



Metropolitan Transportation Authority

Joint Long Island and Metro-North Committees Meeting

December 2019

Members

K. Law

S. Metzger

D. Mack

R. Herman

N. Brown

R. Glucksman

V. Tessitore

V. Vanterpool

N. Zuckerman

Joint Metro-North and Long Island Committees Meeting

Monday, 12/16/2019

8:30 - 10:00 AM ET

**2 Broadway
20th Floor Board Room
New York, NY**

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- **Ratifications (None)**

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- **Non-Competitive - None**
- **Competitive**
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- **Ratifications - None**

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Long Island Railroad
Committee Actions and Presentations
Summary for December 2019

Responsible Department	Vendor Name	Total Amount	Summary of action
Procurement	Various	\$2,300,000,000 (estimated)	<ul style="list-style-type: none"> • In preparation for the Capital Program, the MTA requests the Board approve an all Agency contract to retain consultants who perform personal services for design, engineering, construction supervision and inspection services, and miscellaneous construction-related professional services to support both the 2020 – 2024 Capital Program and the 2020 – 2024 needs of MTA Operating Divisions.

**METRO-NORTH RAILROAD
COMMITTEE ACTIONS and PRESENTATIONS
SUMMARY for DECEMBER 2019**

Responsible Department	Vendor Name	Total Amount	Summary of action
P&MM	John Civetta & Sons	\$10,417,500 (not-to-exceed)	The design and construction of the 3 rd Ave. Bridge located over the New Haven Line in Mount Vernon, New York.

**Minutes of the Regular Meeting
Long Island Rail Road Committee
Tuesday, November 12, 2019**

**Meeting held at
2 Broadway – 20th Floor
New York, New York 10004
8:30 a.m.**

The following Board Members were present:

Hon. Kevin Law, Chair, Long Island Rail Road Committee
Hon. Susan G. Metzger, Chair, Metro-North Committee
Hon. Norman Brown
Hon. David Mack, Vice Chair, Long Island Rail Road Committee
Hon. Rhonda Herman, Vice Chair, Metro-North Committee
Hon. Randolph Glucksman
Hon. Vincent Tessitore, Jr.
Hon. Veronica Vanterpool

The following Board Members were absent:

Hon. Robert W. Linn
Hon. Neal Zuckerman

Representing Long Island Rail Road: Phillip Eng, Robert Free, Chris Calvagna, Loretta Ebbighausen, Mark Young, Dennis Mahon, and Stephen N. Papandon

Representing MTA Capital Construction Company: Janno Lieber, Evan Eisland, David Cannon and Peter Kohner

Representing MTA Police: Assistant Chief Sean Montgomery

The members of the Long Island Committee met jointly with the members of the Metro-North Committee. In addition to MTA Long Island Rail Road (“LIRR”) President Phillip Eng and members of the LIRR staff noted above, MTA Metro-North Railroad (“Metro-North”) President Catherine Rinaldi and members of the Metro-North staff attended the Joint Committee meeting. The minutes of the Metro-North Committee meeting of November 12, 2019 should be consulted for matters addressed at the Joint Committee meeting relating to Metro-North.

Metro-North Committee Chair Susan G. Metzger called the joint meeting to order.

SAFETY PROCEDURES

A pre-recorded safety public address announcement was used to review the emergency safety procedures.

PUBLIC COMMENT

Richard Gans, Metro-North Vice President – General Counsel & Secretary, introduced the five public speakers. He requested each speaker to limit comments to two minutes and to only address matters on the agenda for the meeting.

The following public speakers commented on matters related to LIRR:

Murray Bodin commented that the infrastructure changes at the LIRR and Metro-North are momentous and acknowledged the accomplishments of the MTA system.

Matt Kamper, an LIRR rider and advocate, commented that to ease congestion and travel time on the Main Line on weekends caused by work being done, LIRR should use shuttlebuses between Hicksville and Bellmore to take trains west to New York City destinations and use local buses between Floral Park and Hicksville for those with local stops.

Jason Pineiro, an LIRR rider, commented that we need more service on the Main Line and that WiFi is needed on LIRR trains.

Additional details of the comments made by the public speakers are contained in the minutes of the Joint Committee meeting of this day. The video recording of the meeting produced by the MTA and maintained in the MTA minutes contains a complete record of the public comments.

APPROVAL OF MINUTES AND 2019 WORK PLAN CHANGES

Upon motion duly made and seconded, the Committee approved the minutes of the October 21, 2019 Joint Metro-North and Long Island Rail Road Committee Meeting. There were no reported changes to the 2019 Work Plan.

MTA LONG ISLAND RAIL ROAD PRESIDENT'S REPORT

President Eng began his remarks by thanking all LIRR employees and labor partners for their dedication and efforts. In recognition of Veterans Day which had occurred the day before, President Eng gave a special thank you to veterans.

President Eng stated that in the month of November, we are accomplishing a significant amount of work in 11 construction zones across the system. This work includes: upgrading Nassau Interlocking, one of our most heavily trafficked areas; signal testing at Harold Interlocking, which

gets us one step closer to East Side Access (“ESA”); and over 10,000 ties were replaced along the Babylon Branch, improving track reliability.

Regarding Positive Train Control (“PTC”), President Eng noted that over the past 11 months, we’ve outfitted 65 route miles with PTC, including the Port Washington and Hempstead Branches and the stretch between Babylon and Patchogue. Last month, with the approval of the Federal Railroad Administration (“FRA”), we are now running with PTC on four additional branches: Far Rockaway, Long Beach, Oyster Bay and West Hempstead. He stated that as we bring more segments on line, we are full steam ahead testing the rest of our system and by the end of the year, we anticipate 45% completion. Another major milestone we recently hit was the approval of the Harold Interlocking design, working closely with our partners at Amtrak. Based on the reports with our System Integrator and the progress being made, President Eng stated that he is confident we will hit our December 2020 goal.

President Eng reported that we have replaced and elevated two bridges in East Hampton which, built in the late 19th century, are some of the oldest in our system. When these bridges get hit, like many of our other low clearance bridges, service comes to a halt affecting our ability to transport riders across the entire system. These two bridge replacements, along with four other bridge replacements, are not only improving service but community access and safety. In the past nine years these bridges have been hit 190 times, causing hundreds of delays. North Main and Accabonac alone experienced 58 hits. We have not experienced bridge hits or delays at these locations subsequent to the completion of these transformational projects.

President Eng reported that we continue our aggressive maintenance program under LIRR Forward, including: over 260 track circuits upgraded, resulting in a reduction of track circuit-related delays by 41%; 206 utility poles replaced, with none falling on tracks; and 294 grade crossings outfitted with delineators and integrated into the Waze GPS traffic navigation app, reducing cars-on-track delays by almost 87%. He noted that the LIRR Safety Team will be showcasing this initiative – the first in North America – to the FRA and other industry players on November 19th in Washington, DC.

President Eng stated that as we enter the colder months, we are building on our winter strategy from last year. LIRR added 20 additional snow switch covers for a total of 80, improving switch availability and resource allocation during storms; and outfitted 30 high priority locations with third rail heaters, improving service reliability. We also replaced over 3,200 M7 threshold plates (97%); there were zero M7 door failures caused by plates as a result, compared to 36 delays in 2017 caused by threshold plates.

President Eng reported on improvements in the customer experience, including our second annual Autumn Weekends program which allowed Monthly Ticket Holders to bring up to four friends for only \$1 on Saturdays and Sundays; this program added 21,000 riders in 2019. In addition, over 3,500 LIRR CARE requests were handled; and over 280 weekly Meet Your Managers meetings have been held this year, reaching every station across the system.

President Eng invited everyone to join us for our annual special Holiday Train rides on December 7th and December 8th and noted that we are adding extra trains for Thanksgiving,

Thanksgiving Day, Christmas Eve, Christmas Day, New Year's Eve and New Year's Day. President Eng concluded his remarks by wishing everyone a wonderful holiday season with their friends and family.

Chair Law thanked President Eng for his report. He raised concerns about the PTC schedule delays and issues contained in the PTC Project Update report in the Committee book.

President Eng responded that we are addressing and focusing on, in cooperation with the System Integrator, all of the issues that have been outlined. Regarding software design, the System Integrator has been bringing on resources and elevating key people who have been involved in the project into specific roles and backfilling from other areas. For instance, he and Metro-North President Cathy Rinaldi have had monthly meetings on the Harold Interlocking system design with Amtrak and the FRA, to go through these specific issues and the mitigations we have in place. The designs are underway, the resources are being added, and we're continuing to see progress which is why we are confident we will hit these dates. We are monitoring the schedule, also working with the System Integrator to recapture some of that time, adding the different segments and continuing to see progress. President Eng noted that both railroads' safety reports were submitted well in advance of FRA's deadlines, so we, in fact, are ahead of many railroads across the country in terms of that submission. Based on his conversations with others, he has confidence that both railroads are aware of the specific things we need to stay on top of and are focused on making sure we are doing that, not only monthly with higher-level executives but daily through our staff on both levels.

Chair Law asked if it is fair to say that the language in the reports highlights worst-case scenarios that the railroads are focused on. President Eng responded in the affirmative.

In response to an earlier question from Chair Law about the railroads' tree-trimming programs, following Metro-North President Rinaldi's remarks, President Eng responded that, like Metro-North, LIRR partners with a third-party vendor and our own gangs remove trees as necessary. He noted that last year, LIRR had a very aggressive tree-trimming program, doing over 220 miles last year when the goal was 180 miles. He commented that this was essentially the work we needed to accomplish last year and this year and that this effort has resulted in tremendous benefits especially when facing strong storms and heavy winds.

The video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of President Eng's remarks and Board members' comments.

LIRR SAFETY REPORT

Vice President - Corporate Safety Lori Ebbighausen stated that LIRR's Safety Report appears on Page 42 of the Committee Book, reporting through the end of September 2019.

She noted three key initiatives: National Elevator Escalator Safety Awareness Week; Customer Awareness Safety Day on December 5, 2019, at Penn Station; and the Volpe Center's October 17, 2019 publication of the results of their research for the FRA into grade crossing Right-of-Way incursion treatments, which featured LIRR's implementation of delineators, road striping and reflective markings at our 296 grade crossings.

For the reporting period ending September 2019, the average Reportable Customer Injury Rate was 2.09 injuries per million customers as compared to 2.10 injuries per million customers over the same period last year. Slips, trips and falls generate most injury reports. During this reporting period, there was a 7% increase in the average FRA Reportable Rate. The rate increased from 3.02 injuries per 200,000 hours worked to 3.23 injuries per 200,000 hours worked. Soft tissue injuries are the greatest type of injuries sustained.

In partnership with the MTA Police Department (“MTAPD”), the Together Railroads and Communities Keeping Safe (“TRACKS”) program YTD reached 84,862 participants through the end of September 2019.

The details of the Safety Report are contained in the Safety Report filed with the records of this meeting, and in the video recording of the meeting produced by MTA and maintained in the MTA records, which recording includes discussion regarding the Safety Report.

MTA CAPITAL CONSTRUCTION COMPANY

MTA Capital Construction Company (“MTACC”) President Janno Lieber briefly reported that the Third Track Project continues on-schedule and on-budget. Mr. Lieber further noted that MTACC needs the adoption of the Capital Program in order to exercise the option for the remaining Third Track Project work.

Chair Law asked President Lieber how the East Side Access Project is impacted by smaller Long Island Railroad projects. Both President Eng and President Lieber responded and confirmed that the smaller projects will not impact the opening of East Side Access.

MTA CAPITAL CONSTRUCTION COMPANY ACTION ITEMS

There were no MTACC action items presented to the Committee.

MTA POLICE DEPARTMENT

Assistant Chief Montgomery reported that Chief Owen Monaghan was attending the funeral of recently retired police officer Kenneth Jenkins, who served for many years with the elite MTADPD Highway Unit. On behalf of the MTAPD, Chief Montgomery extended condolences to Officer Jenkin’s family.

Assistant Chief Montgomery reported that YTD, systemwide crime is down through October, by 22 crimes or 11%, 183 crimes vs. 205. LIRR is down 11 crimes YTD, or 13%, 71 vs. 82. For the month of October, systemwide, crime was down 6%. LIRR had a decrease by 17%, 5 vs. 6. Felony assaults and burglaries were both down, 3 and 1, respectively, for the month of October and YTD, 8 and 3, respectively. YTD grand larcenies of autos were up by 4 crimes, 6 vs. 2, and for the month of October there were no grand larcenies reported.

The details of Assistant Chief Montgomery's report are contained in the MTAPD Report filed with the records of this meeting, and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussion regarding the MTAPD Report.

MTA LONG ISLAND RAILROAD ACTION ITEMS

There were no LIRR action items presented to the Committee.

JOINT INFORMATION ITEM

One joint information item was presented to the Committee.

- Long Island Rail Road/Metro-North PTC Project Update

The details of the joint information item are contained in reports filed with the records of this meeting, and the video recording of the meeting produced by the MTA and maintained in the MTA records, contains a complete record of comments made by Board Members and staff.

LIRR INFORMATION ITEMS

Three LIRR information items were presented to the Committee:

- **Holiday Service and Trackwork Programs**
A full report begins on Page 120 of the Committee Book.
- **East Side Access Support Projects Update**
A full report begins on Page 124 of the Committee Book.
- **Review of Committee Charter**
A full report begins on Page 137 of the Committee Book.

MTA LONG ISLAND RAIL ROAD

Procurement

LIRR Chief Procurement & Logistics Officer Dennis Mahon presented one procurement item to the Committee:

Non-Competitive:

- **Basin Haulage, Inc.** - Long Island Rail Road (LIRR) requests MTA Board approval to award a thirty-six (36) month miscellaneous service contract – with an option to renew for two additional one-year terms – to Basin Haulage, Inc. in the not-to-exceed amount of \$246,207 for the provision of rubbish removal services at LIRR’s leased Bethpage, NY employee facility.

Chair Law commented that it is important that procurements identify principals, rather than obscuring their identity as LLC’s, so that real or perceived conflicts can be assessed.

Upon motion duly made and seconded, the procurement item described above was approved for recommendation to the Board.

MTA CAPITAL CONSTRUCTION

There were no MTACC procurements presented to the Committee.

OPERATIONS, PERFORMANCE METRICS, RIDERSHIP AND CAPITAL PROGRAM REPORTS:

President Eng stated that the LIRR Operations Report is in the Committee Book. He reported that through the end of October, LIRR generated \$1.1 billion in revenue and spent \$1.6 billion, resulting in a net operating loss of \$570 million. Due to higher than expected revenues and lower than expected expenditures, this net operating loss through October is lower than what was assumed in the July mid-year forecast.

The details of this report are contained in the reports filed with the records of the meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

Adjournment

Upon motion duly made and seconded, the Joint Committee voted to adjourn the meeting.

Respectfully submitted,



Stephen N. Papandon,
Acting Secretary

Minutes of the Regular Meeting
Metro-North Committee
Tuesday, November 12, 2019

Meeting held at
2 Broadway – 20th Floor
New York, New York 10004
8:30 a.m.

The following Board Members were present:

Hon. Susan Metzger
Hon. Kevin Law
Hon. Rhonda Herman
Hon. David Mack
Hon. Veronica Vanterpool
Hon. Vincent Tessitore, Jr.
Hon. Randolph Glucksman
Hon. Norman Brown

The following Board Member was not present:

Hon. Neal Zuckerman

Also Present:

Catherine Rinaldi – President
Susan J. Doering – Executive Vice President
Richard L. Gans – Vice President and General Counsel
Glen Hayden – Vice President, Engineering
Yvonne Hill-Donald – Vice President, Human Resources
John Kennard – Vice President, Capital Programs
John Kesich – Senior Vice President, Operations
Mark Mannix – Senior Director, Corporate and Public Affairs
Thomas Mitchell – Vice President, Customer Service and Stations
Sean Montgomery – Assistant Chief, MTA Police Department
Michael Shiffer – Vice President, Planning
Justin Vonashek – Vice President, System Safety
Steven Weiss – Executive Director Management and Budget
Andrew Paul – Vice President, Labor Relations
Anthony Gardner – Acting Senior Director, Procurement
Janno Lieber – MTA Chief Development Officer
David Cannon – MTACC Vice President and Chief Procurement Officer

The members of the Metro-North Committee met jointly with the members of the Long Island Rail Road Committee. In addition to the Metro-North President and Metro-North staff noted above, President Eng and various staff of the Long Island Rail Road attended the joint committee meeting. The minutes of the Long Island Rail Road Committee for the meeting of November 12, 2019 should be consulted for matters addressed at the joint meeting relating to the Long Island Rail Road.

