

The City of New York
Executive Budget
Fiscal Year 2002
Rudolph W. Giuliani, Mayor

Office of Management and Budget
Adam L. Barsky, Director
April 25, 2001

Appendix

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**EXHIBIT 1
EXPENDITURE ASSUMPTIONS**

Personal Service

The expenditures for personal services in the Executive Budget for 2002 and the three-year projections are as follows:

(\$ in millions)

	2002	2003	2004	2005
Salaries and Wages	\$15,319	\$15,264	\$15,285	\$15,272
Pensions	1,454	1,564	1,669	1,864
Other Fringe Benefits	3,813	3,886	4,035	4,289
Reserve for Collective Bargaining				
Board of Education	467	604	628	628
Other	812	1,057	1,076	1,076
Reserve Subtotal	<u>1,279</u>	<u>1,661</u>	<u>1,704</u>	<u>1,704</u>
Total	<u>\$21,865</u>	<u>\$22,375</u>	<u>\$22,693</u>	<u>\$23,129</u>

Salaries and Wages

The baseline projections for salaries and wages reflect all personnel costs associated with current and projected headcount levels. Excluded from these projections is the cost of collective bargaining associated with the 2000-2002 round of bargaining which are contained in the Reserve for Collective Bargaining.

Pensions and Other Fringe Benefits

The City's pension expenses on behalf of the five major retirement systems for 2002 through 2005 are based on draft valuation projections prepared by the Chief Actuary. These projections reflect the Actuary's funding assumptions as approved by the trustees, and an eight percent investment return assumption which is governed by state law. Beyond these baseline projections, the financial plan also captures the costs of planned headcount changes, as well as the estimated costs of benefit improvements that were enacted into law last year, including automatic cost of living adjustments for retirees. In addition, as a result of the sharp drop in market returns this year, the financial plan also contains a reserve, commencing in 2002, to cover the costs of the pension funds earning a zero percent return by June 30, 2001.

Total pension expenses for the four years are as follows:

(\$ in millions)

	2002	2003	2004	2005
City Actuarial Systems	\$1,407	\$1,517	\$1,622	\$1,816
Non-City Actuarial	28	28	28	29
Non-Actuarial	19	19	19	19
Total	<u>\$1,454</u>	<u>\$1,564</u>	<u>\$1,669</u>	<u>\$1,864</u>

Social Security costs for the City are estimated to increase annually by approximately two percent in 2003, 2004 and 2005. These projections are based on the tax rates and wage ceilings issued by the Social Security Administration as well as planned payroll growth. Unemployment Insurance costs are projected to increase with citywide wage adjustments, consistent with the statutory maximum weekly benefit levels. Workers' Compensation costs are based on the wage-replacement schedule mandated by state law. Costs are estimated to reflect growth in the payroll and projected increases in medical care costs. Health Insurance costs are based on current levels of individual and family contracts.

Reserve for Collective Bargaining

The Reserve for Collective Bargaining contains funding for the cost of wage increases for all employees equal to those agreed to in the recently negotiated tentative District Council 37 and United Probation Officers Association collective bargaining agreements plus smaller amounts for unions who remain unsettled for the 1995 through 2000 round. These funds are excluded in the baseline salaries and wages. Funds for Board of Education collective bargaining have been transferred to the Board and are held in a discrete collective bargaining Unit of Appropriation, which includes incremental State aid of \$182.5 million, \$237.6 million, \$247 million, and \$247 million in Fiscal Years 2002-2005 respectively.

Other Than Personal Service

The following items are included in this category:

(\$ in millions)

	2002	2003	2004	2005
Administrative OTPS	\$10,016	\$9,909	\$9,985	\$10,103
Public Assistance	2,161	1,960	1,962	1,962
Medical Assistance	3,574	3,696	3,880	3,972
Health & Hospitals Corporation	264	265	262	263
Covered Agency Support & Other Subsidies	1,526	1,709	1,748	1,796
City and MAC Debt Service	1,269	3,454	3,890	4,073
General Reserve	200	200	200	200
Total	\$19,010	\$21,193	\$21,927	\$22,369

Administrative OTPS

Administrative OTPS costs in each agency's baseline four-year financial plan include the ongoing cost of existing programs, planned increases or decreases from PEG initiatives and other adjustments. For 2003 through 2005 the financial plan includes a Citywide appropriation to provide for an increase in OTPS costs resulting from inflation. The inflation adjustment represents a 2.6 percent increase in 2003, a 2.8 percent increase in 2004, and a 2.8 percent increase in 2005.

Energy

The cost of energy is budgeted at a constant level in each agency's budget for 2002 through 2005, with the exception of HPD. For 2003 through 2005 the financial plan includes a Citywide appropriation to provide for the changing cost of energy. Price and usage changes for HPD's In-Rem Program are budgeted in HPD's four-year plan. The In-Rem Program is expected to incur no energy cost in 2005. As reflected in the following table, energy costs have risen significantly in the last year, mainly due to mid-year oil and natural gas price increases.

