORGANIZATIONS									
DEPT. OF EDUCATION	1,333	1,914	581	3,825	4,148	323	18,381	18,381	-
HIGHER EDUCATION	25	47	22	157	155	(2)	697	697	-
HEALTH & HOSPITALS CORP.	2	5	3	2	5	3	101	101	-
OTHER									
MISCELLANEOUS BUDGET:									
FRINGE BENEFITS	243	215	(28)	686	624	(62)	3,559	3,559	-
TRANSIT SUBSIDIES	13	155	142	40	176	136	344	344	-
JUDGMENTS & CLAIMS	74	27	(47)	179	62	(117)	663	663	-
OTHER	26	29	3	200	202	2	1,649	1,649	-
PENSION CONTRIBUTIONS	552	552	-	1,657	1,658	1	6,700	6,700	-
DEBT SERVICE	(10)	14	24	22	50	28	477	477	-
PRIOR YEAR ADJUSTMENTS	-	-	-	-	-	-	-	-	-
SUB-TOTAL	\$ 4,337	\$ 4,987	\$ 650	\$ 18,250	\$ 17,376	\$ (874)	\$ 60,849	\$ 60,849	\$ -
PLUS GENERAL RESERVE	-	-	-	-	-	-	300	300	-
LESS INTRA-CITY EXPENSES	(17)	(99)	(82)	(22)	(105)	(83)	(1,669)	(1,669)	-
TOTAL EXPENDITURES	\$ 4,320	\$ 4,888	\$ 568	\$ 18,228	\$ 17,271	\$ (957)	\$ 59,480	\$ 59,480	\$ -

Report No. 4A & 4B

Personnel Control Reports

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	FT & FTE POSITIONS		PERSONAL SERVICE COSTS						FT & FTE POSITIONS		PERSONAL SERVICE COSTS			
	CURRENT MONTH		CURRENT MONTH			YEAR-TO-DATE			FISCAL YEAR 2010 PROJECTIONS		FISCAL YEAR 2010 PROJECTIONS			
	ACTUAL	PLAN *	ACTUAL	PLAN	BETTER/ (WORSE)	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES														
POLICE DEPT.	51,963	51,394	\$ 319	\$ 305	\$ (14)	\$ 971	\$ 957	\$ (14)	49,167	49,167	-	\$ 4,096	\$ 4,096	\$ -
FIRE DEPT.	16,209	16,449	115	114	(1)	347	349	2	15,971	15,971	-	1,487	1,487	-
DEPT. OF CORRECTION	10,639	10,640	67	66	(1)	204	200	(4)	10,436	10,436	-	871	871	-
SANITATION DEPT.	9,626	9,707	58	57	(1)	171	177	6	9,587	9,587	-	776	776	-
HEALTH & WELFARE														
ADMIN. FOR CHILD SERVICES	6,572	6,346	31	29	(2)	98	92	(6)	6,250	6,250	-	378	378	-
DEPT. OF SOCIAL SERVICES	14,092	14,585	56	56	-	174	175	1	14,586	14,586	-	722	722	-
DEPT. OF HOMELESS SERVICES	1,960	1,885	9	8	(1)	29	27	(2)	1,886	1,886	-	114	114	-
HEALTH & MENTAL HYGIENE	6,492	6,507	31	30	(1)	92	95	3	6,714	6,714	-	406	406	-
OTHER AGENCIES														
ENVIRONMENTAL PROTECTION	6,019	6,075	32	31	(1)	99	100	1	6,277	6,277	-	413	413	-
TRANSPORTATION DEPT.	4,894	4,407	30	25	(5)	91	77	(14)	4,454	4,454	-	335	335	-
PARKS & RECREATION DEPT.	7,229	7,616	26	22	(4)	87	77	(10)	6,763	6,763	-	272	272	-
CITYWIDE ADMIN. SERVICES	2,433	2,429	12	11	(1)	37	36	(1)	2,522	2,522	-	152	152	-
ALL OTHER	30,758	29,504	139	151	12	456	470	14	29,530	29,530	-	1,918	1,918	-
COVERED ORGANIZATIONS														
DEPT. OF EDUCATION	136,535	140,032	950	940	(10)	1,401	1,486	85	138,822	138,822	-	13,004	13,004	-
OTHER														
MISCELLANEOUS BUDGET	-	-	243	216	(27)	686	624	(62)	-	-	-	4,305	4,305	-
PENSION CONTRIBUTIONS	-	-	552	552	-	1,657	1,658	1	-	-	-	6,700	6,700	-
TOTAL	305,421	307,576	\$ 2,670	\$ 2,613	\$ (57)	\$ 6,600	\$ 6,600	\$ -	302,965	302,965	-	\$ 35,949	\$ 35,949	\$ -