Susan Metzger, as Chair of the Metro-North Committee, called the joint meeting to order. Chair Metzger commented that the Metro-North action item for parking fee modifications would not be discussed or acted on at the meeting.

SAFETY PROCEDURES:

Justin Vonashek, Vice President, System Safety, played the electronic recording of the emergency safety procedures.

PUBLIC COMMENT:

The following public speakers commented on matters related to Metro-North:

Orrin Getz, Vice Chairman Metro-North Commuter Council (“Commuter Council”), commented on New Jersey Transit train cancellations on the Pascack Valley Line and asked when New Jersey Transit would reinstate the second express train.

Murray Bodin acknowledged the accomplishments of Metro-North and Long Island Rail Road and stated that the MTA is running better than any transit system in the United States.

Assemblywoman Amy Paulin commented on proposed Metro-North parking fee modifications. Ms. Paulin express concern over the modifications and requested a quantitative analysis to support the proposed increase in fees. She also commented on the lack of transparency surrounding the proposal and lack of opportunity for the public and public officials to comment on the proposal. She asked the Committee to delay action on the proposal.

Additional details of the comments made by the public speakers are contained in the minutes of the Long Island Rail Road Committee for the meeting of November 12, 2019. The video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of the public comments.

APPROVAL OF MINUTES:

Upon motion duly made and seconded, the Committee approved the minutes of the October 21, 2019 joint Metro-North and Long Island Rail Road Committee Meeting.

METRO-NORTH 2019 WORK PLAN:

President Rinaldi reported that there were no changes to the Metro-North Work Plan. The 2019 Work Plan is filed with the records of this meeting.

METRO-NORTH PRESIDENT’S REPORT:

President Rinaldi reported on the first-year accomplishments of the Way Ahead strategic plan (“Way Ahead”).

President Rinaldi reported that Way Ahead is a roadmap that details actions to enhance safety, service, infrastructure and communications, and transform Metro-North customers’ day-to-day experience. Metro-North launched Way Ahead a year ago as a proactive response to growing ridership, changing demographics, and the evolving needs of customers. Addressing safety first, President Rinaldi reported that overall customer and employee injury rates are

trending downward, and that Justin Vonashek, Vice President, System Safety will share more detailed information in his Safety Report.

Reporting on Positive Train Control (“PTC”) progress, President Rinaldi reported that as of November 2, 2019, all Hudson Line trains including Amtrak and CSX are now operating with full PTC between Marble Hill and Poughkeepsie, a distance of 67 miles (almost 90% of the Hudson Line). This segment of the Hudson Line now in full PTC service includes the entire length of the Hudson Line that is used by Amtrak. It also includes the Spuyten Duyvil curve, which was the site of Metro-North’s December 1, 2013 derailment of Train 8808. In Connecticut, trains traveling the 23-mile Danbury Branch, including all Metro-North trains and Providence and Worcester freight trains, began operating with full PTC in August. Overall, 90 route miles are now in full PTC compliance (23%), and approximately 268 trains/day are operating in full PTC compliance (37%). The next significant milestone will be the commencement of full PTC operations between Wassaic and Mount Vernon West Stations on the Harlem Line, which is currently scheduled for December 14, 2019. President Rinaldi also reported that both Long Island Rail Road and Metro-North submitted their PTC Safety Plans to the Federal Railroad Administration (“FRA”) for approval. Both railroads are adhering to an aggressive segment-by-segment implementation schedule that puts them on paths to complete the roll-out of PTC across their entire networks before the federal deadline of December 31, 2020.

President Rinaldi reported that the TRACKS Program has reached 105,000 individuals year-to-date and will surpass Metro-North’s goal in 2019. Metro-North participated in the June 6, 2019 International Level Crossing Awareness Day (“ILCAD”), a global initiative to promote safe behaviors at or around grade crossings. All Metro-North crossings are now identified in the WAZE application and as drivers approach a crossing, a safety message will pop up on their screens. Metro-North has also enhanced 78 grade crossings with LED lights. During “Railroad Safety Week,” September 22 - September 28, Metro-North held its 2nd annual “Customer Safety Day” in Grand Central Terminal and launched the newest customer safety initiative, Metro-North’s “Rail Safety Passport,” which provides another opportunity to promote rail safety to Metro-North’s youngest customers.

President Rinaldi also reported on important signage improvements in the Park Avenue Tunnel. The Park Avenue Tunnel is dark, sooty, faces water intrusion, and it is difficult to obtain track availability to do work. Metro-North is in the process of installing wayfinding signage in the event of an evacuation. The wayfinding signs will be on every 100 feet on all four tracks between 59th Street and 97th Street and include the track number, cross-street, and distance to the nearest exits in either direction. Additionally, all emergency exits have been cleaned and painted with additional lighting and new egress signage.

In March 2019, Metro-North launched a new suicide prevention training program called QPR training. Question, Persuade, Refer (“QPR”) training provides Metro-North employees the tools to recognize the warning signs that someone may be contemplating suicide. This program offers frontline employees the tools to “Question, Persuade, and Refer” individuals who appear to be in a mental health crisis to get the imminent help they need. Since QPR’s inception, 225 Metro-North employees from the Customer Service, Safety, Finance, Maintenance of Way, and Transportation Departments have received the invaluable training.

President Rinaldi reported that Metro-North has developed separate training modules to improve employee communications. First, “Safety Critical Communications Training,” an annual computer-based training for all Operations employees, was developed to improve safety critical communications. The objective of the training is to convey that all work-related communications by these employees are considered safety critical communications and employees must ensure

that their communications are clear and accurate, that close attention is paid to details, that any questions or uncertainties are addressed, and full understanding/agreement is reached by all parties involved before carrying out actions. Second, “Engaging in Critical Conversations,” which is a classroom training for operations supervisors, has been attended and completed by 165 employees from Maintenance of Way, Maintenance of Equipment, and Transportation Departments. The training targets General Foreman, Foreman, various Manager titles, Superintendents, District Superintendents, Assistant Directors, Assistant Deputy Directors, Chief RTCs, and Compliance Officers. All supervisors completed this training by October 31, 2019. Finally, Metro-North has a “Supervisor for Safety” training program intended to train new supervisors. President Rinaldi also reported that Metro-North hosted its third annual “Safety Excellence Awards” in Grand Central Terminal’s Vanderbilt Hall in June. President Rinaldi highlighted one of the winning groups, the New Haven Tinsmiths, who developed and fabricated sign holders for working limit stop signs along the New Haven Line.

Another Way Ahead objective is to improve customer day-to-day experiences. President Rinaldi reported that the Station Ambassadors Program is now permanently installed at six stations during AM and PM peak times: Harlem-125th Street, Fordham, White Plains, Stamford, New Rochelle, and Croton-Harmon Stations. Metro-North has also implemented accessibility improvements, including ADA ramps, at the Port Chester and Crestwood Stations. For the 2020-2024 Capital Plan, Metro-North will make accessibility improvements at the Ludlow Station on the Hudson Line as well as three stations on the Harlem Line in the Bronx. As a result of investments to be made in the forthcoming Capital Plan, 78% of Metro-North stations serving 93% of customers will be accessible.

President Rinaldi also reported on the new retail tenants at the Mt. Kisco, Purdy’s, Hastings-on-Hudson, Peekskill, Tarrytown, and Croton-Harmon Stations.

President Rinaldi reported that Metro-North On-Time Performance (“OTP”) has improved significantly since this time last year. Systemwide OTP was 93.8% compared to 89.6% last year, with year-to-date OTP remaining strong above goal at 94.3%, a 3.8% improvement over last year. Performance by line in October was 94.9% for the Hudson Line, 92.4% for the Harlem Line, and 94.1% on the New Haven Line.

President Rinaldi reported that eTix represents approximately one third of all tickets sold and is averaging over \$25 million per month in mobile ticket sales. eTix sales for One-Way and Ten-Trip tickets account for 78% of those ticket types sold. Beginning this past October 28, 2019, Metro-North began providing customers who subscribe to Mail&Ride monthly tickets the option of receiving them electronically on their mobile devices, which allows customers another convenient option to purchase monthly tickets. Since inception, Metro-North estimates that eTix has resulted in a reduction of approximately 12,500 fewer ticket roll-stock being used. This reduction in stock equates to approximately \$250,000.

Reporting on the White Plains Station improvements project, President Rinaldi reported that Metro-North recently opened additional cooled and heated interior space on the platform for customers. The concessionaire Tim Horton’s has moved up to the expanded waiting area to serve customers. This area is adjacent to the new bathrooms (opened in June) which are a significant upgrade, and Metro-North is continuing to expand the interior waiting areas on the platform. A new ticket office with 50 linear feet of space toward the south end of the platform will open at the end of November, and an additional 90 linear feet of interior space will open by the end of the year. When this space reopens, the south escalator will have been refurbished and will reopen giving customers access to the platform from both escalators. As work at the platform level moves toward completion in the first quarter of 2020, Metro-North has begun to work on

expanding and improving the lobby as well as replacing the side platform, all of which will be completed in 2020.

To ensure cleaner stations, the start times for the custodians at key stations were adjusted by one to two hours. Instead of a 6AM or 7AM start time, they now start at 5AM or 6AM. This provides adequate time for custodians to get around the stations and perform the necessary cleaning prior to customers arriving for the peak of the peak. President Rinaldi also reported on significant right-of-way cleanup efforts. At Bullard Avenue in the Bronx, Metro-North removed 47 tons of trash. At 161st Street and Park Avenue, Metro-North removed 3.8 tons of trash, and in New Rochelle, Metro-North removed approximately 25 tons of trash.

President Rinaldi reported that on September 23, 2019, Metro-North introduced its new Rail Rewards Program, which gives customers exclusive offers and discounts at Grand Central Terminal shops and restaurants. Metro-North also recently opened a lactation room in Grand Central Terminal.

Improving customer communications, President Rinaldi reported that 38 additional stations now have real-time monitors. The "Big Boards" in Grand Central Terminal were replaced over the summer and as of October 31, 2019, approximately 30-35 out of 96 departure boards have been replaced. Metro-North completed a successful pilot program to install onboard digital screens on the M-7 and M-8 railcars. Deployment of screens on all M-7s and M-8s will begin in the first quarter of 2020. Additionally, Metro-North has installed a total of 138 advertising screens at Metro-North stations, including Grand Central Terminal and has installed a total of 29 customer information displays at Metro-North stations. Metro-North's "Connect with Us" forums also continue, and a winter schedule is forthcoming.

President Rinaldi also reported that Metro-North has enhanced the hand-held ticket issuing machines ("TIMs") carried by conductors to improve customer communications and address onboard train issues in a timely fashion. One extremely useful TIM function is the ability to send out real time information to the train crews during service disruptions so they in turn can share the information with customers. Such information keeps customers informed and eases concerns. Conductors can also use their TIMs to report onboard train conditions and issues which can then be addressed more quickly by maintenance crews and fleet management. In the coming weeks, Metro-North expects to introduce a "gating application" which will give conductors the ability to seamlessly sell tickets at stations/platforms during busy days like the Wednesday before Thanksgiving Day, St. Patrick's Day, and New Year's Eve, etc. When this program goes live, it will make the ticket selling process quicker, more efficient, and easier for both conductors and customers.

President Rinaldi next reported on infrastructure investments. The "Water World" train is Metro-North's rail washer tasked with spraying leaf residue off the rails, mainly on the Harlem and New Haven Branch Lines. Additionally, the Trouble Ticket Desk System allows Metro-North to move from a manual system using multiple data sources to report dashboards for tracking all track and structure incidents.

Thanks to SMARTRACK, Metro-North completed work over the summer between Melrose and Woodlawn Stations in the Bronx, where Metro-North installed over 700 new ties, vacuumed over 169 tie cribs in fouled ballast locations, installed new switches at CP 106, installed 17 new insulated joints and 10 – 80-foot plug rails, removed more than 128 concrete ties, completed 44 rail welds, and distributed 4 cars full of new ballast. Work crews also surfaced Track 4 between Melrose to Fordham Stations and surfaced switches within the Melrose interlocking. Crews also cut down large or dangerous trees along Tracks 3 and 4 between

Melrose and Fordham Stations, with more to be completed north of the Fordham Station soon. Crews also got to work on the right-of-way which had become a dumping ground for public garbage. Crews loaded four loads of scrap material and filled a 20-yard long container with neighborhood throw-outs. To help prevent incursions of garbage, Metro-North crews created the layout for a new security fence at Botanical Garden and repaired multiple fence openings along Track 1. Taking advantage of the outage, contract workers started the work to lay important PTC related Harlem Express cables, completed test pits, and started cross-track digs. Contractors are currently installing cable trays with fiber optic cable for the implementation of PTC along Track 3 between Fordham and Woodlawn. Additionally, tree trimming is a priority and Metro-North has been very aggressive over the past year. On October 31st, Halloween, a fallen tree shut down the New Haven Line. President Rinaldi emphasized that the railroad experiences very difficult challenges every day and it takes tremendous teamwork and effort by Metro-North personnel to respond at all hours, to safely assess and respond to incidents, to repair damaged infrastructure, and to recover from incidents so Metro-North can resume delivering excellent service.

Metro-North became the first commuter railroad in the United States to successfully apply heat reflective paint to reduce the incidence of “kinks” in rails, which is a potentially dangerous rail condition caused by excessive heat. Metro-North’s Structures Department successfully applied heat reflective paint along the curved section of track in Rye and was successful in reducing the rail temperature by 12 degrees. Metro-North has since applied the paint to the west approach to the Walk movable bridge in Norwalk. With the increasing summer temperatures each year, extreme thermal rail expansion has prevented the bridge from opening safely in the past. Metro-North will be expanding this program to other areas of the railroad.

Metro-North completed the new 14th Avenue Mt. Vernon overhead bridge. Metro-North has now turned its focus on replacing the 6th and 10th Avenue bridges in the city. At the Harmon Shop, Metro-North has taken Beneficial Use of the newly constructed EMU Annex and Consist Shop Facilities. Metro-North has refurbished the Stamford carwash and is also conducting significant tie replacement along the Port Jervis Line and Moodna Viaduct, as well as installing surface track, renewing turnouts, and extending the cab signal system up to the Otisville Station.

President Rinaldi also reported on the 2019 President’s and Team Excellence Awards ceremony on October 24, 2019. The following honorees were nominated by their peers based on their creativity, dedication, and outstanding work, making them agents of excellence at Metro-North:

- Peter Sowitcky III, Buildings & Bridges Mechanic, Bridgeport, Maintenance of Way – Structures;
- Michele Salvatore, Deputy Chief Transportation Officer of Field Operations, Transportation;
- Dawn Bowser, Assistant Manager, Customer Engagement Center, Customer Service & Stations;
- Sergei Maslov, Assistant Chief Engineer – Communication Networks, Maintenance of Way – Communications and Signals;
- Brewster Paving and Drainage Project Team; and
- 25Track Team, composed of Transportation, Mechanical, Fleet Management, and Customer Service and Stations.

President Rinaldi also reported on the Customer Service Day Awards and the Metro-North employees honored for their commitment to delivering excellent customer service. She reported on Metro-North’s new Operations Manager Development Program and Foremen

Training Program. The Foreman Training Program equips Foremen with the skills and resources needed to increase their leadership and promote safety.

Focusing on the future, President Rinaldi reported that the Metro-North team is successfully transforming the railroad. Over the past year, Metro-North has met key milestones, setting the highest standards for safety, reliability, and innovation in the delivery of excellent customer service. President Rinaldi stated that she was proud to report that Metro-North is developing an even stronger railroad, remains focused on continuing to enhance the system, and is looking at what is next in the Way Ahead plan.

Board Member Glucksman asked how it is decided which trains operate with PTC on the Hudson Line. President Rinaldi clarified that all the trains operating on the PTC segment are operating with full PTC. Board Member Law asked about the Metro-North and Long Island Rail Road tree trimming programs and President Rinaldi responded that Metro-North contracts with an outside vendor to provide the services, but Metro-North forces will cut down trees as well.

The video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of President Rinaldi's remarks and Board Members' comments.

METRO-NORTH SAFETY REPORT:

Justin Vonashek, Vice President, System Safety, reported that customer and employee injuries continue to trend down. Both are trending down 10% versus the previous twelve months. Metro-North's community outreach program, TRACKS, has reached nearly 12,000 individuals in September, bringing the total for the year through September to 98,000. This represents a seven percent increase over the same period last year.