Energy Cost Comparison
(\$ in millions)

Estimate as of:	2001	2002	2003	2004
2001 Adopted Budget	\$525	\$519	\$514	\$511
2002 Executive Budget	581	590	586	578
Difference	<u>\$(56)</u>	<u>\$(71)</u>	<u>\$(72)</u>	<u>\$(67)</u>

Excluding HPD, the cost of gasoline, fuel oil and heat, light and power is assumed to increase by \$16 million for 2002 and then remain relatively flat through 2005.

The annual cost projections are as follows:

Energy Costs
(\$ in millions)

	2001	2002	2003	2004	2005
Gasoline	\$34	\$34	\$32	\$30	\$29
Fuel Oil	48	47	45	43	41
HPD-In Rem	21	14	13	4	-
HPD-Emergency Repair	4	4	4	4	-
Heat, Light and Power	474	491	492	497	502
Total	<u>\$581</u>	<u>\$590</u>	<u>\$586</u>	<u>\$578</u>	<u>\$572</u>

Leases

In each agency the cost of leases is budgeted at a constant level from 2002 through 2005. A citywide adjustment for 2003 through 2005 provides for the increasing cost of leases based on a three percent annual inflator and the annualization of 2002 adjustments, as well as known future leases, where applicable.

In total the four-year plan includes \$474 million for leases in 2002, \$491 million in 2003, \$509 million in 2004 and \$524 million in 2005. Of these amounts the citywide adjustment is \$17 million, \$35 million, and \$50 million respectively in 2003 through 2005.

Public Assistance

The average annual public assistance caseload is projected to be 536,525 persons in 2001, declining by 42,005 to an average of 494,520 in 2002. Family Assistance recipients are expected to decline by 38,640 persons to 408,898 in 2002 and Safety Net recipients will decline by 3,365 to 85,623.

Medical Assistance

The financial plan for Medical Assistance assumes a 5.2 percent increase in expenditures in 2002 (excluding expenditures for the Health and Hospitals Corporation, the Department of Health, and administration). Expenditure growth is expected to be 3.7 percent in 2003, 6 percent in 2004, and 2.5 percent in 2005. The primary factors contributing to out-year growth are the hospital and pharmacy categories of service.

Health and Hospitals Corporation

Revenue and expenditure projections for 2002 through 2005 include assumptions related to actual collections experience, the impact of rates by third party payors, and collections performance through a variety of revenue enhancement efforts. Total collections for fiscal years 2002 through 2005, excluding Medicaid rate appeals, reflect a reduction of 0.8 percent for non-Medicaid payors. Medicaid receipts (which includes fee-for-service as well as managed care) is estimated to increase by 9.9 percent over the four years of the plan. A growth in expenditures of 4.8 percent is projected for fiscal years 2002 through 2005.

Covered Agency Support and Other Subsidies

Included in this category are the contributions made by the City to the Transit Authority, Housing Authority, Libraries, and various Cultural Institutions. Also included in this category are the estimated projections for the cost of Judgements and Claims.

General Reserve

The general reserve is projected at \$200 million for 2002 through 2005 to provide for uncontrollable increases in expenditures as well as shortfalls in revenues. To allow for any further uncertainties which may occur in the future, the general reserve has been increased above the mandated amount of \$100 million.

Debt Service

Debt Service projections cover payments of debt service on currently outstanding City and MAC debt and future issuances in accordance with the 2002-2005 financing program (See Financing Program). Actual debt service payments in these years will be affected by the timing of City public sales and by market conditions. Estimates of City debt service costs in debt to be issued are based on estimates of the periods of probable usefulness of the capital expenditures for which the debt will be issued.

City debt service estimates also include payments to MAC for amortization and interest on City obligations held by MAC. During 2001-2005, the City estimates that the payments to MAC will be \$488 million, \$0 million, \$490 million, \$489 million, and \$490 million, respectively. MAC debt service funding is shown net of such payments. To the extent that City debt service payments to MAC are from revenues derived from the real property tax, payments to MAC have the effect of reducing MAC's funding requirement from certain State revenues otherwise available to the City for budgetary purposes.

Below are the detailed estimates for debt service for 2001-2005:

(\$ in millions)

	2001	2002	2003	2004	2005
Long-Term Funded Debt	\$307	\$708	\$2,612	\$3,031	\$3,157
Short-Term Debt	14	36	75	75	75
Lease Purchase/City Guaranteed Debt . . .	116	180	277	295	351
Budget Stabilization Account	2,097	345	—	—	—
Total City Debt Service	<u>\$2,534</u>	<u>\$1,269</u>	<u>\$2,964</u>	<u>\$3,401</u>	<u>\$3,583</u>
MAC Debt Service Funding	488	—	490	489	490
Total Debt Service	<u><u>\$3,022</u></u>	<u><u>\$1,269</u></u>	<u><u>\$3,454</u></u>	<u><u>\$3,890</u></u>	<u><u>\$4,073</u></u>

EXHIBIT 2

FISCAL YEAR 2002 EXECUTIVE BUDGET AND PROJECTIONS, FISCAL YEAR 2003 THROUGH FISCAL YEAR 2005

(\$ in thousands)