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

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	FULL-TIME POSITIONS CURRENT MONTH			FULL-TIME POSITIONS FISCAL YEAR 2010		
	ACTUAL	PLAN	BETTER/ (WORSE)	FORECAST	PLAN	BETTER/ (WORSE)
UNIFORM FORCES						
POLICE DEPT.	50,575	50,303	(272)	47,383	47,383	-
FIRE DEPT.	16,133	16,390	257	15,911	15,911	-
DEPT. OF CORRECTION	10,591	10,590	(1)	10,386	10,386	-
SANITATION DEPT.	9,528	9,578	50	9,450	9,450	-
HEALTH & WELFARE						
ADMIN. FOR CHILD SERVICES	6,520	6,288	(232)	6,190	6,190	-
DEPT. OF SOCIAL SERVICES	14,065	14,582	517	14,582	14,582	-
DEPT. OF HOMELESS SERVICES	1,959	1,884	(75)	1,884	1,884	-
HEALTH & MENTAL HYGIENE	5,200	5,174	(26)	5,337	5,337	-
OTHER AGENCIES						
ENVIRONMENTAL PROTECTION	5,845	5,917	72	6,115	6,115	-
TRANSPORTATION DEPT.	4,442	4,139	(303)	4,242	4,242	-
PARKS & RECREATION DEPT.	3,707	3,547	(160)	3,345	3,345	-
CITYWIDE ADMIN. SERVICES	2,142	2,035	(107)	2,132	2,132	-
ALL OTHER	25,918	25,811	(107)	25,887	25,887	-
COVERED ORGANIZATIONS						
DEPT. OF EDUCATION	121,734	123,062	1,328	121,852	121,852	-
TOTAL	278,359	279,300	941	274,696	274,696	-

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

The current month, year-to-date and fiscal year plan data in Reports No. 4, 4A & 4B reflect the Financial Plan submitted to the Financial Control Board on June 23, 2009.

There are 305,421 filled positions as of September of which 278,359 are full-time positions and 27,062 are full-time equivalent positions. Of the 305,421 filled positions, 266,223 are estimated to be wholly or partially city funded. For the fiscal year (June 30, 2010) 274,696 of the 302,965 positions are full-time and 260,657 of the 302,965 positions are estimated to be city funded positions.

In some instances prior year charges are reflected in FY 2010 year-to-date expenses. These will be journaled back to prior years at a later date.

Police Department: The \$(62) million year-to-date variance is primarily due to:

- \$(68) million in accelerated encumbrances, including \$(24) million for special expense, \$(7) million for motor vehicle fuel, \$(7) million for data processing equipment, \$(7) million for rental of land buildings and structures, \$(5) million for general contractual services, \$(3) million for general equipment and \$(3) million for professional computer services.
- \$20 million in delayed encumbrances, primarily for motor vehicles and general supplies and materials.
- \$(14) million in personal services, including \$(33) million in overtime, offset by \$15 million in full-time normal gross and \$3 million in fringe benefits.

Department of Sanitation: The \$(95) million year-to-date variance is primarily due to:

- \$(116) million in accelerated encumbrances, including \$(88) million in municipal waste export, \$(16) million in general contractual services and \$(7) million in motor vehicle fuel.

- \$15 million in delayed encumbrances, primarily for heat, light and power and automotive supplies and materials.
- \$6 million in personal services.

Administration for Children's Services: The \$(157) million year-to-date variance is primarily due to:

- \$(213) million in accelerated encumbrances, including \$(80) million for day-care of children, \$(41) million for children charitable institutions, \$(31) million for direct foster care of children, \$(30) million for special educational facilities for the institutionalized and foster care and \$(22) million for homemaking services.
- \$62 million in delayed encumbrances, including \$20 million for general fixed charges, \$13 million for Head Start, \$9 million for child welfare services, \$5 million for subsidized adoption, \$4 million for rental of land, buildings and structures and \$4 million for direct foster care of children.
- \$(6) million in personal services, primarily for full-time normal gross.

Department of Social Services: The \$(366) million year-to-date variance is primarily due to:

- \$(424) million in accelerated encumbrances, including \$(278) million for medical assistance, \$(107) million for aid to dependent children, \$(10) million for AIDS services, \$(9) million for employment services, \$(7) million for adult protective services and \$(5) million for homeless family services.
- \$57 million in delayed encumbrances, including \$28 million for home care services, \$5 million for security services, \$5 million for contractual AIDS services, \$3 million for rentals of land, buildings and structures, \$3 million for general contractual services, \$3 million for home relief payments and \$3 million for heat, light and power.
- \$1 million in personal services.

Department of Homeless Services: The \$(54) million year-to-date variance is primarily due to:

- \$(68) million in accelerated encumbrances, primarily for homeless individual and family services.
- \$16 million in delayed encumbrances, primarily for general contractual services.
- \$(2) million in personal services.

Department of Health and Mental Hygiene: The \$(342) million year-to-date variance is primarily due to:

- \$(393) million in accelerated encumbrances, including \$(341) million for mental hygiene services, \$(26) million for general contractual services, \$(6) million for HHC Mental Health Services, \$(4) million for medical, surgical and lab supplies and \$(4) million for general social services.
- \$48 million in delayed encumbrances, including \$26 million for AIDS services, \$5 million for hospitals contracts, \$4 million for general supplies and materials and \$4 million for other professional services.
- \$3 million in personal services.

Department of Housing Preservation and Development: The \$(80) million year-to-date variance is primarily due to:

- \$(91) million in accelerated encumbrances, including \$(42) million for Federal Section 8 Rent Subsidy, \$(32) million for general contractual services, \$(7) million for general maintenance and repair and \$(4) million for contractual in-rem maintenance costs.
- \$11 million in delayed encumbrances, primarily for general contractual services and heat, light and power.

Department of Environmental Protection: The \$32 million year-to-date variance is primarily due to:

- \$68 million in delayed encumbrances, including \$40 million for other general expenses, \$15 million for heat, light and power and \$6 million for taxes and licenses.
- \$(37) million in accelerated encumbrances, including \$(13) million for rental of land, buildings and structures, \$(8) million for general contractual services, \$(4) million for fuel oil and \$(3) million for general supplies and materials.
- \$1 million in personal services.

