

July 61

OFFICE OF THE MAYOR
EXECUTIVE ORDER NO. 61

JUNE 30, 1976
QUARTERLY ALLOCATION AND PERSONNEL CEILING
CONTROL SYSTEMS

Whereas, The New York State Financial Emergency Act for the City of New York requires that all liabilities, obligations and disbursements of the City and covered organizations be in accordance with the Financial Plan approved by the Emergency Financial Control Board; and

Whereas, The New York City Charter empowers and charges the Mayor with the responsibility of administering the Expense Budget for the Fiscal Year 1977 (the "Budget"); and

Whereas, The Terms and Conditions of the Budget provide that the Mayor may establish for any agency a quarterly allotment plan which may set forth for the quarter of the fiscal year during which it is to remain in effect (1) rates of expenditure for personal services; (2) ceilings on the total number of personnel; and (3) the total amount of funds to be spent by the agency during such quarter; and

Whereas, The Mayor has determined that the establishment of quarterly allocations and personnel ceilings for each agency is necessary in order to ensure compliance with the Financial Plan and the Budget.

Now, therefore, pursuant to the power vested in me by the provisions of Section 123 of the New York City Charter and a resolution of the Emergency Financial Control Board dated June 4, 1976, concerning reporting and control of covered organization revenues and expenses, it is hereby ordered as follows:

Section 1. *Limitation on Agency Expenditures.* The Budget appropriations of all agencies shall be expended in accordance with the quarterly allocations and personnel ceilings established pursuant to Section 2 of this Executive Order. The term "agency" as used in this Executive Order means any office, administration, department, division, board, bureau, commission, corporation, institution or other unit of government, including without limitation "covered organizations" as defined in the New York State Financial Emergency Act for the City of New York, the expenses of which are paid in whole or in part from the City Treasury.

§ 2. *Establishment of Quarterly Allocations and Personnel Ceilings.*

Prior to the beginning of each quarter, or as otherwise required, the Director of the Office of Management and Budget (sometimes hereinafter "OMB") shall:

a. Issue to each agency a Quarterly Allocation and Personnel Ceiling Statement for such quarter. Each such statement shall set forth for such quarter (i) an allocation for expenditures, by expenditure category; (ii) a personnel ceiling, by personnel category; and (iii) such related material as the Director of Management and Budget shall deem prudent to include. Amendments during the quarter to any Quarterly Allocation and Personnel Ceiling Statement may be issued by the Director of Management and Budget. As used herein, "quarter" shall mean the three-month period beginning on July 1, 1976, October 1, 1976, January 1, 1977 or April 1, 1977.

b. Simultaneously with issuance of the Quarterly Allocation and Personnel Ceiling Statement to each agency, OMB shall submit each such statement to the Office of the Comptroller. The Director of Management and Budget shall request the Office of the Comptroller to discontinue processing an agency's vouchers if the allocations or any category of such allocations set forth in any agency's Quarterly Allocation and Personnel Ceiling Statement shall be exceeded.

The Quarterly Allocations and Personnel Ceilings shall be based on a Monthly Expenditure and Personnel Plan, or the most recent Monthly Expenditure and Personnel Forecast for each agency.

§ 3. *Establishment of a Monthly Expenditure and Personnel Plan*

a. Each agency shall submit a proposed Monthly Expenditure and Personnel Plan to OMB.

b. Each agency shall submit a detailed estimate of payroll expenditure and the number of personnel on the payroll for each month of the Fiscal Year 1977 in such form and with such information as the Director of Management and Budget shall require. This information shall be consistent with the agency's proposed Monthly Expenditure and Personnel Plan.

c. The information in the proposed Monthly Expenditure and Personnel Plan will be reviewed by OMB. After review, OMB will issue an approved Monthly Expenditure and Personnel Plan to each agency.

§ 4. *Establishment of the Monthly Expenditure and Personnel Forecasts*

Monthly Expenditure and Personnel Forecasts shall be prepared as actual data are received concerning expenditures and personnel and in accordance with such other information as may become available. The Monthly Expenditure and Personnel Forecasts shall be adjusted in the third month of each quarter and may be adjusted during the quarter by the Director of Management and Budget to reflect the most current information consistent with the City's Financial Plan. The Monthly Expenditure and Personnel Forecasts will be based on actual experience and will reflect corrective action to assure continued conformance to the City's Financial Plan.

§ 5. *Monthly Reports to the Office of Management and Budget*

After the end of each month, OMB will collect and analyze each agency's actual expenditure and personnel information for the month. This data will be obtained by the 15th of each month from:

a. A Monthly Expenditure Report issued by the Office of the Comptroller, which provides each agency's actual expenditure data.

b. A monthly Payroll Report, issued by the Office of the Comptroller, which provides actual payroll and personnel data for most agencies.

c. A Monthly Payroll and Personnel Calculation Report, which shall be prepared by each agency. This report will provide a detailed statement of actual payroll expenditures and personnel levels, along with revised estimates for future months. It will be the only source of payroll information for those agencies which process their own payroll.

Exec. Order 61
(Cont'd)

Int. No. 794-B—A Local Law to amend the administrative code of the city of New York, in relation to allowable sound levels for air compressors and paving breakers.
Int. No. 937-A—A Local Law to amend the administrative code of the city of New York, in relation to the storage of liquids used as motor fuels.
Int. No. 992—A Local Law to amend the city rent and rehabilitation law and the rent stabilization law in relation to extending the senior citizen rent increase exemption program for an additional year.

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ABRAHAM D. BEAME, Mayor.

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