Dept. No.	Agency	Fiscal Year 2001							
		FY 2000 Actual Expenditures	Executive Budget	8 Month Actuals		FY 2002 Executive Budget	FY 2003 Estimate	FY 2004 Estimate	FY 2005 Estimate
				July-Feb.	Forecast				
002	MAYORALTY	\$91,272	\$75,957	\$66,306	\$97,045	\$74,567	\$75,529	\$75,529	\$75,529
003	BOARD OF ELECTIONS	44,229	33,608	33,308	43,348	41,351	41,469	41,469	41,469
004	CAMPAIGN FINANCE BOARD.....	4,989	9,940	5,585	6,470	76,941	18,510	18,510	18,510
008	OFFICE OF THE ACTUARY	2,858	3,269	2,118	3,335	3,591	3,592	3,593	3,594
010	PRESIDENT,BOROUGH OF MANHATTAN	5,244	5,254	3,424	5,317	5,145	4,826	4,826	4,826
011	PRESIDENT,BOROUGH OF THE BRONX	7,103	7,407	5,011	7,352	7,262	6,905	6,905	6,905
012	PRESIDENT,BOROUGH OF BROOKLYN	7,549	6,433	4,687	7,724	6,236	5,615	5,615	5,615
013	PRESIDENT,BOROUGH OF QUEENS	6,831	5,990	3,719	6,794	5,986	5,459	5,459	5,459
014	PRESIDENT,BOROUGH OF S.I.	4,822	4,985	2,962	4,961	4,983	4,806	4,806	4,806
015	OFFICE OF THE COMPTROLLER ...	56,215	51,820	39,777	56,092	53,285	55,574	55,574	55,574
021	TAX COMMISSION	1,971	2,108	1,253	2,067	2,028	2,028	2,029	2,029
025	LAW DEPARTMENT.....	91,685	92,507	63,358	93,399	93,290	93,175	93,167	93,167
030	DEPARTMENT OF CITY PLANNING.	17,569	16,721	11,751	20,676	17,053	16,653	16,653	16,653
032	DEPARTMENT OF INVESTIGATION.	20,994	21,816	14,775	22,657	22,641	22,641	22,641	22,641
035	N.Y.P.L.- THE RESEARCH LIBRARY .	14,660	14,450	11,004	15,815	12,958	12,958	12,958	12,958
037	NEW YORK PUBLIC LIBRARY	89,047	88,338	67,716	93,894	76,267	76,267	76,267	76,267
038	BROOKLYN PUBLIC LIBRARY	66,104	66,235	49,700	69,073	55,908	55,908	55,908	55,908
039	QUEENS BOROUGH PUBLIC LIBRARY	62,710	62,075	51,133	66,138	53,503	53,503	53,503	53,503
040	BOARD OF EDUCATION.....	10,756,317	10,714,315	6,706,556	11,347,943	11,512,564	11,726,748	11,853,205	11,957,494
042	CITY UNIVERSITY.....	397,206	427,721	239,633	439,328	432,098	432,217	432,217	432,217
054	CIVILIAN COMPLAINT REVIEW BD.	7,726	8,995	5,978	9,115	10,188	10,283	10,277	10,281
056	POLICE DEPARTMENT	3,187,877	3,167,784	2,227,069	3,414,301	3,247,912	3,137,195	3,135,792	3,130,031
057	FIRE DEPARTMENT.....	1,078,346	1,060,182	703,718	1,066,168	1,088,872	1,082,404	1,084,728	1,084,728
068	ADMIN. FOR CHILDREN SERVICES.	2,174,292	2,220,433	1,895,578	2,347,337	2,408,972	2,437,752	2,414,450	2,414,450
069	DEPARTMENT OF SOCIAL SERVICES	5,439,709	5,329,804	3,916,316	5,513,851	5,592,512	5,544,089	5,720,051	5,798,569
071	DEPT. OF HOMELESS SERVICES ...	433,483	447,251	374,176	491,382	490,980	509,019	509,750	509,772
072	DEPARTMENT OF CORRECTION ...	834,181	860,366	566,618	833,984	866,747	896,866	897,004	897,124
073	BOARD OF CORRECTION	876	976	538	895	976	976	976	976
094	DEPARTMENT OF EMPLOYMENT ..	133,957	138,588	93,170	139,389	97,880	97,880	97,880	97,880
095	CITYWIDE PENSION CONTRIBUTIONS	698,109	937,419	585,983	1,299,049	1,453,850	1,564,098	1,669,137	1,864,292
098	MISCELLANEOUS	3,392,857	3,532,150	1,980,775	3,939,202	4,175,066	4,645,411	4,815,661	5,074,693
099	DEBT SERVICE.....	3,338,935	1,962,218	106,000	2,534,198	1,269,291	2,964,074	3,401,410	3,583,393
100	M.A.C. DEBT SERVICE	450,500	—	—	487,900	—	490,300	489,200	490,400
101	PUBLIC ADVOCATE	2,630	2,525	1,804	2,678	2,454	2,454	2,454	2,454
102	CITY COUNCIL.....	39,262	44,982	28,547	44,978	46,204	35,102	35,102	35,102
103	CITY CLERK	2,445	2,417	1,615	2,563	2,517	2,520	2,520	2,520
125	DEPARTMENT FOR THE AGING	215,081	207,869	213,415	240,078	230,509	225,907	225,907	225,907
126	DEPARTMENT OF CULTURAL AFFAIRS	119,912	101,238	85,885	135,377	104,618	104,310	104,310	104,310
127	FINANCIAL INFO. SERV. AGENCY ..	26,193	26,816	22,043	28,534	30,124	30,287	30,287	30,287
130	DEPARTMENT OF JUVENILE JUSTICE	102,542	100,972	35,287	108,004	103,132	103,336	103,336	102,336
131	OFFICE OF PAYROLL ADMIN.....	5,637	7,528	4,342	6,727	8,149	8,382	8,382	8,382
132	INDEPENDENT BUDGET OFFICE ...	2,480	2,763	1,562	2,735	2,749	2,749	2,749	2,749
133	EQUAL EMPLOYMENT PRACTICES COM	427	581	315	532	581	581	581	581
134	CIVIL SERVICE COMMISSION	448	657	290	467	657	657	657	657
136	LANDMARKS PRESERVATION COMM.	3,113	3,074	2,208	3,515	3,151	3,154	3,153	3,154