Transportation Department: The \$(35) million year-to-date variance is primarily due to:

- \$(67) million in accelerated encumbrances, including \$(27) million for maintenance and operation of infrastructure, \$(7) million for motor vehicle fuel, \$(7) million for general supplies and materials, \$(6) million for other professional services and \$(3) million for engineering and architectural services.
- \$46 million in delayed encumbrances, including \$14 million for general contractual services, \$13 million for heat, light and power, \$10 million for general maintenance and repairs and \$3 million for security services.
- \$(14) million in personal services, primarily for full-time normal gross and overtime.

Department of Citywide Administrative Services: The \$(98) million year-to-date variance is primarily due to:

- \$(112) million in accelerated encumbrances, including \$(95) million for heat, light and power, \$(4) million for general supplies and materials and \$(3) million for general maintenance and repairs.
- \$15 million in delayed encumbrances, primarily for rentals of land, buildings and structures.

- \$(1) million in personal services.

Department of Education: The \$323 million year-to-date variance is primarily due to:

- \$238 million in OTPS, reflecting delayed encumbrances of \$445 million for transportation of pupils, \$104 million for general supplies and materials, \$59 million for general contractual services, \$37 million for heat, light and power, \$16 million for taxes and licenses, \$14 million for books, \$14 million for rentals of land, buildings and structures, \$13 million for payments for surety bonds and insurance premiums, \$8 million for telecommunications maintenance and \$4 million for library books offset by accelerated encumbrances of \$(375) million for payments to contract schools and corporate schools, \$(27) million for other professional services, \$(24) million for maintenance and operation of infrastructure, \$(14) million for fuel oil, \$(12) million for curriculum and professional development, \$(11) million for food and forage supplies, \$(10) million for direct education services to students, \$(9) million for data processing equipment, \$(3) million for training program for city employees and \$(3) million for payments for special schooling of handicapped children.
- \$85 million in personal services, of which \$(24) million represents backpay that will be journaled to prior years and \$109 million represents the current year spending variance.

Miscellaneous: The \$(41) million year-to-date variance is primarily due to:

- \$(62) million in fringe benefits reflecting accelerated encumbrances primarily due to an unplanned collectively bargained welfare fund lump sum payment.
- \$136 million in transit subsidies for delayed encumbrances.
- \$(117) million in judgments and claims reflecting accelerated encumbrances primarily due to prior year charges.
- \$2 million in other.

Debt Service: The \$28 million year-to-date variance is primarily due to:

- \$35 million in delayed encumbrances primarily for general interest on bonds and blended component units.
- \$(7) million in accelerated encumbrances primarily for costs associated with financing and payments to counterparties.

Report No. 5

Capital Commitments

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

DESCRIPTION	MONTH: SEPTEMBER		FISCAL YEAR: 2010		
	CURRENT MONTH		YEAR-TO-DATE		FISCAL YEAR
	ACTUAL	PLAN	ACTUAL	PLAN	PLAN
TRANSIT	\$35.0 (C)	\$0.0 (C)	\$35.0 (C)	\$0.0 (C)	\$144.0 (C)
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	32.2 (N)
HIGHWAY AND STREETS	19.8 (C)	59.2 (C)	9.7 (C)	52.5 (C)	562.7 (C)
	(0.0) (N)	4.7 (N)	0.4 (N)	23.9 (N)	188.2 (N)
HIGHWAY BRIDGES	116.0 (C)	(0.0) (C)	111.3 (C)	24.6 (C)	411.9 (C)
	264.9 (N)	0.0 (N)	264.9 (N)	0.0 (N)	340.2 (N)
WATERWAY BRIDGES	4.0 (C)	1.3 (C)	9.4 (C)	14.2 (C)	312.4 (C)
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	344.8 (N)
WATER SUPPLY	3.7 (C)	0.0 (C)	40.1 (C)	0.0 (C)	162.3 (C)
	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)	0.0 (N)
WATER MAINS, SOURCES & TREATMENT	67.0 (C)	3.9 (C)	106.9 (C)	5.9 (C)	781.1 (C)
	0.0 (N)	0.0 (N)	0.0 (N)	(5.9) (N)	(4.3) (N)
SEWERS	1.4 (C)	4.5 (C)	5.3 (C)	6.7 (C)	303.7 (C)
	(0.0) (N)	0.0 (N)	(0.0) (N)	0.0 (N)	0.0 (N)
WATER POLLUTION CONTROL	92.8 (C)	136.4 (C)	447.6 (C)	136.4 (C)	1,365.4 (C)
	0.0 (N)	0.0 (N)	8.0 (N)	0.0 (N)	225.5 (N)
ECONOMIC DEVELOPMENT	51.0 (C)	4.0 (C)	100.2 (C)	9.7 (C)	1,213.6 (C)
	10.5 (N)	0.0 (N)	28.5 (N)	0.0 (N)	252.0 (N)
EDUCATION	0.0 (C)	70.0 (C)	264.3 (C)	344.3 (C)	1,326.7 (C)
	0.0 (N)	70.0 (N)	463.3 (N)	533.3 (N)	1,180.2 (N)