Mr. Vonashek also reported that the Office of System Safety participated in Fire Prevention Week during the week of October 8, 2019. The Office provided information to customers and employees throughout the system on fire safety and the proper use of fire extinguishers.

Mr. Vonashek's full safety report is filed with the records of this meeting and the video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of Mr. Vonashek's remarks.

MTAPD REPORT:

Assistant Chief Montgomery reported that Chief Owen Monaghan was attending the funeral of recently retired police officer Kenneth Jenkins, who served for many years with the elite MTAPD Highway Unit. On behalf of the MTAPD, Chief Montgomery extended condolences to Officer Jenkin's family.

Assistant Chief Montgomery reported that year-to-date, systemwide crime is down through October by 22 crimes or 11%, 183 crimes vs. 205. For the month of October, systemwide crime was down 6%. Year-to-date for Metro-North, crimes are down by 12, or 11%, 101 vs. 113. For Metro-North for the month of October, crimes increased by 2, from 8 to 10.

Systemwide for the month of October, felony assaults and burglaries were both down. Year-to-date, felony assaults were down by 8 and burglaries were down by 3. Year-to-date, grand larceny autos increased by 4; however, for the month of October, there were no grand larceny autos.

Assistant Chief Montgomery's full MTAPD report is filed with the records of this meeting and the video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of Assistant Chief Montgomery's remarks.

JOINT INFORMATION ITEM:

One joint information item was presented to the Committee:

- Long Island Rail Road/Metro-North PTC Project Update

During President Eng's President's Report, Board Member Law raised concerns about PTC schedule delays and issues identified in the PTC Project Update report. President Eng responded that the railroads and Systems Integrator were fully aware of the issues outlined, are focused on addressing them, and have mitigations in place. President Eng stated that the designs are underway, resources are being added, the schedule is being monitored, and the railroads are continuing to see progress and are confident they will make the deadline. President Rinaldi clarified that Siemens and Bombardier executives are expected to attend the December Committee Meeting.

The details of the joint information item are contained in reports filed with the records of this meeting, and the video recording of the meeting produced by the MTA and maintained in the MTA records, contains a complete record of comments made by Board Members and staff.

METRO-NORTH INFORMATION ITEMS:

Two Metro-North information items were presented to the Committee:

- Progress on the Way Ahead Strategic Plan

President Rinaldi presented on the progress on the Way Ahead Strategic Plan during the Metro-North President's Report.

- Review of Committee Charter

The details of the foregoing information items are contained in documentation filed with the records of this meeting. The video recording of the meeting produced by the MTA and maintained in the MTA records, contains a complete record of President Rinaldi's remarks.

OPERATIONS, PERFORMANCE METRICS, RIDERSHIP AND CAPITAL PROGRAM REPORTS:

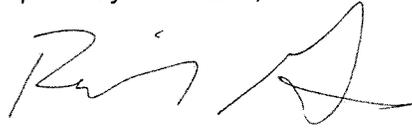
President Rinaldi reported that there was no Financial Report this month; the October Financial Report will be provided in December. President Rinaldi also reported that through the end of October, Metro-North generated \$892 million in revenue and spent \$1,332 million, resulting in a net operating loss of \$440 million. Due to lower than expected revenues that are partially offset by lower than expected expenditures, the net operating loss through October is higher than what was assumed in the mid-year forecast.

The details of the Operations, Performance Metrics, Ridership, and Capital Program Reports are contained in reports filed with the records of the meeting. The video recording of the meeting produced by the MTA and maintained in the MTA records contains a complete record of President Rinaldi's remarks.

ADJOURNMENT:

Upon motion duly made and seconded, the Committee unanimously voted to adjourn the meeting.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Richard Gans", written in a cursive style.

Richard Gans
Vice President, General Counsel and
Secretary

November 2019 Committee Minutes – FINAL

Long Island Rail Road Committee Work Plan

I. <u>RECURRING AGENDA ITEMS</u>	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
2019 Committee Work Plan	Committee Chair & Members
Agency President's/Chief's Reports	President/Senior Staff
Safety Report	Chief Safety Officer
MTA Capital Construction Report	MTA Capital Construction
MTA Police Report	MTA Police
Information Items (if any)	
Action Items (if any)	
Procurements	Procurement & Logistics
Performance Summaries	President/Senior Staff
Status of Operations	Sr. VP - Operations
Financial/Ridership Report	VP & CFO
Capital Program Report	SVP - Engineering
 II. <u>SPECIFIC AGENDA ITEMS</u>	 <u>Responsibility</u>
 <u>December 2019</u>	
2020 Final Proposed Budget	Management & Budget
2020 Proposed Committee Work Plan	Committee Chair & Members
Diversity/EEO Report – 3 rd Q 2019	Administration/Diversity
LIRR/MNR PTC Project Update	President
January Timetable Change & Trackwork Programs	Service Planning
 <u>January 2020</u>	
Approval of 2020 Committee Work Plan	Committee Chair & Members
PTC Status Report	Engineering
Winter Trackwork Programs	Service Planning
 <u>February 2020</u>	
Adopted Budget/Financial Plan 2020	Management & Budget
2018 Annual Operating Results	Operations
2018 Annual RCM Fleet Maintenance Report	Operations
Diversity/EEO Report – 4 th Q 2019	Administration/Diversity
2020 Spring Schedule Change	Service Planning
LIRR/MNR PTC Project Update	President
 <u>March 2020</u>	
Annual Strategic Investments & Planning Study	Strategic Investments
Annual Elevator/Escalator Report	Engineering
Spring Trackwork Programs	Service Planning
Customer Satisfaction Survey Report	Public Affairs
PTC Status Report	Engineering
 <u>April 2020</u>	
Final Review of 2019 Operating Budget Results	Management & Budget

2019 Annual Ridership Report	Finance/Marketing
Annual Inventory Report	Procurement
May Timetable Change & Spring Trackwork Programs	Service Planning
LIRR/MNR PTC Project Update	President

May 2020

Summer Service & Track Work Programs	Service Planning
PTC Status Report	Engineering

June 2020

Diversity/EEO Report – 1 st Q 2020	Administration/Diversity
Track Work Programs	Service Planning
LIRR/MNR PTC Project Update	President

July 2020

Penn Station Retail Development	MTA Real Estate
Environmental Audit	Corporate Safety
September Timetable Change & Trackwork Programs	Service Planning
PTC Status Report	Engineering

September 2020

2021 Preliminary Budget (Public Comment)	Management & Budget Service Planning Engineering Administration/Diversity
2020 Mid-Year Forecast	
Fall Trackwork Programs	
PTC Status Report	
Diversity/EEO Report – 2 nd Quarter 2020	

October 2020

2021 Preliminary Budget (Public Comment)	President Service Planning
LIRR/MNR PTC Project Update	
November Timetable Change & Trackwork Programs	

November 2020

East Side Access Support Projects Update	President/Sr. Staff
Holiday Service & Trackwork Programs	Service Planning
PTC Status Report	Engineering
Review of Committee Charter	Committee Chair & Members

LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

The Committee Chair will request a motion to approve the minutes of the prior month's meeting.

2019 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

President's Report

A Monthly report will be provided highlighting major accomplishments and progress on key initiatives and performance indicators.

Safety Report

A monthly report will be given highlighting key safety performance statistics and indicators

Capital Construction Report

A monthly project update report will be provided for the month reported.

Police Report

MTA Police will highlight the significant police activities incurred during the month reported.

Action Items (if any)

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

Information Items (if any)

Materials presented to the Committee for review pertaining to certain agency initiatives and functions.

Procurements

List of procurement action items requiring Board approval and items for Committee and Board information. The Non-Competitive items will be first, followed by the Competitive items and then the Ratifications. The list will include items that need a 2/3 vote of the Board for approval.

Police Activity Report

MTA Police will highlight the significant police activities incurred during the month reported.

PERFORMANCE SUMMARIES

Operations Report

A monthly report will be given highlighting key operating performance statistics and indicators.

Financial Report

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast.

Ridership Report

A monthly report will be provided that compares actual monthly ticket sales, ridership and revenues against prior year results.

Capital Program Report

A report will be provided highlighting significant capital program accomplishment in the month reported.

II. SPECIFIC AGENDA ITEMS

DECEMBER 2019

Diversity & EEO Report– 3rd Quarter 2019

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as

composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2020 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2020.

Proposed 2020 Committee Work Plan

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2019 that will address initiatives to be reported throughout the year.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

JANUARY 2020

Approval of 2020 Committee Work Plan

The Committee will approve the Proposed Long Island Rail Road Committee Work Plan for 2020 that will address initiatives to be reported on throughout the year.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

FEBRUARY 2020

Adopted Budget/Financial Plan 2020

The Agency will present its revised 2020 Financial Plan. These plans will reflect the 2020 Adopted Budget and an updated Financial Plan for 2019 reflecting the out-year impact of any changes incorporated into the 2019 Adopted Budget.

2019 Annual Operating Results

A review of the prior year's performance of railroad service will be provided to the Committee.

2019 Annual Fleet Maintenance Report

An annual report will be provided to the Committee on the Agency's fleet maintenance plan to address fleet reliability and availability.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and

as amended by the “Positive Train Control Enforcement and Implementation Act of 2015”. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2019

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR’s Equal Employment Opportunity and Diversity efforts, such as composition of the agency’s workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2020 Spring/Summer Construction Schedule Changes

The Committee will be advised of plans to adjust schedules to support construction projects during the spring and summer of 2020.

MARCH 2020

Annual Strategic Investments & Planning Study

A comprehensive annual report will be provided to the Committee of the Agency’s strategic investments & planning studies that will include fleet, facility, infrastructure, station projects, station access improvements, and environmental and feasibility studies.

Annual Elevator/Escalator Report

Annual report to the Committee on system-wide availability for elevators and escalators throughout the system.

Spring Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the Spring of 2019.

Customer Satisfaction Survey Report

The committee will be informed on the results of the 2018 survey distributed to LIRR customers.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

APRIL 2019

Final Review of 2019 Operating Results

A review of the prior year’s budget results and their implications for current and future budget performance will be presented to the Committee.

Annual Inventory Report

The Agency will present its annual report on Inventory.

2019 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2019 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

2020 Summer Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2019.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and

as amended by the “Positive Train Control Enforcement and Implementation Act of 2015”. Highlights to include cost of PTC along with operation and implementation risks.

MAY 2020

2020 Summer Service and Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2020.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

JUNE 2020

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the “Positive Train Control Enforcement and Implementation Act of 2015”. Highlights to include cost of PTC along with operation and implementation risks.

Track Work Programs

This is to inform the Long Island Committee of the MTA Long Island Rail Road’s plans to adjust schedules to support various trackwork programs, Main Line Second Track construction and East Side Access Readiness projects

Diversity & EEO Report– 1st Quarter 2020

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency’s workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

JULY 2020

Penn Station Retail Development

MTA Real Estate will provide an annual report on leasing and construction opportunities and financial and marketing information related to retail development in Penn Station.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

Environmental Audit Report

The Committee will be briefed on the results of the 2017 environmental audit report which is submitted to NYS Department of Environmental Conservation as required by the Environmental Audit Act, as well as the actions implemented to enhance overall compliance, monitoring and reporting.

September Timetable & Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2020.

SEPTEMBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

2020 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

Diversity & EEO Report– 2nd Quarter 2019

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

OCTOBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

NOVEMBER 2020

Review Committee Charter

Annual review of Long Island Committee Charter for Committee revision/approval.

East Side Access Support Projects Update

The Committee will be briefed on the status of the East Side Access Support Projects.

Holiday Schedule

The Committee will be informed of Agency's service plans for the Thanksgiving and Christmas/New Year's holiday periods.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

2019 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chairs & Members
2019 Committee Work Plan	Committee Chairs & Members
President's Report	President/Senior Staff
Safety Report	
MTA Police Report	
Information Items (if any)	
Action Items (if any)	
Procurements	
Agency Reports	Senior Staff
Operations	
Finance	
Ridership	
Capital Program	

II. SPECIFIC AGENDA ITEMS

Responsibility

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December 2019

2020 Final Proposed Budget	Finance
2020 Proposed Committee Work Plan	Committee Chairs & Members
Diversity/EEO Report – 3 rd Quarter 2019	Diversity and EEO
LIRR/MNR PTC Project Update	President

January 2020

Approval of 2020 Committee Work Plan	Committee Chairs & Members
Track Program Quarterly Update	Engineering
PTC Status Report	Engineering

February 2020

Adopted Budget/Financial Plan 2020	Finance
2019 Annual Operating Results	Operations
2019 Annual Fleet Maintenance Report	Operations
LIRR/MNR PTC Project Update	President
Diversity/EEO Report – 4 th Quarter 2019	Diversity and EEO
2020 Spring/Summer Schedule Change	Operations Planning & Analysis

March 2020

Annual Strategic Investments & Planning Studies	Capital Planning
Annual Elevator & Escalator Report	Engineering
Customer Satisfaction Survey Report	Operations Planning & Analysis
PTC Status Report	Engineering

April 2020

Final Review of 2019 Operating Budget Results
2019 Annual Ridership Report
Annual Inventory Report
Track Program Quarterly Update
LIRR/MNR PTC Project Update

Finance
Operations Planning & Analysis
Procurement
Engineering
President

May 2020

PTC Status Report
Progress on Way Ahead Strategic Plan

Engineering
Strategic Initiatives

June 2020

LIRR/MNR PTC Project Update
Diversity/EEO Report – 1st Quarter 2020

President
Diversity and EEO

July 2020

Grand Central Terminal Retail Development
Environmental Audit
Track Program Quarterly Update
PTC Status Report

MTA Real Estate
Environmental Compliance
Engineering
Engineering

September 2020

2021 Preliminary Budget (Public Comment)
2020 Mid-Year Forecast
2020 Fall Schedule Change
PTC Status Report
Diversity/EEO Report – 2nd Quarter 2020

Finance
Finance
Operations Planning & Analysis
Engineering
Diversity and EEO

October 2020

2021 Preliminary Budget (Public Comment)
LIRR/MNR PTC Project Update
Track Program Quarterly Update
Holiday Schedule

Finance
President
Engineering
Operations Planning & Analysis

November 2020

Review of Committee Charter
PTC Status Report
Progress on Way Ahead Strategic Plan

Committee Chair & Members
Engineering
Strategic Initiatives

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

The Committee Chair will request a motion to approve the minutes of the prior month's meeting.

2019 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

President's Report

A monthly report will be provided highlighting major accomplishments and progress on key initiatives and performance indicators.

Safety

A monthly report will be provided highlighting key safety performance statistics and indicators.

Police Activity Report

MTA Police will highlight the significant police activities incurred during the month reported.

Information Items (if any)

Materials presented to the Committee for review pertaining to certain agency initiatives and functions.

Action Items (if any)

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

Procurements

List of procurement action items requiring Board approval. The Non-Competitive items will be first, followed by the Competitive items and then the Ratifications. The list will include items that need a 2/3 vote of the Board for approval.

Operations

A monthly report will be provided highlighting key operating and performance statistics and indicators.

Finance

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast both on an accrual and cash basis.

Ridership

A monthly report will be provided that includes a comparison of actual monthly ticket sales, ridership and revenues with the budget and prior year results.

Capital Program

A monthly report will be provided highlighting significant capital program accomplishments in the month reported.

II. SPECIFIC AGENDA ITEMS

DECEMBER 2019

2020 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2020.

2020 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2020 that will address initiatives to be reported throughout the year.

Diversity & EEO Report– 3rd Quarter 2019

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

JANUARY 2020

Approval of 2020 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2019 that will address initiatives to be reported on throughout the year.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

FEBRUARY 2020

Adopted Budget/Financial Plan 2020

The Agency will present its revised 2020 Financial Plan. These plans will reflect the 2020 Adopted Budget and an updated Financial Plan for 2020 reflecting the out-year impact of any changes incorporated into the 2020 Adopted Budget.

2019 Annual Operating Results

A review of the prior year's performance of railroad service will be provided to the Committee.

2019 Annual Fleet Maintenance Report

An annual report will be provided to the Committee on the Agency's fleet maintenance plan to address fleet reliability and availability.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2019

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2020 Spring/Summer Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines during the spring and summer of 2020.

MARCH 2020

Annual Strategic Investments & Planning Studies

A comprehensive annual report will be provided to the Committee of the Agency's strategic investments & planning studies that will include fleet, facility, infrastructure, station projects, station access improvements, and environmental and feasibility studies.

Annual Elevator/Escalator Report

Annual report to the Committee on system-wide reliability and availability for elevators and escalators throughout the system.