EXHIBIT 2

FISCAL YEAR 2002 EXECUTIVE BUDGET AND PROJECTIONS, FISCAL YEAR 2003 THROUGH FISCAL YEAR 2005

(\$ in thousands)

Dept. No.	Agency	Fiscal Year 2001							
		FY 2000 Actual Expenditures	Executive Budget	8 Month Actuals July-Feb.	Forecast	FY 2002 Executive Budget	FY 2003 Estimate	FY 2004 Estimate	FY 2005 Estimate
156	TAXI & LIMOUSINE COMMISSION .	21,555	23,717	15,776	24,228	22,735	21,788	21,788	21,788
226	COMMISSION ON HUMAN RIGHTS.	7,157	6,924	4,913	7,198	6,903	6,903	6,903	6,903
260	YOUTH & COMMUNITY DEVELOPMENT	128,551	110,639	92,161	158,512	120,441	119,469	119,424	119,424
312	CONFLICTS OF INTEREST BOARD .	1,376	1,502	1,018	1,576	1,627	1,627	1,648	1,648
313	OFFICE OF COLLECTIVE BARG.	1,358	1,414	1,001	1,384	1,469	1,469	1,469	1,469
499	COMMUNITY BOARDS (ALL)	10,433	11,098	7,004	11,234	11,216	11,216	11,216	11,216
781	DEPARTMENT OF PROBATION	83,678	84,174	57,189	89,460	86,720	86,075	86,075	86,075
801	DEPT. OF BUSINESS SERVICES.	52,999	46,884	46,296	44,916	49,246	36,779	36,779	36,779
806	HOUSING PRESERVATION & DEV.	384,134	402,465	319,908	490,471	418,740	334,563	335,073	335,120
810	DEPARTMENT OF BUILDINGS	42,335	44,933	33,641	50,202	27,057	21,506	21,431	21,431
816	DEPARTMENT OF HEALTH	792,125	814,279	425,336	943,950	916,235	845,235	845,562	845,534
817	DEPT OF MENTAL HEALTH	506,458	545,055	519,182	610,389	585,389	585,657	585,657	585,657
819	HEALTH AND HOSPITALS CORP.	799,762	791,367	590,857	942,837	974,137	989,840	999,969	1,014,155
826	DEPT OF ENVIRONMENTAL PROT.	600,158	666,250	441,097	650,499	677,741	663,729	660,274	659,892
827	DEPARTMENT OF SANITATION	838,298	973,857	710,601	941,824	986,224	1,006,574	1,006,332	1,006,332
829	TRADE WASTE COMMISSION.	2,369	2,849	1,687	2,929	2,859	2,934	2,934	2,934
836	DEPARTMENT OF FINANCE	168,976	196,141	126,163	183,875	195,092	185,087	184,849	187,101
841	DEPARTMENT OF TRANSPORTATION	464,800	469,298	342,837	513,598	459,246	457,419	457,590	457,590
846	DEPT OF PARKS AND RECREATION	198,078	184,625	139,129	208,821	194,088	194,577	194,577	194,577
850	DEPT. OF DESIGN & CONSTRUCTION	77,284	82,302	53,075	82,668	80,810	80,810	80,810	80,810
856	DEPT OF CITYWIDE ADMIN SRVCES	564,537	589,415	536,646	632,962	668,113	667,555	671,659	672,873
858	D.O.I.T.T.	177,556	141,245	127,188	154,958	148,912	149,958	150,117	150,114
860	DEPT OF RECORDS & INFO SERV.	3,928	3,685	2,877	4,190	3,664	3,665	3,667	3,668
866	DEPARTMENT OF CONSUMER AFFAIRS	12,843	12,924	9,157	13,393	13,358	13,279	13,168	13,168
901	DISTRICT ATTORNEY - N.Y.	73,386	64,056	51,292	79,347	66,608	65,423	65,423	65,423
902	DISTRICT ATTORNEY - BRONX	40,897	37,643	28,298	42,923	39,596	38,781	38,781	38,781
903	DISTRICT ATTORNEY - KINGS	70,846	62,864	49,395	71,167	65,846	64,661	64,661	64,661
904	DISTRICT ATTORNEY - QUEENS	36,766	32,125	25,462	39,165	33,578	32,823	32,823	32,823
905	DISTRICT ATTORNEY - RICHMOND	6,350	5,720	4,518	6,701	5,853	5,693	5,693	5,693
906	OFF. OF PROSEC. & SPEC. NARC.	14,842	13,264	10,259	15,343	13,844	13,769	13,769	13,769
941	PUBLIC ADMINISTRATOR - N.Y.	759	924	730	956	918	918	918	918
942	PUBLIC ADMINISTRATOR - BRONX	313	330	202	330	330	330	330	330
943	PUBLIC ADMINISTRATOR- BROOKLYN	420	443	282	443	443	443	443	443
944	PUBLIC ADMINISTRATOR - QUEENS	333	344	210	344	344	344	344	344
945	PUBLIC ADMINISTRATOR -RICHMOND	167	176	110	176	237	237	237	237
	PRIOR PAYABLE ADJUSTMENT	(356,839)	—	—	(263,700)	—	—	—	—
	GENERAL RESERVE	—	200,000	—	42,489	200,000	200,000	200,000	200,000
	ENERGY ADJUSTMENT	—	—	—	—	—	(2,906)	(2,065)	(390)
	LEASE ADJUSTMENT	—	—	—	—	—	17,120	34,426	49,764
	OTPS INFLATION ADJUSTMENT	—	—	—	—	—	27,825	58,569	89,313
	TOTAL EXPENDITURES	\$39,269,381	\$38,503,468	\$25,012,505	\$41,864,145	\$40,875,367	\$43,567,344	\$44,619,911	\$45,498,519
	LESS: INTRA-CITY EXPENDITURES	1,149,719	1,168,923	316,650	1,380,812	1,343,423	1,300,608	1,256,259	1,256,256
	NET TOTAL EXPENDITURES.	\$38,119,662	\$37,334,545	\$24,695,855	\$40,483,333	\$39,531,944	\$42,266,736	\$43,363,652	\$44,242,263