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

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

DESCRIPTION	MONTH: SEPTEMBER		FISCAL YEAR: 2010		FISCAL YEAR PLAN
	CURRENT MONTH ACTUAL	PLAN	YEAR-TO-DATE ACTUAL	PLAN	
CORRECTION	1.6 (C) 0.0 (N)	0.9 (C) 0.0 (N)	3.9 (C) 0.0 (N)	225.4 (C) 3.8 (N)	295.9 (C) 3.8 (N)
SANITATION	34.9 (C) 0.0 (N)	16.7 (C) 0.0 (N)	199.3 (C) 0.0 (N)	345.7 (C) 0.0 (N)	953.6 (C) 4.7 (N)
POLICE	0.7 (C) 0.0 (N)	35.5 (C) 0.0 (N)	35.8 (C) 0.0 (N)	61.2 (C) 0.0 (N)	1,080.7 (C) 0.0 (N)
FIRE	5.2 (C) 0.3 (N)	0.0 (C) 0.0 (N)	20.2 (C) 2.5 (N)	0.0 (C) 2.3 (N)	209.9 (C) 23.7 (N)
HOUSING	(4.5) (C) (8.9) (N)	4.4 (C) 7.4 (N)	1.1 (C) (8.9) (N)	2.6 (C) (0.2) (N)	710.7 (C) 194.0 (N)
HOSPITALS	2.2 (C) 0.0 (N)	0.6 (C) 0.0 (N)	7.0 (C) 0.0 (N)	2.1 (C) 0.0 (N)	251.9 (C) 0.0 (N)
PUBLIC BUILDINGS	10.3 (C) 0.0 (N)	0.3 (C) 0.0 (N)	21.4 (C) 0.0 (N)	12.8 (C) 0.0 (N)	428.3 (C) (0.1) (N)
PARKS	90.3 (C) 1.2 (N)	2.9 (C) 0.0 (N)	111.0 (C) 2.1 (N)	16.5 (C) 0.0 (N)	1,131.7 (C) 189.4 (N)
ALL OTHER DEPARTMENTS	208.3 (C) 120.4 (N)	11.7 (C) 1.8 (N)	261.1 (C) 135.1 (N)	10.4 (C) 5.7 (N)	4,038.9 (C) 382.1 (N)
TOTAL	\$739.8 (C) \$388.4 (N)	\$352.3 (C) \$84.0 (N)	\$1,790.8 (C) \$895.8 (N)	\$1,271.0 (C) \$562.8 (N)	\$15,685.2 (C) \$3,356.2 (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: September

Fiscal Year: 2010

City Funds:

Total Authorized Commitment Plan	\$15,685
Less: Reserve for Unattained Commitments Commitment Plan	<u>(4,542)</u>
	<u>\$11,143</u>

Non-City Funds:

Total Authorized Commitment Plan	\$3,356
Less: Reserve for Unattained Commitments Commitment Plan	<u>0</u>
	<u>\$3,356</u>

Month and year-to-date variances for City funds are reported against the authorized FY 2010 September Capital Commitment Plan of \$15,685 million rather than the Financial Plan level of \$11,143 million. The additional \$4,542 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 September are primarily due to timing differences.

- | | | |
|-------------------------|---|--|
| Correction | - | Adolescent Reception Detention Center, Riker's Island, totaling \$6.0 million, slipped from July and August 2009 to November 2009. Correction facilities, construction, reconstruction and improvements, City-wide, totaling \$83.7 million, slipped from July and August 2009 to November 2009. Purchase of equipment for other use by the Department of Correction, totaling \$3.3 million, slipped from July 2009 to November 2009. Acquisition and construction of the supplementary housing program and support facilities, totaling \$68.0 million, slipped from July 2009 to November 2009. Purchase of computer equipment, totaling \$17.2 million, slipped from July thru September 2009 to November 2009. Riker's Island Infrastructure, totaling \$43.0 million, slipped from July and August 2009 to November 2009. Various slippages and advances account for the remaining variance. |
| Education | - | Construction contracts for the Department of Education, totaling \$10.0 million, slipped from July 2009 to November 2009. Five-Year Educational Capital Plan, totaling \$70.0 million, slipped from September 2009 to November 2009. Various slippages and advances account for the remaining variance. |
| Economic
Development | - | Acquisition and site development for commercial redevelopment, City-wide, totaling \$73.3 million, advanced from June 2010 to July thru September 2009. Economic development for industrial, waterfront and commercial purposes, totaling \$14.9 million, advanced from June 2010 to September 2009. Various slippages and advances account for the remaining variance. |
| Fire | - | Fire alarm communication systems, totaling \$2.3 million, advanced from June 2010 to July 2009. Acquisition of vehicles for the Fire Department, totaling \$7.3 million, advanced from June 2010 to July thru |

September 2009. Fire Department facility improvements, City-wide, totaling \$6.6 million, advanced from June 2010 to July thru September 2009. Management information and Control System, totaling \$2.8 million, advanced from June 2010 to July thru September 2009. Various slippages and advances account for the remaining variance.

Highway Bridges - Reconstruction of highway bridges and structures, City-wide, totaling \$7.6 million, slipped from July and August 2009 to November 2009. Reconstruction of the Belt Parkway, totaling \$94.7 million, Brooklyn, advanced from April thru June 2010 to September 2009. Reconstruction of Wards Island Pedestrian Bridge, Manhattan, totaling \$2.4 million, advanced from June 2010 to August 2009. Various slippages and advances account for the remaining variance.