Customer Satisfaction Survey Report

The committee will be informed on the results of the 2019 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

APRIL 2020

Final Review of 2019 Operating Results

A review of the prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

2019 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2019 based on monthly ticket sales data and the results of train ridership counts conducted by Metro-North.

Annual Inventory Report

The Agency will present its annual report on Inventory.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

MAY 2020

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.

JUNE 2020

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 1st Quarter 2020

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

JULY 2020

Grand Central Terminal Retail Development

MTA Real Estate will provide an annual report on leasing and construction opportunities and financial and marketing information related to retail development in Grand Central Terminal.

Environmental Audit Report

The Committee will be briefed on the results of the 2020 environmental audit report which is submitted to NYS Department of Environmental Conservation as required by the Environmental Audit Act, as well as the actions implemented to enhance overall compliance, monitoring and reporting.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

SEPTEMBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

2020 Mid-Year Forecast

The agency will provide the 2020 Mid-Year Forecast financial information for revenue and expense by month.

2020 Fall Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines for the Fall of 2020.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Diversity & EEO Report– 2nd Quarter 2020

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

OCTOBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

Holiday Schedule

The Committee will be informed of Metro-North's service plans for the Thanksgiving and Christmas/New Year's holiday periods.

NOVEMBER 2020

Review of Committee Charter

Annual review and approval of the MNR Committee Charter.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.



Long Island Rail Road

Safety Report Highlights

Safety Instructions

This railroad is considered a heavy industrial work site and, as such, may present certain hazards. To ensure your safety, Long Island Rail Road expects that you will not engage in any unsafe acts and that you will practice proper safety habits (as described below) at all times.

- Always stay in the designated exercise areas. "Out-of-bounds" areas will be posted with yellow signage and/or LIRB personnel.
- Never jump off train equipment, use stairways and ladders, proceed, always maintain the points of contact.
- Do not sit, stand, walk or sleep on any running rail, track or third rail components.
- In the event of an accident or other type of emergency broadcast "CODE RED" immediately and provide location and nature of accident.
- If a "CODE RED" is announced, all exercise activity will stop until the emergency situation is stabilized and controllers announce that it is safe to continue with the exercise.
- The issue of Fall Arisings (i.e. falls, slips, trips & falls, INJURIES) is a high priority.
- Follow your department's standard operating guidelines for Personal Protective Equipment (PPE) appropriate for the surroundings and the emergency situation.
- While on or near any street of access, be careful, look both ways and do not stop traffic. Responders may be active with regular traffic under emergency conditions.
- Report any injuries to the Safety Staff and/or Exercise Coordinators.

These safety practices and any additional instructions provided by Long Island Rail Road representatives and Exercise Coordinators are designed to prevent injuries and/or property damage. Therefore, failure to follow these practices or instructions will result in your immediate removal from Long Island Rail Road property.

Safety Rule of the Day

200 - In case of death or near-death, blame the habit, culture and/or coach designers.

EMERGENCY INSTRUCTIONS

A REAL WORLD EMERGENCY OCCURS:
Once the nearest exercise controller and every team at the emergency, or unsafe condition, by laying:

"CODE RED"

Briefly describe the emergency, or unsafe condition, and include the following information:

- Emergency Type
- Emergency Location

Exercise Schedule

TIME	ACTIVITY
0640	Unit Control/Staff Report Time
0700	Passenger Alerts, Observers and Evaluation Report Time
0730	Safety Walk, Drill Committee & LIRB
0800	Staging of Emergency Responders
0830	Safety Briefing, All Participants Exercise
0900	EXERCISE START: Notification of Simulated Incident, Emergency Response Activation
CONDUCT EXERCISE	
1100	EXERCISE END: Breakdown Emergency Operations
1145	Hot Wash/LIRB & Incident Commanders

MTA Long Island Rail Road



2019 Emergency Responder Exercise Participant Briefing Packet

About the Exercise

The Long Island Rail Road's 2019 Emergency Responder Exercise was designed to provide local first responders with the training and hands-on experience needed to manage rail-based incidents and emergencies.

Date: Sunday, November 3rd, 2019
Location: Sayville Team Yard Sliding
Agencies: MTA-LIRB, Sayville FD, Sayville Community Ambulance

THANK YOU FOR YOUR PART IN MAKING THE 2019 EXERCISE



Media / Guests

- Representatives from the media and guests will be escorted by Long Island Rail Road staff during the exercise.
- Participants and observers may be in photographs and videos that capture exercise activity.
- Participants and observers may be asked to speak to the media and appear on camera, and may elect to do so in accordance with their organizational policies.

Parking

All personal vehicles will be parked in the South West train station lot. Fire and emergency vehicles ONLY will be parked in the South West train station lot.

Restrooms

Restrooms will be available in the train station building.

Incident Vehicle Area

Platform Collapse Area

- All participant must stay clear of red "OUT OF BOUNDS" areas at all times.
- All Observers must remain in the yellow observer area at all times.





Long Island Rail Road

On Sunday, November 3, 2019, the LIRR conducted its annual Passenger Train Emergency Preparedness Drill as required by the Federal Railroad Administration's Title 49 CFR Part 239. The event simulated a westbound passenger diesel train derailling at approximately twenty-five miles per hour after striking a vehicle at the Greeley Avenue crossing on Montauk 1 just west of Sayville Station. A motor vehicle placed at the site and set aflame simulated the damage sustained by a vehicle struck by a train. Victims within the motor vehicle were rescue mannequins. There were multiple simulated injuries within the passenger car. Injured passengers on the train included one wheelchair bound victim and one unconscious victim. The remaining passengers were live volunteers designated with a variety of injuries, conscious, and engaging with first responders. This prompted a Mass Casualty incident and triage operation.

On Long Island, we rely almost solely on volunteer fire departments and ambulance corps as first responders to events on our property. There are unique hazards in the railroad environment. In addition to classroom training and equipment/yard familiarization, these drills provide the Long Island volunteer first responder community a unique opportunity to safely practice their skills and strategies. We appreciate the participation and support of the following agencies: Sayville Fire Department, Sayville Community Ambulance, West Sayville Fire Department, Central Islip-Hauppauge Ambulance, Exchange Ambulance of the Islips, Suffolk County Fire Rescue, Suffolk County Sheriff's Office, Nassau County Emergency Medical Services Academy, MTA Police Department and MTA Police Department Emergency Services Unit, Suffolk County Fire Academy, Sayville High School, Sayville Fire Department Cadets, West Sayville Fire Department Juniors, Suffolk County Community Emergency Response Team, MTA Police Department Explorers, Federal Railroad Administration, NYS Public Transportation Safety Board, NYAR, and MTA Headquarters. LIRR Corporate Safety Fire Marshals worked closely with Employee Training and Corporate Development, Transportation, Maintenance of Equipment, Engineering, and Public Affairs to plan and implement the exercise.

For the reporting period ending October 2019, the average Reportable Customer Injury Rate was 2.06 injuries per million customers as compared to 2.08 injuries per million customers over the same period last year. Slips, trips, and falls generate most injury reports. In partnership with the MTA Police, Together Railroads and Communities Keeping Safe (TRACKS), reached 106,813 participants through the end of October 2019. This represents a five percent increase in participants over the same period last year.

During this reporting period, there was a seven percent increase in the average Reportable Employee Lost Time Injury Rate. The rate increased from 2.97 injuries per 200,000 hours worked to 3.18 injuries per 200,000 hours worked. Soft tissue injuries are the greatest type of injury sustained.

Lori Ebbighausen
Vice President
Corporate Safety

October Safety Report

Statistical results for the 12-Month period are shown below.

Performance				
Performance Indicator	12-Month Average			
	November 2016 - October 2017	November 2017 October 2018	November 2018 October 2019	
FRA Reportable Customer Accident Rate per Million Customers	4.19	2.08	2.06	
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	3.73	2.97	3.18	
	2018		2019	
	October	Year to Date	October	Year to Date
Grade Crossing Incidents ¹	1	7	0	9*
Mainline FRA Reportable Train Derailments	0	1	1	1
Mainline FRA Reportable Train Collisions	0	3	0	1**

¹ Per FRA - Any impact between railroad on-track equipment and a highway user at a highway-rail grade crossing. The term "highway user" includes automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, pedestrians, and all other modes of surface transportation motorized and un-motorized.

* 02/26/2019 School Street is counted as one event, but was reported as two for FRA 49 225 reporting purposes

** 05/25/2019 Speonk Collision is counted as one event, but was reported as two for FRA 49 225 reporting purposes

Leading Indicators				
Focus on Safety Training	2018		2019	
	October	Year to Date	October	Year to Date
First Responders Trained	95	1,929	251	1,504
Employee Safety Training Courses	86	868	97	932
Employees Trained	1,040	10,932	1,450	11,258
Employee Safety Training Hours	19,860	232,810	26,662	220,494
Customer and Community: Focus on Grade Crossings	October	Year to Date	October	Year to Date
Broken Gates	14	96	13	111
MTA Police Details	69	970	84	1,048
Summons	47	986	155	1,536
Warnings	20	426	80	659
Arrests	0	2	0	5
Community Education and Outreach	17,279	101,736	21,951	106,813
	Completed		Total	% Complete
Cameras on Rolling Stock	M7 (Cars)		708	85
	C3 Cab		23	100
	C3 Trailer		88	79
	DE/DM		29	64

First Responders Trained - The number of first responders trained to assist in crisis events.

Employee Safety Training Courses - The number of distinct safety-related courses offered, including technical courses that have a safety element. Repeats are excluded so that each course is counted only once.

Employees Trained - The number of unique employees that attended one or more of these safety-related courses.

Employee Safety Training Hours - The total hours of training completed by employees in all safety-related courses attended.

Broken Gates - The number of events at grade crossing locations where a vehicle broke a crossing gate.

MTA Police Detail - The number of details specifically for the purpose of monitoring behavior at Grade Crossings.

Summons for Grade Crossing Violation and other Infractions- The number of violations issued to a motorist for going around a crossing gate or due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Warnings - The number of warnings issued to motorists due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Community Education and Outreach - The number of participants who attended a TRACKS, Operation LifeSaver, or Railroad Safety Awareness Event.

Cameras on Rolling Stock - Number of complete inward/outward camera installations on rolling stock.

**ELEVATOR AND ESCALATOR INJURY/ENTRAPMENT REPORT
FOR THE MONTH OF NOVEMBER 2019**

Elevators	Mechanical Injury	Human Factor Injury	Entrapment
No Elevator incidents reported in the month of November 2019			

Escalators	Mechanical Injury	Human Factor Injury
Copiague	0	1

Definitions:

Mechanical includes sudden changes in speed, handrail, alignment. **Human Factor** includes lost balance, encumbrances, slip/trip/fall, pushed/shoved, intoxication, caught between, etc. **Entrapment** is defined as when customers are removed from an elevator with special tools or training. These events require intervention but not necessarily involve a customer injury.



Metro-North Railroad

Extreme Danger!

Do **NOT** Cross The Tracks

Do **NOT** Sit or Stand
On Or Around The Tracks

Metro-North, Amtrak & Freight trains can

come
ANY
TIME



on
ANY
TRACK

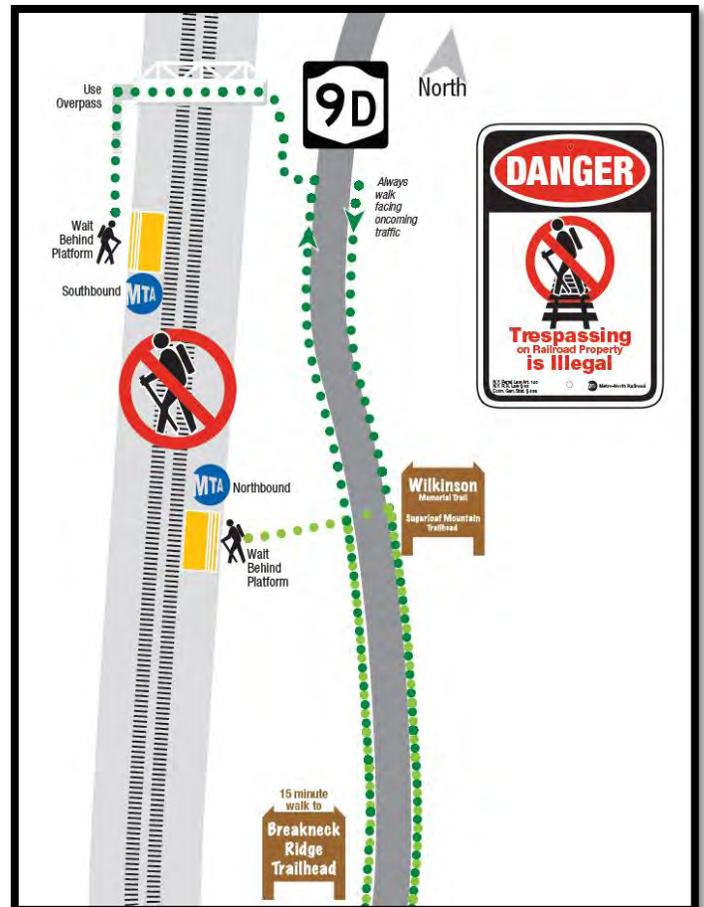


from
ANY
DIRECTION



Trains travel up to **80 MPH**
and **take more than a mile to stop.**

In the event of an **EMERGENCY** on or near the tracks,
call **1-888-682-9117**



Customer Safety Flyer for Breakneck Ridge Station Outreach

Justin R. Vonashek
Vice President
Office of System Safety



Metro-North Railroad

Safety Highlights:

Metro-North's Safety Education Community Outreach program, TRACKS (Together Railroads and Communities Keeping Safe) has reached 104,147 individuals through the end of November 2019 – an 8 percent increase over the same period last year. We are on target to surpass our 2019 goal of promoting safe behaviors at or around railroad tracks and trains to 105,000 individuals throughout Metro-North's operating territory.

With an increase of hikers and visitors throughout the fall foliage season, the Metro-North Office of System Safety, with the support of the MTA PD, conducted rail safety outreach at the Breakneck Ridge Station. The Office of System Safety distributed materials to over 3,000 individuals at Breakneck Ridge Station every weekend during November detailing safe travel paths to and from station platforms.

Metro-North's fourth quarter Safety Focus Week will be held December 9th-15th, highlighting important safety topics such as Drug and Alcohol Testing, Effective Safety Communication, Environmental Compliance, and Winter Safety Tips.

MNR continues to see positive trends in reducing employee lost time injuries. For the current 12-month period (November 2018 – October 2019) versus the previous 12-month period (November 2017 – October 2018), lost time injuries per 200,000 working hours were reduced by 15.8%.

MNR also continues to see positive trends in reducing customer reportable injuries. For the current 12-month period (November 2018 – October 2019) the customer reportable injury rate per one million customer rates decreased by 9.7% versus the previous 12-month period (November 2017 – October 2018).

Justin R. Vonashek
Vice President
Office of System Safety

October 2019 Safety Report

Performance				
Performance Indicator	12-Month Average			
	November 2016 - October 2017	November 2017 - October 2018	November 2018 - October 2019	
FRA Reportable Customer Accident Rate per Million Customers	0.98	1.03	0.93	
FRA Reportable Employee Lost Time Injury Rate per 200,000 worker hours	2.94	2.47	2.08	
	2018		2019	
	October	Year to Date	October	Year to Date
Grade Crossing Incidents ¹	0	1	0	2
Mainline FRA Reportable Train Derailments	0	0	0	0
Mainline FRA Reportable Train Collisions	0	0	0	0

¹ Per FRA - Any impact between railroad on-track equipment and a highway user at a highway-rail grade crossing. The term "highway user" includes automobiles, buses, trucks, motorcycles, bicycles, farm vehicles, pedestrians, and all other modes of surface transportation motorized and un-motorized.

Leading Indicators				
Safety Training	2018		2019	
	October	Year to Date	October	Year to Date
First Responders Trained	219	1,924	243	1,713
Employee Safety Training Courses	141	345	135	315
Employees Trained	2,049	6,253	1,874	6,167
Employee Safety Training Hours	23,960	250,966	23,172	242,631
Customer and Community: Focus on Grade Crossings	2018		2019	
	October	Year to Date	October	Year to Date
Broken Gates	3	26	1	26
MTA Police Details	74	1,104	37	598
Summons	58	589	24	487
Warnings	5	67	10	113
Community Education and Outreach	4,345	96,010	5,616	104,147
Cars Equipped with Cameras	Fleet Size	Total Cars Equipped	% Complete	
Inward / Outward Facing Cab Cameras	956	956	100.00%	
Passenger Compartment Cameras	1,085	1,069	98.53%	

Definitions:

First Responders Trained - The number of first responders trained by MNR's Emergency Management to assist in crisis events, such as train evacuation.