EXHIBIT 3
ACTUAL REVENUE

	Fiscal Year 1997	Fiscal Year 1998	Fiscal Year 1999	Fiscal Year 2000
Taxes:				
Real Property	\$7,291	\$7,239	\$7,631	\$7,790
Personal Income	4,361	5,118	5,378	5,413
General Corporation	1,478	1,551	1,423	1,779
Banking Corporation	360	515	388	347
Unincorporated Business	561	671	657	805
Sales and Use	2,912	3,052	3,192	3,509
Commercial Rent	374	358	333	344
Real Property Transfer	215	288	424	403
Mortgage Recording	185	232	408	483
Utility	215	223	222	247
Stock Transfer	114	114	114	114
All Other	581	591	584	609
Tax Audit Revenue	651	458	536	416
Total Taxes	<u>19,298</u>	<u>20,410</u>	<u>21,290</u>	<u>22,259</u>
Miscellaneous Revenues:				
Licenses, Franchises, Etc.	245	273	291	329
Interest Income	160	199	182	195
Charges for Services	428	435	440	439
Water and Sewer Charges	775	823	778	801
Rental Income	143	151	114	139
Fines and Forfeitures	491	468	479	468
Miscellaneous	807	486	408	718
Intra-City Revenue	683	705	780	1,150
Total Miscellaneous	<u>3,732</u>	<u>3,540</u>	<u>3,472</u>	<u>4,239</u>
Unrestricted Intergovernmental Aid:				
Federal Revenue Sharing	-	-	-	-
N.Y. State Per Capita Aid	322	327	328	405
Other Federal and State Aid	332	295	324	226
Total Unrestricted Intergovernmental Aid	<u>654</u>	<u>622</u>	<u>652</u>	<u>631</u>
Other Categorical Grants	379	412	367	432
Transfers from Capital Fund:				
Inter Fund Agreements	245	251	249	239
Provision for Disallowance of Categorical Grants	(36)	(14)	(39)	(5)
Less Intra-City Revenue	(683)	(705)	(780)	(1,150)
Total City Funds	<u>23,589</u>	<u>24,516</u>	<u>25,211</u>	<u>26,645</u>
Federal Categorical Grants:				
Community Development	264	255	239	264
Welfare	2,284	2,344	2,183	2,335
Education	929	1,014	1,053	1,127
Other	656	679	787	691
Total Federal Grants	<u>4,133</u>	<u>4,292</u>	<u>4,262</u>	<u>4,417</u>
State Categorical Grants:				
Welfare	1,672	1,580	1,442	1,382
Education	3,908	4,155	4,413	4,829
Higher Education	121	125	128	124
Health and Mental Health	254	269	323	348
Other	309	243	333	379
Total State Grants	<u>6,264</u>	<u>6,372</u>	<u>6,639</u>	<u>7,062</u>
Total Revenues	<u>\$33,986</u>	<u>\$35,180</u>	<u>\$36,112</u>	<u>\$38,124</u>

EXHIBIT 4
REVENUE ESTIMATES
(\$ in Millions)