Highways - Construction and reconstruction of highways, totaling \$19.6 million, slipped from July thru September 2009 to November 2009. Repaving and resurfacing of streets, City-wide, totaling \$2.4 million, slipped from August and September 2009 to November 2009. Sidewalk reconstruction, totaling \$7.1 million, slipped from September 2009 to November 2009. Reconstruction of Paulding Avenue, totaling \$2.6 million, slipped from September 2009 to November 2009. Reconstruction of Columbia Street, totaling \$2.1 million, slipped from September 2009 to November 2009. Reconstruction of City-owned retaining walls, City-wide, totaling \$4.2 million, slipped from September 2009 to November 2009. Various slippages and advances account for the remaining variance.

Parks - Reconstruction of Park Building, Marine Park, totaling \$4.5 million, advanced from June 2010 to September 2009. Construction and reconstruction of playgrounds and recreation facilities, totaling \$5.6 million, advanced from June 2010 to August and September 2009. Construction and reconstruction related to PLANYC, totaling \$7.3 million, advanced from May and June 2010 to September 2009. Construction and reconstruction of Ferry Point Park, totaling \$53.9 million, advanced from June 2010 to September 2009. Street and park tree planting, City-wide, totaling \$2.3 million, advanced from June 2010 to August and September 2009. Purchase of equipment for the use by the Department of Parks and Recreation, totaling \$2.1 million, advanced from March 2010 to July thru September 2009. Improvements to Downing Stadium, totaling \$14.1 million, advanced from June 2010 to August and September 2009. Various slippages and advances account for the remaining variance.

- Police - Purchase of Ultra high frequency radio telephone equipment, totaling \$11.4 million, slipped from September 2009 to November 2009. Improvements to Police Department property, City-wide, totaling \$11.6 million, advanced from October and December 2009 to August and September 2009. Marine launches for Harbor Unit, totaling \$2.8 million, slipped from September 2009 to November 2009. Construction of a new police training facility, totaling \$7.4 million, slipped from July and September 2009 to November 2009. New public answering center, totaling \$7.1 million, slipped from September 2009 to November 2009. New Staten Island Precinct, totaling \$4.4 million, slipped from August and September 2009 to November 2009. Various slippages and advances account for the remaining variance.
- Public Buildings - Reconstruction of Police Plaza, totaling \$2.5 million, advanced from June 2010 to August 2009. Deregistration of contracts for installation of fuel facility vapor control systems, totaling \$2.4 million, occurred in August and September 2009. Reconstruction and improvements at 253 Broadway, Manhattan, totaling \$7.8 million, advanced from May and June 2010 to September 2009. Various slippages and advances account for the remaining variance
- Sanitation - Purchase of collection trucks and equipment, totaling \$8.7 million, advanced from January 2010 to September 2009. Improvements to garages and other facilities, totaling \$7.8 million, slipped from July thru September 2009 to November 2009. Construction of salt storage sheds, City-wide, totaling \$6.3 million, slipped from July thru September 2009 to November 2009. Construction of Marine Transfer Station, totaling \$135.0 million, slipped from July 2009 to November 2009. Purchase of electronic data processing equipment for the Department of Sanitation, totaling \$2.4 million, slipped from September 2009 to November 2009. Various slippages and advances account for the remaining variance.
- Transit - Miscellaneous reconstruction of lines under operation, totaling \$35.0 million, advanced from June 2010 to September 2009. Various slippages and advances account for the remaining variance.
- Water Supply - Additional water supply emergency and permanent, totaling \$30.5 million, advanced from June 2010 to July 2009. City tunnel number 3, stage 1, totaling \$3.5 million, advanced from June 2010 to September 2009. Contract for City tunnel number 3, stage 2, totaling \$6.1 million, advanced from June 2010 to July and August 2009. Various slippages and advances account for the remaining variance.

Water Mains

- Construction of the Croton Filtration Plant, totaling \$29.6 million, advanced from April thru June 2010 to July thru September 2009. Improvements to structures on watersheds outside the City, totaling \$72.9 million, advanced from June 2010 to July thru September 2009. Various slippages and advances account for the remaining variance.

Water Pollution Control

- Ward's Island Water Pollution Control Plant, totaling \$19.6 million, advanced from June 2010 to July and September 2009. Reconstruction of North River water pollution control plant, totaling \$4.9 million, advanced from June 2010 to July thru September 2009. Reconstruction of Water Pollution Control Plant Projects, totaling \$23.0 million, advanced from December 2009 and June 2010 to August and September 2009. Construction of combined sewer overflow abatement, totaling \$2.2 million, advanced from June 2010 to September 2009. Twenty Sixth Ward Water Pollution Control Plant, totaling \$3.5 million, advanced from June 2010 to July thru September 2009. Upgrade of Bowery Bay Ward Water Pollution Control, totaling \$2.0 million, advanced from June 2010 to July and August 2009. Construction and reconstruction of pumping stations, City-wide, totaling \$62.2 million, advanced from June 2010 to July thru September 2009. Engineering, architecture and administrative cost associated with construction at the Department of Environmental Protection, totaling \$7.6 million, advanced from June 2010 to July and August 2009. Upgrade of Tallmans Island Ward Water Pollution Control Plant, totaling \$156.0 million, advanced from June 2010 to July thru September 2009. Upgrade of the Newtown Creek Water Pollution Control Plant, totaling \$21.6 million, advanced from June 2010 to July thru September 2009. Various slippages and advances account for the remaining variance.
- Manhattan Criminal Court, totaling \$5.9 million, advanced from June 2010 to July 2009. Deregistration of contracts for the Brooklyn Supreme Court, totaling \$10.6 million, occurred in August 2009.
- Purchase of EDP equipment, totaling \$18.3 million, advanced from June 2010 to July thru September 2009. Emergency communication system and facilities, totaling \$52.8 million, advanced from June 2010 to July thru September 2009.
- Purchase of equipment for the use of The Department of Environmental Protection, \$2.2 million, advanced from June 2010 to July thru September 2009. Remedial action at closed landfills, totaling \$150.7 million,

advanced from June 2010 to August thru September 2009. Deregistration of contracts for installation of water measures device, totaling \$14.0 million, occurred in August 2009.