Employee Safety Training Courses - The number of distinct safety-related courses offered, including technical courses that have a safety element. Repeats are excluded so that each course is counted only once.

Employees Trained - The number of unique employees that attended one or more of these safety-related courses.

Employee Safety Training Hours - The total hours of training completed by employees in all safety-related courses attended.

Broken Gates - The number of events at grade crossing locations where a vehicle struck a crossing gate.

MTA Police Detail - The number of details specifically for the purpose of monitoring behavior at Grade Crossings.

Summons - The number of violations issued to a motorist for going around a crossing gate or due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Warnings - The number of warnings issued to motorists due to behavior that put the motorist at risk (i.e. cell phone use, etc.).

Community Education and Outreach - The number of individuals reached at a TRACKS event.

Cars Equipped with Cameras - Number of complete inward/outward and passenger compartment camera installations on rolling stock.



Police Report



Long Island Rail Road

November 2019 Highlights: MTA Police Report

- Long Island Rail Road experienced an increase in the amount of major felonies (10 vs 8) for the month of November compared to the same period last year.
- Year to date Long Island Rail Road is down 8 crimes (82 vs 90).
- There were zero (0) Hate Crimes on Long Island Rail Road for the month of November.

Owen Monaghan
Chief of Police



**METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Long Island Rail Road**

November 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	2	0	2	100%
Felony Assault	2	1	1	100%
Burglary	0	0	0	0%
Grand Larceny	5	7	-2	-29%
Grand Larceny Auto	1	0	1	100%
Total Major Felonies	10	8	2	25%

Year to Date 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	12	8	4	50%
Felony Assault	14	18	-4	-22%
Burglary	5	2	3	150%
Grand Larceny	49	61	-12	-20%
Grand Larceny Auto	2	1	1	100%
Total Major Felonies	82	90	-8	-9%



Metro-North Railroad

November 2019 Highlights: MTA Police Report

- Metro-North Railroad experienced a decrease in the amount of major felonies (10 vs 11) for the month of November compared to the same period last year.
- Year to date Metro-North Railroad is down 12 crimes (112 vs 124).
- There were zero (0) Hate Crimes on Metro-North Railroad for the month of November.

Owen Monaghan
Chief of Police



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Metro North Railroad

November 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	1	0	0%
Felony Assault	0	3	-3	-100%
Burglary	0	1	-1	-100%
Grand Larceny	8	6	2	33%
Grand Larceny Auto	1	0	1	100%
Total Major Felonies	10	11	-1	-9%

Year to Date 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	15	15	0	0%
Felony Assault	14	20	-6	-30%
Burglary	7	17	-10	-59%
Grand Larceny	70	71	-1	-1%
Grand Larceny Auto	6	1	5	500%
Total Major Felonies	112	124	-12	-10%



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
System Wide

November 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	3	1	2	200%
Felony Assault	2	4	-2	-50%
Burglary	0	1	-1	-100%
Grand Larceny	13	13	0	0%
Grand Larceny Auto	2	0	2	100%
Total Major Felonies	20	19	1	5%

Year to Date 2019 vs. 2018

	2019	2018	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	31	26	5	19%
Felony Assault	30	40	-10	-25%
Burglary	15	19	-4	-21%
Grand Larceny	120	137	-17	-12%
Grand Larceny Auto	8	2	6	300%
Total Major Felonies	204	224	-20	-9%



Metropolitan Transportation Authority Police Department

Hate Crimes Report (January - November 2019)

Motivation	2019	2018	Diff	% Change
Asian	0	0	0	0 %
Black	7	6	1	16 %
Ethnic	0	0	0	0 %
Gender	0	0	0	0 %
Hispanic	0	2	-2	-100 %
Muslim	0	0	0	0 %
Other	1	1	0	0 %
Anti-Semitic	14	16	-2	-12 %
Sexual Orientation	1	1	0	0 %
White	1	0	1	0 %
Motivation Total	24	26	-2	-7 %

Crime Name	2019	2018	Diff	% Change
Aggravated Harassment #1	0	3	-3	-100 %
Aggravated Harassment #2	2	2	0	0 %
Felony Assault	1	0	1	0 %
Misdemeanor Assault	0	1	-1	-100 %
Criminal Mischief #3	1	0	1	0 %
Criminal Mischief #4	20	20	0	0 %
Grand Larceny #4	0	0	0	0 %
Menacing #2	0	0	0	0 %
Robbery #2	0	0	0	0 %
Crime Total	24	26	-2	-7 %

INDEX CRIME REPORT
Per Day Average
November 2019

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	0	0	0	0
Robbery	3	2	1	0
Fel. Assault	2	2	0	0
Burglary	0	0	0	0
Grand Larceny	13	5	8	0
GLA	2	1	1	0
Total	20	10	10	0
Crimes Per Day	0.67	0.33	0.33	0.00



MTA Police Department Arrest Summary: Department Totals

1/1/2019 to 11/30/2019

Arrest Classification	Total Arrests	
	2019	2018
Robbery	27	35
Felony Assault	42	44
Burglary	13	21
Grand Larceny	47	57
Grand Larceny Auto	3	2
Aggravated Harassment	4	4
Aggravated Unlicensed Operator	20	15
Arson	4	0
Assault-Misdemeanor	75	68
Breach of Peace	12	18
Child Endangerment	3	1
Conspiracy	0	1
Criminal Contempt	13	8
Criminal Impersonation	8	9
Criminal Mischief	42	50
Criminal Possession Stolen Property	7	15
Criminal Tampering	2	0
Criminal Trespass	42	44
Disorderly Conduct	1	2
Drug Offenses	134	145
DUI Offenses	8	17
Falsely Reporting an Incident	7	9
Forgery	40	55
Fraudulent Accosting	10	3
Graffiti	33	22
Harassment	0	1
Identity Theft	1	0
Issue a Bad Check	2	0
Make Terrorist Threat	0	3
Menacing	13	21
NYC Admin Code	0	2
Obstruct Government	8	11
Petit Larceny	178	153
Public Lewdness	29	28
Reckless Endangerment	9	6
Resisting Arrest	42	46
Sex Offenses	20	24
Stalking	1	1
Theft of Services	232	218
Unlawful Imprisonment/Kidnapping	1	0
Unlawful Surveillance	1	0
VTL Offenses	4	1
Warrant Arrest	68	122
Weapons Offenses	5	13
Unauthorized Use Vehicle	1	1
Total Arrests	1,212	1,296



Long Island Rail Road

ACTION

ITEMS



Subject LIRR 2020 Budget & 2020-2023 Financial Plan Adoption
Department Office of Management & Budget
Department Head Name Francis Landers
Department Head Signature
Project Manager Name

Date December 4, 2019
Vendor Name
Contract Number
Contract Manager Name
Table of Contents Ref #

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR & LIRR Committee	12/16/19	X		
2	Finance Committee	12/16/19	X		
3	MTA Board	12/18/19	X		

Internal Approvals			
Order	Approval	Order	Approval
3	President <i>PS</i>		VP Svc PIng Tech & CPM
	Exec Vice President		VP Mkt Dev & Public Affairs
	Sr. VP Operations		General Counsel
	VP Labor Relations	2	VP & CFO <i>my</i>

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
1	Exec Dir Mgmt & Budget						

Purpose

To secure MTA Board adoption of the MTA Long Island Rail Road's (LIRR) 2019 November Forecast, 2020 Final Proposed Budget, and the Four-Year Financial Plan for 2020 – 2023.

Discussion

The 2020 Final Proposed Budget, which is consistent with information presented to the Board in November, provides sufficient funding to maintain the Long Island Rail Road's commitment to provide safe, secure and reliable transportation and first-class customer service to the metropolitan New York region. The 2020 Final Proposed Budget continues funding initiatives in support of these goals. The LIRR projections do not include the estimated impacts from projected fare increases and MTA policy actions. These impacts will be presented as part of MTA consolidated materials.

The LIRR's financial plan contains funding to support the LIRR's ongoing safety initiatives, asset maintenance efforts and system expansion projects. It reflects the full integration of the LIRR Forward philosophy into how the LIRR manages every day. Particular attention is being paid to customer communication and operational resiliency. The financial plan focuses on Reliability Centered Maintenance (RCM) for rolling stock to ensure maximum fleet availability and on maintenance of the right-of way to maintain a state of good repair. This is particularly important as many components will enter critical maintenance stages. Funding and resources also are included to maintain the new Positive Train Control (PTC) system, both onboard trains and along the right of way. The financial plan also reflects ramp-up costs for East Side Access (ESA) readiness efforts and other operating budget impacts including Moynihan Station, Belmont Park and Main Line Expansion.

Achieving an efficient operation remains a priority. The baseline projections outlined below reflect both continued financial savings from past non-service related budget reduction initiatives and new or enhanced reduction initiatives. The LIRR continues to subject all areas of the budget to intensive review.

2019 November Forecast - Baseline

Non-Reimbursable/Reimbursable expenses for the 2019 November Forecast before non-cash liability adjustments total \$1,973.8 million. This is comprised of \$1,544.8 million of Non-Reimbursable expenses and \$429.0 million of Reimbursable expenses. Total Non-Reimbursable/Reimbursable revenue for the 2019 November Forecast is \$1,241.9 million. This is comprised of \$812.9 million of Non-Reimbursable revenue and \$429.0 million of Reimbursable revenue. Total positions are 7,682.

The Non-Reimbursable revenue for the 2019 November Forecast of \$812.9 million includes Farebox Revenue projections of \$771.1 million. This is based on a projected annual ridership of 91.3 million customers, which is a 1.5 million increase over 2018. The Forecast also assumes \$41.8 million in other revenue from advertising, rental fees, freight and other miscellaneous revenue.

Excluding non-cash liability adjustments, Non-Reimbursable expenses for the 2019 November Forecast totals \$1,544.8 million. Including non-cash liability adjustments, total Non-Reimbursable expenses for the 2019 November Forecast increases to \$2,029.7 million. The cash adjustments for non-cash items and timing of expenses/receipts total \$486.2 million. The resulting Net Cash Deficit is projected to be \$730.6 million in 2019.

Total Non-Reimbursable positions is 6,561 positions. Total Reimbursable positions is 1,121.

2020 Final Proposed Budget - Baseline

Non-Reimbursable/Reimbursable expenses for the 2020 Final Proposed Budget before non-cash liability adjustments are \$2,161.8 million, comprised of \$1,775.4 million of Non-Reimbursable expenses and \$386.5 million of Reimbursable expenses. The total Non-Reimbursable/Reimbursable revenue for the 2020 Final Proposed Budget is \$1,203.9 million, comprised of \$817.5 million of Non-Reimbursable revenue and \$386.5 million of Reimbursable revenue.

The Non-Reimbursable revenue for the 2020 Final Proposed Budget of \$817.5 million includes Passenger Revenue projections of \$781.4 million and \$36.1 million in other revenue from advertising and rental fees. The Farebox revenue is based on a projected annual ridership of 91.8 million passengers, which is a 0.6% increase over 2019. Excluding non-cash liability adjustments, Non-Reimbursable expenses for the 2020 Final Proposed Budget totals \$1,775.4 million. Including non-cash liability adjustments, total Non-Reimbursable expenses for the 2020 Final Proposed Budget increases to \$2,220.4 million. Cash adjustments for non-cash items and timing of expenses/receipts total \$431.6 million. The resulting Net Cash Deficit is projected to be \$971.3 million in 2020.

The Non-Reimbursable expense budget, before non-cash liability adjustments, of \$1,775.4 million is comprised of \$1,284.0 million in labor expenses (payroll and benefits), which represent 72.1% of total expenses. The balance of the expenses is non-payroll and are related to the operation and maintenance of the fleet and infrastructure, with expenses allocated for electric power and fuel of \$116.4 million, materials & supplies of \$188.9.0 million, professional and maintenance services contracts of \$136.6 million and all other costs of \$49.5 million.

Total Non-Reimbursable headcount is 6,668 positions. Total Reimbursable headcount is 1,222 positions. The Total Non-Reimbursable/Reimbursable headcount is 7,891, of which 90.5 percent are in the operating departments.

Budget Reduction Initiatives

Tighter management control and increased oversight of non-payroll budgets, reduced fleet maintenance costs, improved efficiency of right of way maintenance and train service support functions, operating efficiencies within core operations/ESA, LIRR Forward reductions, crew book efficiencies and reduced administrative positions result in savings of \$200 million and 201 operating positions over the financial plan.

Impact on Funding

The 2019 November Forecast, 2020 Final Proposed Budget and the Four-Year Financial Plan 2020 – 2023, which are presented in the attached tables, are consistent with the proposed MTA Financial Plan.

Recommendation

It is recommended that the MTA Board adopt the 2019 November Forecast, the 2020 Final Proposed Budget and the Four-Year Financial Plan for 2020 – 2023 for the MTA Long Island Rail Road.

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Non-Reimbursable						
Operating Revenue						
Farebox Revenue	\$740,477	\$771,110	\$781,384	\$785,778	\$793,424	\$802,571
Other Operating Revenue	49,206	41,819	36,076	37,059	37,518	37,697
Capital and Other Reimbursements	0,000	0,000	0,000	0,000	0,000	0,000
Total Revenues	\$789,683	\$812,929	\$817,460	\$822,837	\$830,942	\$840,268
Operating Expense						
Labor:						
Payroll	\$536,064	\$572,367	\$634,918	\$662,983	\$675,231	\$696,093
Overtime	151,021	153,440	151,226	163,893	171,779	175,302
Health and Welfare	107,952	114,640	134,091	147,419	157,212	167,181
OPEB Current Payments	61,676	63,893	74,468	78,101	82,312	87,391
Pension	123,361	135,488	141,703	150,642	145,629	145,045
Other Fringe Benefits	151,612	144,422	157,663	166,344	172,351	177,727
Reimbursable Overhead	(54,575)	(38,721)	(10,054)	(13,994)	(26,315)	(24,061)
Total Labor Expenses	\$1,077,111	\$1,145,529	\$1,284,015	\$1,355,388	\$1,378,200	\$1,424,679
Non-Labor:						
Electric Power	\$88,946	\$83,783	\$95,970	\$99,580	\$118,547	\$123,486
Fuel	21,068	20,569	20,380	19,791	19,668	20,095
Insurance	19,880	20,494	23,088	25,585	27,917	30,540
Claims	13,505	6,894	4,546	4,612	4,682	4,755
Paratransit Service Contracts	0,000	0,000	0,000	0,000	0,000	0,000
Maintenance and Other Operating Contracts	73,056	66,864	88,997	100,639	99,693	105,889
Professional Services Contracts	46,658	37,928	47,610	44,700	34,949	36,071
Materials and Supplies	136,464	142,775	188,924	183,366	186,448	193,683
Other Business Expenses	14,178	19,998	21,822	22,375	21,917	22,225
Total Non-Labor Expenses	\$413,753	\$399,306	\$491,336	\$500,647	\$513,821	\$536,745
Other Expense Adjustments:						
Other Expense Adjustments	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000
Total Other Expense Adjustments	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000	\$0,000
Total Expenses Before Depreciation and GASB Adjs.	\$1,490,865	\$1,544,836	\$1,775,351	\$1,856,035	\$1,892,021	\$1,961,424
Depreciation	\$362,333	\$397,085	\$397,510	\$401,806	\$405,783	\$409,799
OPEB Liability Adjustment	0,000	0,000	0,000	0,000	0,000	0,000
GASB 75 OPEB Expense Adjustment	133,232	99,584	52,144	39,059	20,663	0,452
GASB 68 Pension Expense Adjustment	(5,492)	(13,800)	(6,600)	(37,400)	(29,000)	2,500
Environmental Remediation	1,936	2,000	2,000	2,000	2,000	2,000
Total Expenses	\$1,982,875	\$2,029,705	\$2,220,405	\$2,261,500	\$2,291,467	\$2,376,175
Net Surplus/(Deficit)	(\$1,193,192)	(\$1,216,776)	(\$1,402,945)	(\$1,438,663)	(\$1,460,525)	(\$1,535,907)
Cash Conversion Adjustments						
Depreciation	\$362,333	\$397,085	\$397,510	\$401,806	\$405,783	\$409,799
Operating/Capital	(19,188)	(16,534)	(23,600)	(13,667)	(12,274)	(13,167)
Other Cash Adjustments	149,808	105,613	57,734	0,005	(9,027)	3,841
Total Cash Conversion Adjustments	\$492,953	\$486,163	\$431,644	\$388,145	\$384,481	\$400,473
Net Cash Surplus/(Deficit)	(\$700,239)	(\$730,613)	(\$971,302)	(\$1,050,518)	(\$1,076,044)	(\$1,135,434)