	Fiscal Year 2001 8 Months Actual	Fiscal Year 2001 Forecast	Fiscal Year 2002	Fiscal Year 2003	Fiscal Year 2004	Fiscal Year 2005
Taxes:						
Real Property	7,594	8,136	8,643	9,100	9,536	9,970
Personal Income	3,752	5,398	4,766	4,997	5,265	5,653
General Corporation	847	1,806	1,490	1,513	1,630	1,724
Banking Corporation	192	357	359	409	427	452
Unincorporated Business	394	776	778	825	893	951
Sale and Use	2,319	3,651	3,710	3,899	4,031	4,144
Commercial Rent	183	355	364	383	404	425
Real Property Transfer	292	439	404	449	472	507
Mortgage Recording	246	366	325	344	357	381
Utility	156	260	258	253	248	240
Stock Transfer	0	114	114	114	114	114
All Other	323	635	647	659	670	684
Tax Audit Revenue	204	399	487	426	427	427
Tax Reduction Program	0	0	(494)	(719)	(1,041)	(1,264)
State Tax Relief Program	342	504	670	739	771	796
Total Taxes	16,844	23,196	22,521	23,391	24,204	25,204
Miscellaneous Revenue:						
Licenses, Franchises, Etc.	234	338	320	313	311	310
Interest Income	123	200	144	136	141	143
Charges for Services	246	428	415	410	410	409
Water and Sewer Charges	631	848	849	824	842	867
Rental Income	88	139	111	265	404	365
Fines and Forfeitures	330	479	480	479	476	476
Miscellaneous	520	981	938	251	206	206
Intra-City Revenue	241	1,381	1,343	1,301	1,256	1,256
Total Miscellaneous	2,413	4,794	4,600	3,979	4,046	4,032
Unrestricted Intergovernmental Aid:						
N.Y. State Per Capita Aid	0	327	327	327	327	327
Other Federal and State Aid	110	266	379	305	305	305
Total Unrestricted Intergovernmental Aid:	110	593	706	632	632	632
Other Categorical	139	439	392	360	352	344
Inter Fund Agreements	0	296	301	297	297	297
Reserve for Disallowance of Categorical Grants	0	(15)	(15)	(15)	(15)	(15)
Less: Intra-City Revenue	(241)	(1,381)	(1,343)	(1,301)	(1,256)	(1,256)
Total City Funds	19,265	27,922	27,162	27,343	28,260	29,238

REVENUE ESTIMATES

(\$ in Millions)

	Fiscal Year 2001 8 Months Actual	Fiscal Year 2001 Forecast	Fiscal Year 2002	Fiscal Year 2003	Fiscal Year 2004	Fiscal Year 2005
Federal Categorical Grants:						
JTPA	0	18	0	0	0	0
Community Development .	121	339	304	267	267	266
Welfare	964	2,490	2,582	2,485	2,457	2,457
Education	46	1,069	1,046	1,046	1,046	1,046
Other	303	821	525	333	335	335
Total Federal Grants	1,434	4,737	4,457	4,131	4,105	4,104
State Categorical Grants:						
Welfare	850	1,583	1,517	1,501	1,507	1,511
Education	1,862	5,328	5,580	5,702	5,777	5,844
Higher Education	1	164	164	164	164	164
Health and Mental Health .	154	417	358	359	359	359
Other	142	332	294	286	294	301
Total State Grants	3,009	7,824	7,913	8,012	8,101	8,179
TOTAL REVENUE . . .	23,708	40,483	39,532	39,486	40,466	41,521

EXHIBIT 5
FULL-TIME EMPLOYEES

	2/28/01 Actual		6/30/02 Executive Budget	
	Total	City	Total	City
MAYORAL AGENCIES:				
<i>Uniformed Forces:</i>				
Police -Uniform	39,837	39,837	40,710	40,710
-Civilian	8,977	8,364	8,586	8,512
Fire -Uniform	11,404	11,396	11,096	11,089
-Civilian	4,242	4,233	4,900	4,897
Sanitation -Uniform	8,033	7,898	8,076	7,914
-Civilian	2,219	2,058	2,147	1,879
Correction -Uniform	10,487	9,744	10,846	10,103
-Civilian	1,532	1,417	1,821	1,706
<i>Health and Welfare:</i>				
Social Services	12,779	9,093	12,976	9,462
Admin. for Children's Services	7,076	6,996	7,619	7,457
Homeless Services	1,609	1,598	1,570	1,567
Health	2,876	2,001	3,294	2,446
Mental Health	208	123	241	159
<i>Other Mayoral:</i>				
Housing Preservation and Development	2,399	555	2,711	585
Environmental Protection	5,443	268	6,064	290
Finance	2,035	2,035	2,138	2,126
Transportation	3,869	1,776	3,972	1,814
Parks	1,969	1,703	2,008	1,662
Citywide Administrative Services	1,437	1,034	1,732	1,082
All Other Mayoral	9,231	6,163	9,532	6,390
COVERED ORGANIZATIONS:				
Board of Education -Pedagogical	94,174	77,039	95,306	77,992
-Non-Pedagogical	8,157	6,026	7,869	5,813
City University -Pedagogical	2,221	2,201	2,302	2,264
-Non-Pedagogical	1,554	1,553	1,385	1,376
ELECTED OFFICIALS:				
Mayoralty	871	820	1,089	1,014
All Other Elected	5,686	5,258	5,356	5,036
Total	<u>250,325</u>	<u>211,189</u>	<u>255,346</u>	<u>215,345</u>