- Improvements to health facilities, City-wide, totaling \$5.8 million, advanced from January and June 2010 to July thru September 2009.
- Purchase of electronic data processing equipment, totaling \$27.6 million, advanced from June 2010 to July thru September 2009. Purchase of electronic data processing equipment for FISA, totaling \$6.5 million, advanced from June 2010 to July thru September 2009. Judgments and settlements in connection with capital projects, totaling \$4.4 million, slipped from August 2009 to November 2009.
- Computer equipment for the Department of Transportation, totaling \$9.4 million, slipped from August 2009 to December 2009.
- Street lighting draw down, City-wide, totaling \$4.4 million, advanced from June 2010 to September 2009.

3. Variances in year-to-date commitments of non-City funds through September occurred in the Department of Education, Department of Business Services, the Department of Environmental Protection, the Department of Housing Preservation and Development, the Department of Transportation and others.

- | | | |
|-------------------------|---|--|
| Education | - | Five-Year Educational Capital Plan, totaling \$70.0 million, slipped from September 2009 to November 2009. Various slippages and advances account for the remaining variance. |
| Economic
Development | - | Acquisition, site development, construction and reconstruction related to Economic development, totaling \$28.4 million, advanced from February and June 2010 to August and September 2009. Various slippages and advances account for the remaining variance. |
| Housing | - | Contracts for the Neighborhood Entrepreneur Program, City-wide, totaling \$7.6 million, slipped from August and September 2009 to November 2009. Various slippages and advances account for the remaining variance. |

- Highway Bridges - Reconstruction of the Belt Parkway, Brooklyn, totaling \$264.9 million, advanced from June 2010 to September 2009. Various slippages and advances account for the remaining variance.
- Highways - Construction and reconstruction of highways, City-wide, totaling \$8.5 million, slipped from August and September 2009 to November 2009. Private portion for highway projects, City-wide, totaling \$8.6 million, slipped from August and September 2009 to November 2009. Hazard elimination program, City-wide, totaling \$5.6 million, slipped from July 2009 to November 2009. Various slippages and advances account for the remaining variance.
- Water Mains - Planned deregistration of contracts for Water Supply Improvements, City-wide, totaling \$5.9 million, slipped from July 2009 to November 2009. Various slippages and advances account for the remaining variance.
- Water Pollution Control - Upgrade of Tallmans Water Pollution Control Plant, totaling \$8.0 million, advanced from June 2010 to August 2009. Various slippages and advances account for the remaining variance.
- Others - Remedial action at closed landfills, totaling \$100.0 million, advanced from June 2010 to September 2009.
- Renovation of Lincoln Center, totaling \$18.6 million, advanced from June 2010 to September 2009.
- Installation of traffic signals, City-wide, totaling \$10.3 million, advanced from June 2010 to July and August 2009.

Report No. 5A

Capital Cash Flow

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

DESCRIPTION	MONTH: SEPTEMBER		FISCAL YEAR: 2010	
	CURRENT MONTH ACTUAL		YEAR-TO-DATE ACTUAL	FISCAL YEAR PLAN
TRANSIT	\$0.0 (C) 0.0 (N)		\$0.0 (C) 0.0 (N)	\$38.5 (C) 7.6 (N)
HIGHWAY AND STREETS	22.6 (C) 2.4 (N)		83.5 (C) 8.9 (N)	296.8 (C) 65.8 (N)
HIGHWAY BRIDGES	15.9 (C) 7.1 (N)		38.0 (C) 7.2 (N)	281.0 (C) 129.4 (N)
WATERWAY BRIDGES	7.5 (C) 8.9 (N)		33.9 (C) 29.2 (N)	209.2 (C) 162.3 (N)
WATER SUPPLY	1.6 (C) 0.0 (N)		13.2 (C) 0.0 (N)	164.8 (C) 0.0 (N)
WATER MAINS, SOURCES & TREATMENT	138.7 (C) 0.0 (N)		349.6 (C) 0.0 (N)	957.6 (C) (0.9) (N)
SEWERS	19.9 (C) 0.0 (N)		42.0 (C) 0.1 (N)	130.0 (C) 0.2 (N)
WATER POLLUTION CONTROL	115.7 (C) 1.0 (N)		298.3 (C) 2.3 (N)	884.1 (C) 63.6 (N)
ECONOMIC DEVELOPMENT	40.6 (C) 3.3 (N)		93.1 (C) 9.2 (N)	274.5 (C) 80.3 (N)
EDUCATION	400.0 (C) 0.0 (N)		626.7 (C) 173.5 (N)	2,333.2 (C) 236.3 (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: SEPTEMBER	FISCAL YEAR: 2010	FISCAL YEAR
	CURRENT MONTH ACTUAL	YEAR-TO-DATE ACTUAL	PLAN
CORRECTION	4.3 (C)	15.9 (C)	78.6 (C)
	0.0 (N)	0.0 (N)	0.9 (N)
SANITATION	15.3 (C)	40.9 (C)	260.2 (C)
	0.0 (N)	0.0 (N)	1.9 (N)
POLICE	12.0 (C)	21.0 (C)	235.7 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
FIRE	6.5 (C)	20.1 (C)	97.4 (C)
	5.3 (N)	3.2 (N)	7.2 (N)
HOUSING	6.5 (C)	54.9 (C)	229.8 (C)
	0.6 (N)	11.3 (N)	79.4 (N)
HOSPITALS	24.3 (C)	52.3 (C)	87.6 (C)
	0.0 (N)	0.0 (N)	0.0 (N)
PUBLIC BUILDINGS	11.7 (C)	35.4 (C)	159.6 (C)
	0.0 (N)	0.1 (N)	0.2 (N)
PARKS	31.4 (C)	117.9 (C)	495.9 (C)
	1.5 (N)	8.2 (N)	59.2 (N)
ALL OTHER DEPARTMENTS	129.3 (C)	358.6 (C)	1,498.0 (C)
	2.1 (N)	16.2 (N)	123.9 (N)
TOTAL	\$1,003.9 (C)	\$2,295.1 (C)	\$8,712.6 (C)
	\$32.3 (N)	\$269.5 (N)	\$1,017.3 (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: SEPTEMBER
FISCAL YEAR 2010