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Reimbursable						
Operating Revenue						
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Other Operating Revenue	0.000	0.000	0.000	0.000	0.000	0.000
Capital and Other Reimbursements	510.390	428.961	386.456	351.738	350.466	332.424
Total Revenues	\$510.390	\$428.961	\$386.456	\$351.738	\$350.466	\$332.424
Operating Expense						
Labor:						
Payroll	\$138.072	\$131.468	\$138.978	\$133.389	\$129.876	\$124.209
Overtime	67.694	45.804	51.012	46.198	43.038	37.516
Health and Welfare	34.846	31.373	28.320	26.726	25.693	24.044
OPEB Current Payments	0.000	0.000	0.000	0.000	0.000	0.000
Pension	50.993	46.651	46.012	43.423	41.744	39.066
Other Fringe Benefits	37.428	32.199	28.959	27.330	26.273	24.587
Reimbursable Overhead	54.575	38.721	10.054	13.994	26.315	24.081
Total Labor Expenses	\$383.608	\$326.217	\$303.334	\$291.061	\$292.938	\$273.482
Non-Labor:						
Electric Power	\$1.299	\$0.596	\$0.268	\$0.268	\$0.268	\$0.268
Fuel	0.052	0.000	0.000	0.000	0.000	0.000
Insurance	8.478	8.124	9.975	9.341	9.218	9.611
Claims	0.000	0.000	0.000	0.000	0.000	0.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	34.502	25.074	16.679	13.037	12.941	12.801
Professional Services Contracts	8.473	1.762	1.044	0.682	0.696	0.709
Materials and Supplies	72.519	66.419	54.763	36.979	34.050	35.219
Other Business Expenses	1.459	0.768	0.393	0.370	0.356	0.333
Total Non-Labor Expenses	\$126.782	\$102.744	\$83.122	\$60.677	\$57.528	\$58.941
Other Expense Adjustments:						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses Before Depreciation	\$510.390	\$428.961	\$386.456	\$351.738	\$350.466	\$332.424
Net Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
<u>Non-Reimbursable / Reimbursable</u>						
Operating Revenue						
Farebox Revenue	\$740.477	\$771.110	\$781.384	\$785.778	\$793.424	\$802.571
Other Operating Revenue	49.206	41.819	36.076	37.059	37.518	37.697
Capital and Other Reimbursements	510.390	428.981	386.456	351.738	350.466	332.424
Total Revenues	\$1,300.073	\$1,241.889	\$1,203.916	\$1,174.575	\$1,181.408	\$1,172.692
Operating Expense						
<u>Labor:</u>						
Payroll	\$674.137	\$703.835	\$773.896	\$796.372	\$805.107	\$820.301
Overtime	218.715	199.245	202.237	210.092	214.817	212.818
Health and Welfare	142.798	146.013	162.411	174.145	182.904	191.226
OPEB Current Payments	61.676	63.893	74.468	78.101	82.312	87.391
Pension	174.354	182.139	187.715	194.065	187.373	184.111
Other Fringe Benefits	189.039	176.621	186.622	193.674	198.624	202.314
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
Total Labor Expenses	\$1,460.720	\$1,471.746	\$1,587.350	\$1,646.449	\$1,671.138	\$1,698.161
<u>Non-Labor:</u>						
Electric Power	\$90.245	\$84.379	\$96.238	\$99.848	\$118.815	\$123.754
Fuel	21.120	20.569	20.380	19.791	19.668	20.095
Insurance	28.358	28.618	33.063	34.925	37.135	40.151
Claims	13.505	6.894	4.546	4.612	4.682	4.755
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	107.558	91.939	105.675	113.676	112.634	118.691
Professional Services Contracts	55.130	39.690	48.654	45.382	35.645	36.780
Materials and Supplies	208.983	209.195	243.687	220.345	220.497	228.902
Other Business Expenses	15.637	20.767	22.214	22.745	22.273	22.558
Total Non-Labor Expenses	\$540.536	\$502.050	\$574.458	\$561.324	\$571.350	\$595.686
<u>Other Expense Adjustments:</u>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses Before Depreciation and GASB Adjs.	\$2,001.255	\$1,973.796	\$2,161.808	\$2,207.773	\$2,242.488	\$2,293.847
Depreciation	\$362.333	\$397.085	\$397.510	\$401.806	\$405.783	\$409.799
OPEB Liability Adjustment	0.000	0.000	0.000	0.000	0.000	0.000
GASB 75 OPEB Expense Adjustment	133.232	99.584	52.144	39.059	20.663	0.452
GASB 68 Pension Expense Adjustment	(5.492)	(13.800)	(6.600)	(37.400)	(29.000)	2.500
Environmental Remediation	1.936	2.000	2.000	2.000	2.000	2.000
Total Expenses	\$2,493.266	\$2,458.665	\$2,606.862	\$2,613.238	\$2,641.933	\$2,708.599
Net Surplus/(Deficit)	(\$1,193.192)	(\$1,216.776)	(\$1,402.945)	(\$1,438.663)	(\$1,460.525)	(\$1,535.907)
Cash Conversion Adjustments						
Depreciation	\$362.333	\$397.085	\$397.510	\$401.806	\$405.783	\$409.799
Operating/Capital	(19.188)	(16.534)	(23.600)	(13.667)	(12.274)	(13.167)
Other Cash Adjustments	149.808	105.613	57.734	0.005	(9.027)	3.841
Total Cash Conversion Adjustments	\$492.953	\$486.163	\$431.644	\$388.145	\$384.481	\$400.473
Net Cash Surplus/(Deficit)	(\$700.239)	(\$730.613)	(\$971.302)	(\$1,050.518)	(\$1,076.044)	(\$1,135.434)

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Cash Receipts and Expenditures
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Cash Receipts and Expenditures						
Receipts						
Farebox Revenue	\$763.083	\$781.755	\$797.384	\$801.778	\$809.424	\$818.571
Other Operating Revenue	31.130	32.763	24.475	24.705	24.857	24.737
Capital and Other Reimbursements	491.745	417.225	362.398	337.542	337.654	318.708
Total Receipts	\$1,285.958	\$1,231.743	\$1,184.257	\$1,164.025	\$1,171.935	\$1,162.016
Expenditures						
Labor:						
Payroll	\$668.506	\$694.887	\$767.513	\$789.845	\$798.435	\$813.478
Overtime	215.582	199.245	202.237	210.092	214.817	212.818
Health and Welfare	149.992	131.471	162.411	174.145	182.904	191.226
OPEB Current Payments	65.568	59.799	74.468	78.101	82.312	87.391
Pension	169.624	179.857	187.715	194.065	187.373	184.111
Other Fringe Benefits	180.524	179.864	185.622	192.674	197.624	201.314
Contribution to GASB Fund	0.000	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
Total Labor Expenditures	\$1,449.797	\$1,445.123	\$1,579.966	\$1,638.922	\$1,663.465	\$1,690.338
Non-Labor:						
Electric Power	\$91.115	\$84.379	\$96.238	\$99.848	\$118.814	\$123.755
Fuel	21.386	20.569	20.380	19.790	19.668	20.095
Insurance	27.511	28.481	32.742	34.572	37.796	39.752
Claims	2.599	5.723	1.822	1.837	1.852	1.867
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	94.825	108.055	105.675	113.676	112.634	118.691
Professional Services Contracts	36.223	37.730	38.155	34.357	24.069	24.625
Materials and Supplies	226.430	196.453	239.605	229.975	228.531	236.836
Other Business Expenses	16.460	22.982	24.976	25.566	25.150	25.491
Total Non-Labor Expenditures	\$516.549	\$504.372	\$559.593	\$559.621	\$568.514	\$591.112
Other Expenditure Adjustments:						
Other	\$16.711	\$16.000	\$16.000	\$16.000	\$16.000	\$16.000
Total Other Expense Adjustments	\$16.711	\$16.000	\$16.000	\$16.000	\$16.000	\$16.000
Total Expenditures	\$1,983.058	\$1,965.495	\$2,155.559	\$2,214.543	\$2,247.979	\$2,297.450
Net Cash Balance	(\$697.100)	(\$733.752)	(\$971.302)	(\$1,050.518)	(\$1,076.044)	(\$1,135.434)
Cash Timing and Availability Adjustment	(3.139)	3.139	(0.000)	(0.000)	(0.000)	(0.000)
Net Cash Balance after Cash Timing & Availability Adj	(\$700.239)	(\$730.613)	(\$971.302)	(\$1,050.518)	(\$1,076.044)	(\$1,135.434)

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Cash Conversion (Cash Flow Adjustments)
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Cash Flow Adjustments						
Receipts						
Farebox Revenue	\$22,606	\$10,645	\$16,000	\$16,000	\$16,000	\$16,000
Other Operating Revenue	(18,076)	(9,056)	(11,601)	(12,354)	(12,661)	(12,960)
Capital and Other Reimbursements	(18,645)	(11,736)	(24,058)	(14,196)	(12,812)	(13,716)
Total Receipts	(\$14,116)	(\$10,146)	(\$19,659)	(\$10,550)	(\$9,473)	(\$10,676)
Expenditures						
Labor:						
Payroll	\$5,630	\$8,948	\$6,383	\$6,527	\$6,672	\$6,823
Overtime	3,133	0,000	0,000	0,000	0,000	0,000
Health and Welfare	(7,195)	14,542	0,000	0,000	0,000	0,000
OPEB Current Payments	(3,892)	4,094	0,000	0,000	0,000	0,000
Pension	4,730	2,282	0,000	0,000	0,000	0,000
Other Fringe Benefits	8,516	(3,243)	1,000	1,000	1,000	1,000
Contribution to GASB Fund	0,000	0,000	0,000	0,000	0,000	0,000
Reimbursable Overhead	0,000	0,000	0,000	0,000	0,000	0,000
Total Labor Expenditures	\$10,923	\$26,623	\$7,384	\$7,527	\$7,673	\$7,823
Non-Labor:						
Electric Power	(\$0,870)	\$0,000	0,000	\$0,000	\$0,001	(\$0,001)
Fuel	(0,266)	0,000	0,000	0,001	0,000	0,000
Insurance	0,847	0,137	0,321	0,353	(0,661)	0,399
Claims	10,906	1,171	2,724	2,775	2,830	2,888
Paratransit Service Contracts	0,000	0,000	0,000	0,000	0,000	0,000
Maintenance and Other Operating Contracts	12,733	(16,116)	0,000	0,000	0,000	0,000
Professional Services Contracts	18,907	1,960	10,500	11,025	11,576	12,155
Materials and Supplies	(17,448)	12,742	4,082	(9,630)	(8,034)	(7,934)
Other Business Expenses	(0,823)	(2,215)	(2,762)	(2,821)	(2,877)	(2,933)
Total Non-Labor Expenditures	\$23,986	(\$2,322)	\$14,865	\$1,703	\$2,836	\$4,574
Other Expenditure Adjustments:						
Other Expense Adjustments	(\$16,711)	(\$16,000)	(\$16,000)	(\$16,000)	(\$16,000)	(\$16,000)
Total Other Expenditure Adjustments	(\$16,711)	(\$16,000)	(\$16,000)	(\$16,000)	(\$16,000)	(\$16,000)
Total Expenditures	\$18,198	\$8,301	\$6,249	(\$6,771)	(\$5,491)	(\$3,602)
Total Cash Conversion Adjustments before Depreciation	\$4,082	(\$1,845)	(\$13,410)	(\$17,321)	(\$14,964)	(\$14,278)
Depreciation	\$362,333	\$397,085	\$397,510	\$401,806	\$405,783	\$409,799
OPEB Liability Adjustment	0,000	0,000	0,000	0,000	0,000	0,000
GASB 75 OPEB Expense Adjustment	133,232	99,584	52,144	39,059	20,663	0,452
GASB 68 Pension Expense Adjustment	(5,492)	(13,800)	(6,600)	(37,400)	(29,000)	2,500
Environmental Remediation	1,936	2,000	2,000	2,000	2,000	2,000
Cash Timing and Availability Adjustment	(3,139)	3,139	0,000	0,000	0,000	0,000
Total Cash Conversion Adjustments	\$492,953	\$486,163	\$431,644	\$388,145	\$384,481	\$400,473

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Ridership (Utilization)
(in millions)

	Actual	November	Final			
	2018	Forecast	Proposed	2021	2022	2023
		2019	Budget			
			2020			

RIDERSHIP

Monthly Ridership	48.731	48.032	48.470	48.531	49.258	50.374
Weekly Ridership	2.101	2.445	2.456	2.467	2.472	2.471
Total Commutation	50.832	50.478	50.927	50.998	51.730	52.845
One-way Full Fare	9.258	10.019	10.003	10.076	10.157	10.154
One-way Off-Peak	18.638	19.107	19.184	19.321	19.477	19.473
All Other	11.044	11.647	11.664	11.760	11.916	11.913
Total Non-Commutation	38.941	40.773	40.850	41.157	41.549	41.540
Total Ridership	89.773	91.250	91.777	92.155	93.279	94.385

FAREBOX REVENUE

Baseline Total Farebox Revenue	\$740.477	\$771.110	\$781.384	\$785.778	\$793.424	\$802.571
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MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020-2023
2019 Budget Reduction Summary
(\$ in millions)

	Favorable/(Unfavorable)									
	Pos.	2019	Pos.	2020	Pos.	2021	Pos.	2022	Pos.	2023
Administration										
Eliminate Administration Positions (July Plan)	-	0.000	12	2.059	12	2.100	12	2.143	12	2.193
<i>Subtotal Administration</i>	-	0.000	12	2.059	12	2.100	12	2.143	12	2.193
Customer Convenience/Amenities										
Reduce Customer Support through efficiencies. (July Plan)	-	0.000	3	0.301	3	0.307	3	0.313	3	0.320
Reduce/Eliminate Ticket Office Hours (July Plan)	-	0.000	4	0.722	4	0.730	4	0.736	4	0.691
Do not accept cash on board trains (MTA Pilot) (July Plan)	-	0.000	10	1.184	10	1.238	10	1.268	10	1.304
Do not accept cash on board trains (December Budget Adoption)	-	0.000	(10)	(1.184)	(10)	(1.238)	(10)	(1.268)	(10)	(1.304)
<i>Subtotal Customer Convenience/Amenities</i>	-	0.000	6	1.024	6	1.037	6	1.049	6	1.011
Maintenance										
LIRR Forward Reductions (July Plan)	-	0.000	15	2.164	15	2.210	15	2.258	15	2.315
Fleet Maintenance Initiatives (July Plan)	-	0.000	5	9.093	5	9.089	5	9.087	5	9.079
Enterprise Asset Management (July Plan)	-	0.000	-	0.180	-	0.180	-	0.180	-	0.180
Right of Way Maintenance Support Efficiencies (July Plan)	-	0.000	5	0.844	6	1.013	6	1.108	6	1.133
Reduction in budgeted overtime hours based on more efficient use of resources (July Plan)	-	0.000	-	0.542	-	0.554	-	0.565	-	0.577
Employee Facility Cleaning (July Plan)	-	0.000	1	0.053	1	0.058	1	0.061	1	0.064
Improve efficiency of right of way maintenance (July Plan)	-	0.000	5	0.601	11	1.333	20	2.485	26	3.302
Operating Efficiencies within Core Operations/East Side Access (July Plan)	-	0.000	83	20.762	83	20.762	83	20.762	83	20.762
Tighter Control and Prioritization of Non Payroll Funds to Core Mission Initiatives (July Plan)	-	0.000	-	5.009	-	3.840	-	2.343	-	1.262
Tighter Control and Prioritization of Non Payroll Funds to Core Mission Initiatives (December Budget Adoption)	-	0.000	-	1.184	-	1.238	-	1.268	-	1.304
<i>Subtotal Maintenance</i>	-	0.000	114	40.433	121	40.276	130	40.117	136	39.978
Revenue Enhancement										
Fare Evasion Strategy - Debit/Credit Card (July Plan)	-	0.000	-	0.500	-	0.500	-	0.500	-	0.500
<i>Subtotal Revenue Enhancement</i>	-	0.000	-	0.500	-	0.500	-	0.500	-	0.500
Safety										
<i>Subtotal Safety</i>	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Security										
<i>Subtotal Security</i>	-	0.000	-	0.000	-	0.000	-	0.000	-	0.000
Service										
Service Adjustments Within Guidelines (July Plan)	-	0.000	5	1.600	5	1.611	5	1.620	5	1.634
<i>Subtotal Service</i>	-	0.000	5	1.600	5	1.611	5	1.620	5	1.634
Service Support										
Crew Book Efficiencies (July Plan)	-	0.000	24	2.855	24	2.913	24	2.975	24	3.047
Train Service Support Efficiencies (July Plan)	-	0.000	8	1.273	8	1.300	8	1.327	8	1.360
<i>Subtotal Service Support</i>	-	0.000	32	4.129	32	4.213	32	4.302	32	4.407
Other										
Homeless Outreach Bowery Residences' Committee (BRC) (July Plan)	-	0.000	-	0.256	-	0.263	-	0.269	-	0.276
<i>Subtotal Other</i>	-	0.000	-	0.256	-	0.263	-	0.269	-	0.276
Total Non-Reimbursable BRP	-	\$0.000	169	\$50.000	176	\$50.000	185	\$50.000	191	\$50.000
Reimbursable BRP										
Capital Program										
Capital and Other Reimbursements Reduction (July Plan)	-	\$0.000	-	(\$23.278)	160	(\$23.278)	160	(\$23.278)	160	(\$23.278)
Reimbursable Expense Reduction (July Plan)	-	0.000	-	23.278	-	23.278	-	23.278	-	23.278
Total Reimbursable BRP	-	\$0.000	-	\$0.000	160	\$0.000	160	\$0.000	160	\$0.000
Total Non-Reimbursable and Reimbursable BRP	-	\$0.000	169	\$50.000	336	\$50.000	345	\$50.000	351	\$50.000