EXHIBIT 5A
FULL-TIME EMPLOYEES CITY FUNDS

	Actual		Executive Budget	
	12/31/93	2/28/01	6/30/02	
MAYORAL AGENCIES:				
<i>Uniformed Forces:</i>				
Police	-Uniform [1]	36,340	39,837	40,710
	-Civilian [1]	10,082	8,364	8,512
Fire	-Uniform	11,241	11,396	11,089
	-Civilian [1]	4,636	4,233	4,897
Sanitation	-Uniform	7,756	7,898	7,914
	-Civilian	2,812	2,058	1,879
Correction	-Uniform	11,077	9,744	10,103
	-Civilian	2,133	1,417	1,706
<i>Health and Welfare:</i>				
	Social Services [2]	15,616	9,093	9,462
	Admin. for Children's Services [2]	8,215	6,996	7,457
	Homeless Services	3,202	1,598	1,567
	Health	3,161	2,001	2,446
	Mental Health	248	123	159
<i>Other Mayoral:</i>				
	Housing Preservation and Development	1,296	555	585
	Environmental Protection [1]	437	268	290
	Finance [3]	2,816	2,035	2,126
	Transportation [1,3]	2,837	1,776	1,814
	Parks	2,899	1,703	1,662
	Citywide Administrative Services [4]	2,281	1,034	1,082
	All Other Mayoral	8,145	6,163	6,390
COVERED ORGANIZATIONS:				
	Board of Education -Pedagogical	69,002	77,039	77,992
	-Non-Pedagogical	6,093	6,026	5,813
	City University -Pedagogical	2,422	2,201	2,264
	-Non-Pedagogical	1,420	1,553	1,376
ELECTED OFFICIALS:				
	Mayoralty	1,274	820	1,014
	All Other Elected	5,395	5,258	5,036
	Total	<u>222,836</u>	<u>211,189</u>	<u>215,345</u>

1. The 12/93 actual has been adjusted to reflect HAPD and TAPD mergers, the Traffic Enforcement transfer and the EMS transfer. The 12/93 actual for DEP has been adjusted to reflect the reclassification of Water and Sewer positions.
2. The 12/93 actual has been restated to include the portion of HRA that transferred to Social Services and Social Services has been adjusted for the estimated number of employees which transferred to Admin. for Children's Services.
3. The 12/93 actual for DOF has been restated to reflect the PVB and City Sheriff transfers and DOT actual has been restated to reflect the transfer of PVB and Traffic Enforcement.
4. Previously Dept. of General Services. Restated to include Dept. of Personnel.

EXHIBIT 6
FY 2002 EXECUTIVE BUDGET
CITY GAP CLOSING PROGRAM - 5 YEAR VALUE
(City \$ in 000's)

	2001	2002	2003	2004	2005
MAYORAL AGENCIES:					
<i>Uniformed Forces:</i>					
Police	\$44,567	\$63,150	\$5,365	\$5,715	\$5,715
Fire	15,197	9,710	9,710	7,253	7,253
Correction	89,961	40,366	10,000	10,000	10,000
Sanitation	96,820	45,907	35,048	35,115	35,115
<i>Health and Welfare:</i>					
Admin. for Children's Services	25,960	38,295	34,824	28,960	28,960
Social Services	3,269	73,006	49,537	47,502	47,502
Homeless Services	3,439	2,641	2,060	1,723	1,723
Health	14,377	23,523	19,268	19,268	19,268
Mental Health	3,660	9,126	5,524	5,524	5,524
<i>Other Mayoral:</i>					
Cultural Affairs	—	20,114	20,264	20,264	20,264
Housing Preservation & Dev.	29,250	72,528	17,782	17,782	17,782
Environmental Protection	8,562	1,195	1,195	520	520
Finance	57,320	94,940	26,451	22,426	20,174
Transportation	44,534	23,657	12,485	10,100	10,100
Parks	11,054	12,027	7,038	7,038	7,038
Citywide Admin. Services	26,760	20,356	9,989	5,657	5,657
Other	52,559	257,808	104,048	103,592	103,156
COVERED ORGANIZATIONS:					
Board of Education	—	4,000	4,000	4,000	4,000
Health and Hospitals Corp.	—	300	300	300	300
OTHER:					
Miscellaneous Budget	17	7,415	6,749	6,774	6,801
Procurement Savings	—	26,438	26,438	26,438	26,438
Subtotal Agency Programs	\$527,306	\$846,502	\$408,075	\$385,951	\$383,290
CITYWIDE INITIATIVES:					
Privatization of OTB	—	250,000	—	—	—
Reimb. for Landfill	—	225,000	—	—	—
Closure Costs	—	150,000	150,000	150,000	150,000
State & Federal Actions	—	—	—	—	—
Total Program	\$527,306	\$1,471,502	\$558,075	\$535,951	\$533,290

Technical Note: Gap closing program includes initiatives from the November 17, 2000 and the January 25, 2001 Financial Plans and the April 25, 2001 Executive Budget.