	ACTUAL			FORECAST												ADJUST- MENTS	TOTAL
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	12 Months				
CASH INFLOWS																	
CURRENT																	
GENERAL PROPERTY TAX	\$2,882	\$37	\$648	\$402	\$47	\$3,148	\$3,023	\$43	\$805	\$380	\$20	\$2,833	\$14,268	\$1,804	\$16,072		
OTHER TAXES	495	855	2,486	1,109	1,038	2,212	1,904	989	1,827	1,817	985	3,078	18,795	333	19,128		
FEDERAL GRANTS	272	102	64	254	331	451	562	615	645	567	566	659	5,088	1,512	6,600		
STATE GRANTS	208	309	639	177	535	1,064	161	210	3,152	565	1,495	1,123	9,638	1,874	11,512		
OTHER CATEGORICAL	152	208	25	74	51	31	102	54	37	45	81	43	903	150	1,053		
UNRESTRICTED (NET OF DISALL.)	-	-	-	-	-	-	-	-	-	-	(5)	(10)	(15)	340	325		
MISCELLANEOUS REVENUES	585	290	238	305	277	235	294	251	459	313	554	503	4,304	-	4,304		
CAPITAL INTER-FUND TRANSFERS	-	11	28	24	36	28	98	33	27	25	24	28	362	124	486		
SUBTOTAL	4,594	1,812	4,128	2,345	2,315	7,169	6,144	2,195	6,952	3,712	3,720	8,257	53,343	6,137	59,480		
PRIOR																	
OTHER TAXES	621	194	17	-	-	-	-	-	-	-	-	-	832	-	832		
FEDERAL GRANTS	255	244	368	170	91	94	75	46	51	26	8	37	1,465	1,058	2,523		
STATE GRANTS	326	234	709	295	100	225	16	54	148	42	63	73	2,285	1,294	3,579		
OTHER CATEGORICAL	15	24	(28)	104	12	17	15	13	13	13	13	11	222	330	552		
UNRESTRICTED	-	-	63	-	-	264	-	-	-	-	-	-	327	13	340		
MISC. REVENUE/CAPITAL IFA	87	-	-	-	-	-	-	-	-	-	-	-	87	(87)	-		
SUBTOTAL	1,304	696	1,129	569	203	600	106	113	212	81	84	121	5,218	2,608	7,826		
CAPITAL																	
CAPITAL TRANSFERS	363	962	427	983	1,164	644	975	733	725	828	804	900	9,508	(795)	8,713		
FEDERAL AND STATE	205	20	9	64	142	79	102	79	71	56	63	142	1,032	(15)	1,017		
OTHER																	
SENIOR COLLEGES	747	1	-	3	1	1	154	243	511	1	191	821	2,674	(747)	1,927		
HOLDING ACCT. & OTHER ADJ.	21	6	(7)	(20)	-	-	-	-	-	-	-	-	-	-	-		
OTHER SOURCES	-	238	-	-	-	-	-	-	-	-	-	114	352	-	352		
TOTAL INFLOWS	\$7,234	\$3,735	\$5,686	\$3,944	\$3,825	\$8,493	\$7,481	\$3,363	\$8,471	\$4,678	\$4,862	\$10,355	\$72,127	\$7,188	79,315		
CASH OUTFLOWS																	
CURRENT																	
PS	\$1,451	\$1,908	\$2,598	\$3,240	\$2,739	\$2,787	\$2,837	\$2,715	\$2,728	\$3,285	\$2,722	\$4,147	\$33,157	\$2,792	\$35,949		
OTPS	1,146	1,865	1,935	1,645	1,528	1,877	1,810	1,790	1,899	1,842	1,673	2,421	21,431	1,623	23,054		
DEBT SERVICE	13	1	-	7	2	4	47	24	51	282	27	19	477	-	477		
SUBTOTAL	2,610	3,774	4,533	4,892	4,269	4,668	4,694	4,529	4,678	5,409	4,422	6,587	55,065	4,415	59,480		
PRIOR																	
PS	1,369	834	38	49	30	30	25	25	25	25	25	25	2,500	-	2,500		
OTPS	853	393	29	331	100	100	75	75	400	100	25	19	2,500	-	2,500		
OTHER TAXES	65	115	-	-	-	-	-	-	-	-	-	-	180	-	180		
DISALLOWANCE RESERVE	-	-	-	-	-	-	-	-	-	-	-	-	-	1,115	1,115		
SUBTOTAL	2,287	1,342	67	380	130	130	100	100	425	125	50	44	5,180	1,115	6,295		
CAPITAL																	
CITY DISBURSEMENTS	722	569	1,004	404	932	461	934	514	876	581	1,070	646	8,713	-	8,713		
FEDERAL AND STATE	198	39	32	30	190	79	102	79	71	55	63	79	1,017	-	1,017		
OTHER																	
SENIOR COLLEGES	145	120	104	298	148	148	148	148	148	222	148	150	1,927	-	1,927		
OTHER USES	276	-	76	-	-	-	-	-	-	-	-	-	352	-	352		
TOTAL OUTFLOWS	\$6,238	\$5,844	\$5,816	\$6,004	\$5,669	\$5,486	\$5,978	\$5,370	\$6,198	\$6,392	\$5,753	\$7,506	\$72,254	\$5,530	\$77,784		
NET CASH FLOW	\$996	(\$2,109)	(\$130)	(\$2,060)	(\$1,844)	\$3,007	\$1,503	(\$2,007)	\$2,273	(\$1,714)	(\$891)	\$2,849	(\$127)	\$1,658	\$1,531		
BEGINNING BALANCE	\$5,839	\$6,835	\$4,726	\$4,596	\$2,536	\$692	\$3,699	\$5,202	\$3,195	\$5,468	\$3,754	\$2,863	\$5,839				
ENDING BALANCE	\$6,835	\$4,726	\$4,596	\$2,536	\$692	\$3,699	\$5,202	\$3,195	\$5,468	\$3,754	\$2,863	\$5,712	\$5,712				