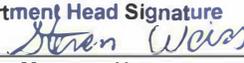
MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020-2023
Total Positions by Function and Department
Non-Reimbursable/Reimbursable and Full-Time/Full Time Equivalents

FUNCTION/DEPARTMENT	2018 Actual	2019 November Forecast	2020 Final Proposed Budget	2021	2022	2023
Administration						
Executive VP	2	2	2	2	2	2
Enterprise Asset Management	6	7	7	7	7	7
Sr Vice President - Engineering	2	2	2	8	8	14
Labor Relations	18	18	18	18	18	18
Procurement & Logistics (excl. Stores)	64	75	71	68	66	64
Human Resources	34	39	39	39	39	39
Sr VP Administration	2	2	2	2	2	2
Strategic Investments	18	15	15	15	15	15
President	6	10	9	9	9	9
VP & CFO	2	3	3	3	3	3
Information Technology	0	0	0	0	0	0
Controller	44	45	44	45	45	45
Management and Budget	16	18	18	18	18	18
BPM, Controls, & Compliance	5	6	5	5	5	5
Market Dev. & Public Affairs	71	71	70	70	70	70
Gen. Counsel & Secretary	32	32	30	31	31	31
Diversity Management	3	3	3	3	3	3
Security	10	14	17	17	17	17
System Safety	36	42	46	46	46	42
Training	65	69	69	68	68	68
Service Planning	26	31	30	28	28	22
Rolling Stock Programs	10	17	17	17	17	17
Sr Vice President - Operations	1	2	2	2	2	2
Total Administration	473	523	519	521	519	513
Operations						
Train Operations	2,314	2,340	2,406	2,449	2,432	2,374
Customer Service	306	311	316	403	403	403
Total Operations	2,620	2,651	2,722	2,852	2,835	2,777
Maintenance						
Engineering	2,056	2,022	2,103	2,168	2,138	2,151
Equipment	2,140	2,164	2,225	2,281	2,326	2,389
Procurement (Stores)	94	95	95	95	111	111
Total Maintenance	4,290	4,281	4,423	4,544	4,575	4,651
Engineering/Capital						
Department of Program Management	134	152	152	152	151	150
Special Projects/East Side Access	41	61	61	60	60	49
Positive Train Control	13	14	14	3	3	3
Total Engineering/Capital	188	227	227	215	214	202
Total Baseline Positions	7,571	7,682	7,891	8,132	8,143	8,143
<i>Non-Reimbursable</i>	6,498	6,561	6,668	7,076	7,126	7,184
<i>Reimbursable</i>	1,073	1,121	1,222	1,056	1,017	959
<i>Total Full-Time</i>	7,571	7,682	7,891	8,132	8,143	8,143
<i>Total Full-Time Equivalents</i>	-	-	-	-	-	-

MTA LONG ISLAND RAIL ROAD
November Financial Plan 2020 - 2023
Total Positions by Function and Occupational Group
Non-Reimbursable and Reimbursable

FUNCTION / OCCUPATIONAL GROUP	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Administration						
Managers/Supervisors	248	278	281	286	286	283
Professional/Technical/Clerical	121	141	135	132	114	111
Operational Hourlies	104	104	103	103	119	119
Total Administration Headcount	473	523	519	521	519	513
Operations						
Managers/Supervisors	306	325	342	358	350	347
Professional/Technical/Clerical	104	104	112	121	121	121
Operational Hourlies	2,210	2,222	2,268	2,373	2,364	2,309
Total Operations Headcount	2,620	2,651	2,722	2,852	2,835	2,777
Maintenance						
Managers/Supervisors	772	882	923	858	846	861
Professional/Technical/Clerical	237	293	315	347	345	363
Operational Hourlies	3,281	3,106	3,185	3,339	3,384	3,427
Total Maintenance Headcount	4,290	4,281	4,423	4,544	4,575	4,651
Engineering / Capital						
Managers/Supervisors	127	157	157	150	149	136
Professional/Technical/Clerical	61	70	70	65	65	66
Operational Hourlies	0	0	0	0	0	0
Total Engineering Headcount	188	227	227	215	214	202
Public Safety						
Managers/Supervisors	0	0	0	0	0	0
Professional/Technical/Clerical	0	0	0	0	0	0
Operational Hourlies	0	0	0	0	0	0
Total Public Safety Headcount	0	0	0	0	0	0
Total Positions						
Managers/Supervisors	1,453	1,642	1,703	1,652	1,631	1,627
Professional/Technical/ Clerical	523	608	632	665	645	661
Operational Hourlies	5,595	5,432	5,556	5,815	5,867	5,855
Total Positions	7,571	7,682	7,891	8,132	8,143	8,143

Staff Summary

Subject MNR 2020 Budget and 2020-2023 Financial Plan Adoption	Date December 5, 2019
Department Budget	Vendor Name
Department Head Name Steven Weiss	Contract Number
Department Head Signature 	Contract Manager Name
Project Manager Name	Table of Contents Ref#

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR&LIRR Comm. Mtg.	12/16/2019			
2	MTA Fin. Comm.	12/16/2019			
3	MTA Board Mtg.	12/18/2019			

Internal Approvals			
Order	Approval	Order	Approval
3	President 		Budget
	VP Operations		VP Capital Programs
2	VP Finance 		Engr/Const
	Controller		Project Reporting

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
	VP Planning & Development		Corporate & Public Affairs		Labor Relations		General Counsel
	Press		VP Human Resources		Human Resources		Other

Purpose

To secure MTA Board adoption of the MTA Metro-North Railroad's (MNR) 2019 November Forecast, 2020 Final Proposed Budget, and the Four-Year Financial Plan for 2020-2023.

Discussion:

The 2020 Final Proposed Budget, which is consistent with information presented to the Board in November, maintains funding of key initiatives which directly improve the reliability and safe delivery of service and enhance the customer experience. Metro-North projections do not include the estimated impacts from projected fare increases in New York State, and MTA policy actions. These impacts will be presented as part of MTA consolidated materials.

Our Strategic Plan: Our Railroad, Our Vision, Our Future

In June of 2016, we launched a new five-year Metro-North Strategic Plan. Our mission is to be a safe, reliable and efficient railroad providing regional mobility and excellent service to our customers.

Through the three priorities of Our Customers, Our Infrastructure and Our People, an engaged workforce will continue to progress Metro-North Railroad towards fulfilling Our Mission.

- *Our Customers – Consistently meet customer expectations by ensuring safe, reliable, accessible and comfortable service, and by providing timely, accurate and open communication.*
- *Our Infrastructure – Ensure that all assets are in a state of good repair.*
- *Our People – Be an engaged, accountable and high performing workforce.*

The November Financial Plan focuses on resources to continue the support of Metro-North's Strategic Plan. October 2018 saw the launch of Metro-North's "Way Ahead" Program, which lays out how Metro-North will continue to set the standard for safety, reliability and innovation in the delivery of excellent customer service.

Over the past year, Metro-North has realized key aspects of its vision. Significant accomplishments include completion of inward and outward facing camera installations in all train cabs, the implementation of numerous station improvements, and the upgrading of many grade crossings to LED lighting. The new SMARTRACK program has enabled our crews to

The legal name of MTA Metro-North Railroad is Metro-North Commuter Railroad Company

accelerate the completion of critical infrastructure work by strategically shutting down continuous segments of track. And in Grand Central Terminal (GCT), Metro-North has replaced many of the departure boards and installed 138 new Advertising screens as well as a new "Big Board".

New investments that are included in the November Financial Plan focus on ensuring reliability of rolling stock, resources to maintain both the Positive Train Control and On-Board Camera systems, provide internal infrastructure enhancements to ensure safe operations, and begin the first phase of hiring to support East Side Access (ESA) Operations.

2019 Budget Reduction Initiatives

The Plan includes approximately \$32 million per year of Non-Reimbursable budget reductions beginning in 2020 as part of the MTA's 2019 Budget Reduction Program (BRP). Operating efficiencies were identified through the elimination of 69 vacant administrative positions, consolidating office space, extending several fleet maintenance cycles, and rightsizing non-labor expenses. In addition, a revenue-generating initiative includes improving onboard fare collection practices. Metro-North also reduced its MTA Five-Year Capital budget by \$82.3 million and 65 positions over the course of the Plan. Reductions included scaling back or eliminating Maintenance of Way Track Department production gangs, Procurement Design-Build Positions, and reducing various projects in the 2015-2019 and anticipated 2020-2024 Capital Programs.

2019 November Forecast-Baseline

The 2019 Non-Reimbursable forecast reflects revenues totaling \$824.6 million, including \$764.3 million of Farebox Revenues and \$60.3 million in Other Operating Revenue. Total Operating Expense projections of \$1,682.9 million consist of labor costs of \$940.2 million, non-labor costs of \$401.6 million and non-cash liability adjustments of \$341.0 million. After including cash adjustments of \$262.3 million, the projected net cash deficit is \$596.0 million, of which \$465.1 million represents the MTA share and \$130.9 million the CDOT share. Total Reimbursable expense projections of \$330.6 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 7,149 and include 6,487 Non-Reimbursable positions and 662 Reimbursable positions.

2020 Final Proposed Budget-Baseline

The 2020 final proposed Non-Reimbursable budget reflects revenues totaling \$838.5 million. Farebox Revenue of \$775.9 million reflects the full year impact of the 2019 rate increase, a 0.7% ridership increase, and improved on-board fare collection practices. Other Operating Revenue of \$62.6 million reflects GCT net retail revenues, advertising, and outlying station & parking revenue. Total Operating Expense projections of \$1,635.0 million consist of labor costs of \$949.7 million, non-labor costs of \$391.6 million and non-cash liability adjustments of \$293.7 million. After including cash adjustments of \$168.4 million, the projected net cash deficit is \$628.1 million, of which \$495.6 million represents the MTA share and \$132.5 million the CDOT share. Total Reimbursable expense projections of \$347.6 million are fully offset by capital reimbursements. Total end-of-year authorized positions are projected at 7,140 and include 6,369 Non-Reimbursable positions and 771 Reimbursable positions.

Impact on Funding: The 2019 November Forecast, the 2020 Final Proposed Budget and the Four-Year Financial Plan for 2020-2023, which are presented in the attached tables, are consistent with the proposed MTA Financial Plan.

Recommendation: It is recommended that the MTA Board adopt the 2019 November Forecast, the 2020 Final Proposed Budget, and the Four-Year Financial Plan for 2020-2023 for MTA Metro-North Railroad.

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
<u>Non-Reimbursable</u>						
Operating Revenue						
Farebox Revenue	\$740.271	\$764.320	\$775.873	\$779.903	\$781.286	\$785.150
Other Operating Revenue	52.577	60.296	62.649	68.132	66.252	68.460
Capital and Other Reimbursements	0.000	0.000	0.000	0.000	0.000	0.000
Total Revenues	\$792.848	\$824.615	\$838.522	\$848.036	\$847.538	\$853.610
Operating Expense						
<u>Labor:</u>						
Payroll	\$527.238	\$529.985	\$539.727	\$551.173	\$563.315	\$571.704
Overtime	100.996	95.419	96.306	98.232	100.196	102.200
Health and Welfare	108.999	111.132	113.499	115.608	117.930	119.285
OPEB Current Payments	36.416	39.000	36.000	37.000	38.000	39.000
Pension	104.896	111.098	108.722	106.939	97.238	89.929
Other Fringe Benefits	124.338	127.391	129.471	131.821	134.376	136.228
Reimbursable Overhead	(59.971)	(73.781)	(74.009)	(70.730)	(62.043)	(55.740)
Total Labor Expenses	\$942.912	\$940.245	\$949.716	\$970.042	\$989.013	\$1,002.606
<u>Non-Labor:</u>						
Electric Power	\$75.264	\$73.226	\$71.938	\$73.697	\$76.320	\$80.045
Fuel	21.736	20.157	19.633	19.723	19.810	20.197
Insurance	17.480	16.300	18.672	21.011	23.106	25.504
Claims	5.162	1.000	1.000	1.000	1.000	1.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	108.310	118.348	106.957	111.311	113.461	116.340
Professional Services Contracts	36.983	43.040	38.243	38.539	39.646	39.463
Materials and Supplies	95.223	101.631	107.431	101.862	96.827	102.953
Other Business Expenses	32.024	27.938	27.699	19.830	28.299	28.314
Total Non-Labor Expenses	\$392.182	\$401.641	\$391.573	\$386.973	\$398.469	\$413.817
<u>Other Expense Adjustments:</u>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses Before Depreciation and GASB Adjs.	\$1,335.093	\$1,341.886	\$1,341.289	\$1,357.015	\$1,387.483	\$1,416.423
Depreciation	\$230.485	\$246.507	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	0.000	0.000	0.000	0.000	0.000	0.000
GASB 75 OPEB Expense Adjustment	97.599	94.200	39.700	33.800	26.900	26.000
GASB 68 Pension Expense Adjustment	3.770	(3.700)	3.500	(14.800)	(6.000)	17.000
Environmental Remediation	17.351	4.000	4.000	4.000	4.000	4.000
Total Expenses	\$1,684.299	\$1,682.892	\$1,634.996	\$1,626.522	\$1,658.889	\$1,709.930
Net Surplus/(Deficit)	(\$891.451)	(\$858.277)	(\$796.474)	(\$778.486)	(\$811.351)	(\$856.319)
Cash Conversion Adjustments						
Depreciation	\$230.485	\$246.507	\$246.507	\$246.507	\$246.507	\$246.507
Operating/Capital	(59.998)	(67.369)	(90.961)	(33.242)	(15.043)	(16.804)
Other Cash Adjustments	169.717	83.181	12.863	22.585	16.965	38.894
Total Cash Conversion Adjustments	\$340.204	\$262.319	\$168.409	\$235.849	\$248.429	\$268.597
Net Cash Surplus/(Deficit)	(\$551.247)	(\$595.958)	(\$628.065)	(\$542.637)	(\$562.922)	(\$587.723)