EXHIBIT 6A
FY 2002 EXECUTIVE BUDGET
CITY GAP CLOSING PROGRAM - 5 YEAR VALUE
(City \$ in 000's)

	2001	2002	2003	2004	2005
OTHER:					
Mayoralty	\$587	\$93,080	\$1,118	\$1,118	\$1,118
Board of Elections	163	125	125	125	125
Campaign Finance Board	2,870	—	—	—	—
Office of the Actuary	234	—	—	—	—
Tax Commission	41	84	84	84	84
Law	4,395	6,540	40	40	40
City Planning	250	522	522	522	522
Investigation	380	—	—	—	—
Research Library	—	2,952	2,952	2,952	2,952
NY Public Library	—	17,609	17,609	17,609	17,609
Brooklyn Public Library	—	12,968	12,968	12,968	12,968
Queens Public Library	—	12,345	12,345	12,345	12,345
City University	959	8,059	8,059	8,059	8,059
Board of Correction	81	—	—	—	—
City Clerk	24	—	—	—	—
Aging	1,869	7,954	4,954	4,954	4,954
FISA	3,488	3,133	530	283	35
Juvenile Justice	255	4,987	1,087	1,087	1,087
Payroll Admin.	1,403	8,938	846	658	470
Equal Employment Comm.	50	—	—	—	—
Civil Service Commission	190	—	—	—	—
Taxi & Limo	4,321	2,500	1,100	1,100	1,100
Human Rights	39	71	71	71	71
Youth & Community Development	5,000	22,716	19,716	19,716	19,716
Conflicts of Interest	72	21	21	—	—
Office of Collective Bargaining	30	—	—	—	—
Probation	2,830	4,166	2,586	2,586	2,586
Dept. of Business Services	10,066	27,834	1,334	1,334	1,334
Buildings	1,030	3,166	166	166	166
Trade Waste Commission	195	230	—	—	—
DOITT	10,864	9,935	7,756	7,756	7,756
DORIS	56	72	72	72	72
Consumer Affairs	152	1,295	1,145	1,145	1,145
Subtotal	<u>\$51,894</u>	<u>\$251,302</u>	<u>\$97,206</u>	<u>\$96,750</u>	<u>\$96,314</u>
OTHER ELECTED:					
BP - Manhattan	\$20	\$129	\$129	\$129	\$129
BP - Bronx	50	161	161	161	161
BP - Brooklyn	112	225	225	225	225
BP - Queens	136	271	271	271	271
BP - Staten Island	41	103	103	103	103
Comptroller	306	5,526	5,862	5,862	5,862
Public Advocate	—	76	76	76	76
DA - Manhattan	—	15	15	15	15
Subtotal	<u>\$665</u>	<u>\$6,506</u>	<u>\$6,842</u>	<u>\$6,842</u>	<u>\$6,842</u>
Total Other	<u>\$52,559</u>	<u>\$257,808</u>	<u>\$104,048</u>	<u>\$103,592</u>	<u>\$103,156</u>

Technical Note: Gap closing program includes initiatives from the November 17, 2000 and the January 25, 2001 Financial Plans and the April 25, 2001 Executive Budget.

EXHIBIT 6B
FY 2002 EXECUTIVE BUDGET
CITY GAP CLOSING PROGRAM - BY EXPENSE AND REVENUE
(City \$ in 000's)

	Expense	Revenue	Total
MAYORAL AGENCIES:			
<i>Uniformed Forces:</i>			
Police	\$63,150	—	\$63,150
Fire	8,710	1,000	9,710
Correction	40,366	—	40,366
Sanitation	45,907	—	45,907
<i>Health and Welfare:</i>			
Admin. for Children's Services	38,295	—	38,295
Social Services	73,006	—	73,006
Homeless Services	2,641	—	2,641
Health	23,523	—	23,523
Mental Health	9,126	—	9,126
<i>Other Mayoral:</i>			
Cultural Affairs	20,114	—	20,114
Housing Preservation & Dev.	16,528	56,000	72,528
Environmental Protection	(480)	1,675	1,195
Finance	15,842	79,098	94,940
Transportation	10,530	13,127	23,657
Parks	4,667	7,360	12,027
Citywide Admin. Services	9,921	10,435	20,356
Other	107,408	150,400	257,808
COVERED ORGANIZATIONS:			
Board of Education	4,000	—	4,000
Health and Hospitals Corp.	300	—	300
OTHER:			
Miscellaneous Budget	7,415	—	7,415
Procurement Savings	26,438	—	26,438
Subtotal Agency Programs	\$527,407	\$319,095	\$846,502
CITYWIDE INITIATIVES:			
Privatization of OTB	—	250,000	250,000
Reimb. for Landfill Closure Costs	—	225,000	225,000
State & Federal Actions	74,000	76,000	150,000
Total Program	\$601,407	\$870,095	\$1,471,502

Technical Note: Gap closing program includes initiatives from the November 17, 2000 and the January 25, 2001 Financial Plans and the April 25, 2001 Executive Budget.