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

**MONTH: SEPTEMBER
FISCAL YEAR 2010**

	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)	(145)	(120)	(104)	(298)	(148)	(148)	(148)	(148)	(148)	(222)	(148)	(150)	(1,927)	-	(1,927)
SENIOR COLLEGES INFLOW - CURRENT	-	-	-	-	-	-	-	55	511	1	191	821	1,579	348	1,927
SENIOR COLLEGES INFLOW - PRIOR	747	1	-	3	1	1	154	188	-	-	-	-	1,095	(1,095)	-
NET SENIOR COLLEGES	602	(119)	(104)	(295)	(147)	(147)	6	95	363	(221)	43	671	747	(747)	-
CAPITAL															
<u>CURRENT CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	900	200	100	1,316	166	1,225	400	800	1,200	-	800	822	7,929	-	7,929
(INC)/DEC RESTRICTED CASH	(780)	642	207	(493)	871	(671)	495	(137)	(475)	828	4	78	569	(795)	(226)
SUBTOTAL	120	842	307	823	1,037	554	895	663	725	828	804	900	8,498	(795)	7,703
<u>PRIOR CITY CAPITAL TRANSFERS:</u>															
LONG TERM BORROWINGS	-	-	-	389	334	-	-	-	-	-	-	-	723	-	723
(INC)/DEC RESTRICTED CASH	243	120	120	(229)	(207)	90	80	70	-	-	-	-	287	-	287
SUBTOTAL	243	120	120	160	127	90	80	70	-	-	-	-	1,010	-	1,010
TOTAL CITY CAPITAL TRANSFERS	363	962	427	983	1,164	644	975	733	725	828	804	900	9,508	(795)	8,713
<u>FEDERAL AND STATE - INFLOWS:</u>															
CURRENT	17	20	9	64	142	79	102	79	71	56	63	142	844	173	1,017
PRIOR	188	-	-	-	-	-	-	-	-	-	-	-	188	(188)	-
TOTAL FEDERAL AND STATE INFLOWS	205	20	9	64	142	79	102	79	71	56	63	142	1,032	(15)	1,017
<u>CAPITAL OUTFLOWS:</u>															
CITY DISBURSEMENTS	(722)	(569)	(1,004)	(404)	(932)	(461)	(934)	(514)	(876)	(581)	(1,070)	(646)	(8,713)	-	(8,713)
FEDERAL AND STATE	(198)	(39)	(32)	(30)	(190)	(79)	(102)	(79)	(71)	(55)	(63)	(79)	(1,017)	-	(1,017)
TOTAL OUTFLOWS	(920)	(608)	(1,036)	(434)	(1,122)	(540)	(1,036)	(593)	(947)	(636)	(1,133)	(725)	(9,730)	-	(9,730)
<u>NET CAPITAL:</u>															
NET CITY CAPITAL	(359)	393	(577)	579	232	183	41	219	(151)	247	(266)	254	795	(795)	-
NET NON-CITY CAPITAL	7	(19)	(23)	34	(48)	-	-	-	-	1	-	63	15	(15)	-
NET TOTAL CAPITAL	(352)	374	(600)	613	184	183	41	219	(151)	248	(266)	317	810	(810)	-

NOTES TO REPORT #6/6A

1. Beginning Balance

The July 2009 beginning balance is preliminary and subject to the FY 2009 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 and the FY 2009 audited Comprehensive Annual Financial Report (CAFR). The June 2010 ending balance includes deferred revenue from FY 2011 prepaid Real Estate Taxes.

3. Long Term Borrowings

Long Term Borrowings are comprised of proceeds of City general obligation bonds and 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.