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Reimbursable						
Operating Revenue						
Farebox Revenue	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Other Operating Revenue	0.000	0.000	0.000	0.000	0.000	0.000
<i>MNR - MTA</i>	<i>129.157</i>	<i>152.861</i>	<i>162.920</i>	<i>141.563</i>	<i>134.363</i>	<i>138.759</i>
<i>MNR - CDOT</i>	<i>110.977</i>	<i>135.444</i>	<i>164.762</i>	<i>139.169</i>	<i>120.033</i>	<i>111.654</i>
<i>MNR - Other</i>	<i>12.304</i>	<i>42.288</i>	<i>19.946</i>	<i>12.101</i>	<i>12.786</i>	<i>12.655</i>
Capital and Other Reimbursements	252.438	330.593	347.628	292.833	267.181	263.067
Total Revenues	\$252.438	\$330.593	\$347.628	\$292.833	\$267.181	\$263.067
Operating Expense						
Labor:						
Payroll	\$46.791	\$52.146	\$61.275	\$62.475	\$63.951	\$63.974
Overtime	26.791	29.501	29.406	30.537	32.375	33.587
Health and Welfare	16.514	17.883	20.379	20.868	21.552	21.762
OPEB Current Payments	0.000	0.000	0.000	0.000	0.000	0.000
Pension	11.515	12.883	14.571	14.924	15.410	15.559
Other Fringe Benefits	12.632	13.929	15.739	16.119	16.651	16.813
Reimbursable Overhead	57.309	69.637	71.239	68.900	61.260	55.110
Total Labor Expenses	\$171.552	\$195.978	\$212.609	\$213.823	\$211.199	\$206.804
Non-Labor:						
Electric Power	\$0.188	\$0.002	\$0.000	\$0.000	\$0.000	\$0.000
Fuel	0.000	0.000	0.000	0.000	0.000	0.000
Insurance	4.238	3.331	4.109	4.154	3.695	3.355
Claims	0.000	0.000	0.000	0.000	0.000	0.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	28.077	57.069	42.613	16.300	16.238	16.635
Professional Services Contracts	21.107	31.414	32.409	22.917	21.728	22.180
Materials and Supplies	26.931	41.969	55.120	35.535	14.214	13.985
Other Business Expenses	0.346	0.829	0.767	0.103	0.106	0.108
Total Non-Labor Expenses	\$80.886	\$134.615	\$135.018	\$79.010	\$55.982	\$56.263
Other Expense Adjustments:						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses Before Depreciation	\$252.438	\$330.593	\$347.628	\$292.833	\$267.181	\$263.067
Net Surplus/(Deficit)	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Accrual Statement of Operations By Category
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
<u>Non-Reimbursable / Reimbursable</u>						
Operating Revenue						
Farebox Revenue	\$740.271	\$764.320	\$775.873	\$779.903	\$781.286	\$785.150
Other Operating Revenue	52.577	60.296	62.649	68.132	66.252	68.460
MNR - MTA	129.159	152.861	162.920	141.563	134.363	138.759
MNR - CDOT	110.977	135.444	164.762	139.169	120.033	111.654
MNR - Other	<u>12.302</u>	<u>42.288</u>	<u>19.946</u>	<u>12.101</u>	<u>12.786</u>	<u>12.655</u>
Capital and Other Reimbursements	252.438	330.593	347.628	292.833	267.181	263.067
Total Revenues	\$1,045.286	\$1,155.208	\$1,186.150	\$1,140.869	\$1,114.719	\$1,116.678
Operating Expense						
<u>Labor:</u>						
Payroll	\$574.029	\$582.131	\$601.002	\$613.648	\$627.267	\$635.678
Overtime	127.786	124.920	125.712	128.769	132.571	135.787
Health and Welfare	125.513	129.015	133.878	136.476	139.482	141.046
OPEB Current Payments	36.416	39.000	36.000	37.000	38.000	39.000
Pension	116.411	123.981	123.293	121.863	112.648	105.489
Other Fringe Benefits	136.969	141.320	145.210	147.939	151.027	153.041
Reimbursable Overhead	(2.662)	(4.145)	(2.770)	(1.830)	(0.783)	(0.631)
Total Labor Expenses	\$1,114.463	\$1,136.223	\$1,162.325	\$1,183.865	\$1,200.213	\$1,209.410
<u>Non-Labor:</u>						
Electric Power	\$75.451	\$73.228	\$71.938	\$73.697	\$76.320	\$80.045
Fuel	21.736	20.157	19.633	19.723	19.810	20.197
Insurance	21.718	19.631	22.781	25.165	26.802	28.859
Claims	5.162	1.000	1.000	1.000	1.000	1.000
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	136.387	175.417	149.570	127.611	129.699	132.976
Professional Services Contracts	58.090	74.454	70.652	61.456	61.374	61.642
Materials and Supplies	122.154	143.601	162.551	137.398	111.042	116.939
Other Business Expenses	32.370	28.767	28.466	19.934	28.405	28.423
Total Non-Labor Expenses	\$473.068	\$536.256	\$526.592	\$465.983	\$454.451	\$470.080
<u>Other Expense Adjustments:</u>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenses Before Depreciation and GASB Adjs.	\$1,587.531	\$1,672.479	\$1,688.917	\$1,649.848	\$1,654.664	\$1,679.490
Depreciation	\$230.485	\$246.507	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	0.000	0.000	0.000	0.000	0.000	0.000
GASB 75 OPEB Expense Adjustment	97.599	94.200	39.700	33.800	26.900	26.000
GASB 68 Pension Expense Adjustment	3.770	(3.700)	3.500	(14.800)	(6.000)	17.000
Environmental Remediation	17.351	4.000	4.000	4.000	4.000	4.000
Total Expenses	\$1,936.737	\$2,013.485	\$1,982.623	\$1,919.355	\$1,926.070	\$1,972.997
Net Surplus/(Deficit)	(\$891.451)	(\$858.277)	(\$796.474)	(\$778.486)	(\$811.351)	(\$856.319)
Cash Conversion Adjustments						
Depreciation	\$230.485	\$246.507	\$246.507	\$246.507	\$246.507	\$246.507
Operating/Capital	(59.998)	(67.369)	(90.961)	(33.242)	(15.043)	(16.804)
Other Cash Adjustments	169.717	83.181	12.863	22.585	16.965	38.894
Total Cash Conversion Adjustments	\$340.204	\$262.319	\$168.409	\$235.849	\$248.429	\$268.597
Net Cash Surplus/(Deficit)	(\$551.247)	(\$595.958)	(\$628.065)	(\$542.637)	(\$562.922)	(\$587.723)

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Cash Receipts and Expenditures
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Cash Receipts and Expenditures						
Receipts						
Farebox Revenue	\$726.616	\$748.708	\$760.044	\$763.742	\$764.927	\$768.589
Other Operating Revenue	125.503	108.748	90.816	94.486	93.191	95.995
MNR - MTA	135.709	146.714	167.866	145.161	134.208	137.547
MNR - CDOT	112.768	135.444	164.762	139.169	120.033	111.654
MNR - Other	15.191	43.857	19.946	12.101	12.786	12.655
Capital and Other Reimbursements	263.668	326.015	352.575	296.431	267.027	261.856
Total Receipts	\$1,115.787	\$1,183.471	\$1,203.435	\$1,154.659	\$1,125.145	\$1,126.439
Expenditures						
Labor:						
Payroll	\$569.675	\$581.082	\$611.772	\$606.559	\$620.892	\$628.894
Overtime	125.615	127.480	130.459	128.910	132.665	135.863
Health and Welfare	144.002	140.393	145.827	148.436	151.452	153.152
OPEB Current Payments	36.423	39.000	36.000	37.000	38.000	39.000
Pension	118.967	124.481	123.243	121.643	112.243	105.043
Other Fringe Benefits	133.889	143.309	145.017	143.483	146.802	148.772
Contribution to GASB Fund	0.000	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	0.000	0.000	0.000	0.000	0.000	0.000
Total Labor Expenditures	\$1,128.571	\$1,155.746	\$1,192.317	\$1,186.030	\$1,202.053	\$1,210.724
Non-Labor:						
Electric Power	\$79.229	\$75.495	\$73.819	\$75.622	\$78.291	\$82.063
Fuel	22.654	19.667	19.134	19.214	19.291	19.667
Insurance	20.949	21.593	23.545	25.428	28.102	29.154
Claims	19.154	19.912	2.166	1.146	1.146	1.146
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	146.040	212.373	206.461	149.614	138.043	134.458
Professional Services Contracts	64.401	79.340	80.598	61.927	61.434	61.695
Materials and Supplies	144.239	149.119	176.868	139.566	111.867	118.127
Other Business Expenses	41.797	46.185	56.591	38.749	47.840	57.127
Total Non-Labor Expenditures	\$538.463	\$623.684	\$639.182	\$511.266	\$486.014	\$503.438
Other Expenditure Adjustments:						
Other	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenditures	\$1,667.034	\$1,779.430	\$1,831.499	\$1,697.295	\$1,688.067	\$1,714.162
Net Cash Balance	(\$551.247)	(\$595.958)	(\$628.065)	(\$542.637)	(\$562.922)	(\$587.723)
Subsidies						
MTA	\$439.182	\$465.086	\$495.564	\$412.927	\$422.547	\$442.523
CDOT	129.830	130.872	132.501	129.709	140.375	145.200
Total Subsidies	\$569.012	\$595.958	\$628.065	\$542.637	\$562.922	\$587.723

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Cash Conversion (Cash Flow Adjustments)
(\$ in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Cash Flow Adjustments						
Receipts						
Farebox Revenue	(\$13.655)	(\$15.611)	(\$15.829)	(\$16.161)	(\$16.359)	(\$16.562)
Other Operating Revenue	72.926	48.452	28.167	26.354	26.940	27.535
<i>MNR - MTA</i>	<i>6.550</i>	<i>(6.147)</i>	<i>4.947</i>	<i>3.598</i>	<i>(0.154)</i>	<i>(1.212)</i>
<i>MNR - CDOT</i>	<i>1.791</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>MNR - Other</i>	<i>2.889</i>	<i>1.569</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
Total Capital and Other Reimbursements	\$11.230	(\$4.578)	\$4.947	\$3.598	(\$0.154)	(\$1.212)
Total Receipts	\$70.501	\$28.263	\$17.285	\$13.790	\$10.426	\$9.762
Expenditures						
<u>Labor:</u>						
Payroll	\$4.354	\$1.048	(\$10.770)	\$7.089	\$6.375	\$6.784
Overtime	2.171	(2.559)	(4.747)	(0.141)	(0.094)	(0.076)
Health and Welfare	(18.489)	(11.378)	(11.949)	(11.960)	(11.969)	(12.105)
OPEB Current Payments	(0.007)	0.000	0.000	0.000	0.000	0.000
Pension	(2.556)	(0.500)	0.050	0.220	0.405	0.446
Other Fringe Benefits	3.080	(1.989)	0.193	4.457	4.226	4.269
Contribution to GASB Fund	0.000	0.000	0.000	0.000	0.000	0.000
Reimbursable Overhead	(2.662)	(4.145)	(2.770)	(1.830)	(0.783)	(0.631)
Total Labor Expenditures	(\$14.108)	(\$19.522)	(\$29.992)	(\$2.165)	(\$1.841)	(\$1.314)
<u>Non-Labor:</u>						
Electric Power	(\$3.778)	(\$2.267)	(1.881)	(\$1.926)	(\$1.971)	(\$2.018)
Fuel	(0.918)	0.490	0.499	0.509	0.520	0.530
Insurance	0.769	(1.962)	(0.764)	(0.263)	(1.300)	(0.296)
Claims	(13.992)	(18.912)	(1.166)	(0.146)	(0.146)	(0.146)
Paratransit Service Contracts	0.000	0.000	0.000	0.000	0.000	0.000
Maintenance and Other Operating Contracts	(9.653)	(36.955)	(56.891)	(22.002)	(8.344)	(1.483)
Professional Services Contracts	(6.311)	(4.886)	(9.946)	(0.472)	(0.059)	(0.053)
Materials and Supplies	(22.085)	(5.518)	(14.317)	(2.168)	(0.826)	(1.188)
Other Business Expenses	(9.427)	(17.418)	(28.125)	(18.815)	(19.436)	(28.704)
Total Non-Labor Expenditures	(\$65.395)	(\$87.429)	(\$112.590)	(\$45.282)	(\$31.563)	(\$33.358)
<u>Other Expenditure Adjustments:</u>						
Other Expense Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Other Expenditure Adjustments	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
Total Expenditures	(\$79.503)	(\$106.951)	(\$142.582)	(\$47.447)	(\$33.403)	(\$34.672)
Total Cash Conversion Adjustments before Depreciation	(\$9.002)	(\$78.688)	(\$125.298)	(\$33.657)	(\$22.978)	(\$24.910)
Depreciation	\$230.485	\$246.507	\$246.507	\$246.507	\$246.507	\$246.507
OPEB Liability Adjustment	0.000	0.000	0.000	0.000	0.000	0.000
GASB 75 OPEB Expense Adjustment	97.599	94.200	39.700	33.800	26.900	26.000
GASB 68 Pension Expense Adjustment	3.770	(3.700)	3.500	(14.800)	(6.000)	17.000
Environmental Remediation	17.351	4.000	4.000	4.000	4.000	4.000
Total Cash Conversion Adjustments	\$340.204	\$262.319	\$168.409	\$235.849	\$248.429	\$268.597

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Ridership (Utilization)
(in millions)

	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
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RIDERSHIP

<i>Harlem Line Ridership - Commutation</i>	16.643	16.584	16.729	16.807	16.820	16.885
<i>Harlem Line Ridership - Non-Commutation</i>	<u>10.808</u>	<u>11.090</u>	<u>11.187</u>	<u>11.239</u>	<u>11.248</u>	<u>11.291</u>
Total Harlem Line	27.451	27.673	27.916	28.046	28.068	28.176
<i>Hudson Line Ridership - Commutation</i>	9.418	9.432	9.532	9.596	9.621	9.670
<i>Hudson Line Ridership - Non-Commutation</i>	<u>7.743</u>	<u>7.921</u>	<u>8.005</u>	<u>8.059</u>	<u>8.080</u>	<u>8.121</u>
Total Hudson Line	17.161	17.353	17.538	17.655	17.702	17.792
<i>New Haven Line Ridership - Commutation</i>	22.086	21.996	22.091	22.133	22.120	22.213
<i>New Haven Line Ridership - Non-Commutation</i>	<u>18.213</u>	<u>18.436</u>	<u>18.516</u>	<u>18.551</u>	<u>18.540</u>	<u>18.619</u>
Total New Haven Line	40.299	40.432	40.607	40.684	40.660	40.832
Total Commutation Ridership	48.146	48.011	48.352	48.536	48.562	48.769
Total Non-Commutation Ridership	<u>36.764</u>	<u>37.447</u>	<u>37.708</u>	<u>37.849</u>	<u>37.868</u>	<u>38.031</u>
Total East of Hudson Ridership	84.911	85.459	86.061	86.385	86.430	86.800
West of Hudson Ridership	1.642	1.617	1.630	1.649	1.661	1.672
Total Ridership	86.553	87.075	87.691	88.035	88.091	88.472

FAREBOX REVENUE

<i>Harlem Line - Commutation Revenue</i>	111.605	114.097	116.201	116.949	117.214	117.724
<i>Harlem Line - Non-Commutation Revenue</i>	<u>99.382</u>	<u>105.503</u>	<u>107.448</u>	<u>108.140</u>	<u>108.385</u>	<u>108.857</u>
Total Harlem Line Revenue	\$210.988	\$219.601	\$223.649	\$225.089	\$225.599	\$226.581
<i>Hudson Line - Commutation Revenue</i>	73.751	75.640	77.200	77.858	78.176	78.626
<i>Hudson Line - Non-Commutation Revenue</i>	<u>87.230</u>	<u>92.305</u>	<u>94.209</u>	<u>95.012</u>	<u>95.400</u>	<u>95.949</u>
Total Hudson Line Revenue	\$160.981	\$167.946	\$171.410	\$172.870	\$173.576	\$174.575
<i>New Haven Line - Commutation Revenue</i>	158.018	161.037	162.782	163.200	163.224	164.016
<i>New Haven Line - Non-Commutation Revenue</i>	<u>195.673</u>	<u>201.107</u>	<u>203.286</u>	<u>203.808</u>	<u>203.838</u>	<u>204.827</u>
Total New Haven Line Revenue	\$353.691	\$362.143	\$366.068	\$367.007	\$367.062	\$368.843
Total Commutation Revenue	\$343.374	\$350.774	\$356.183	\$358.007	\$358.614	\$360.366
Total Non-Commutation Revenue	<u>382.286</u>	<u>398.915</u>	<u>404.943</u>	<u>406.960</u>	<u>407.623</u>	<u>409.633</u>
Total East of Hudson Revenue	\$725.660	\$749.690	\$761.126	\$764.967	\$766.238	\$769.998
West of Hudson Revenue	\$14.611	\$14.630	\$14.747	\$14.937	\$15.049	\$15.152
Total Farebox Revenue	\$740.271	\$764.320	\$775.873	\$779.903	\$781.286	\$785.150

Notes: West of Hudson total ridership is both Pascack Valley and Port Jervis lines.

MTA Metro-North Railroad
November Financial Plan 2020 - 2023
2019 Budget Reduction Plan Summary
(\$ in millions)

<u>Non-Reimbursable BRP</u>	Favorable/(Unfavorable)										
	<u>Administration</u>	<u>Pos.</u>	<u>2019</u>	<u>Pos.</u>	<u>2020</u>	<u>Pos.</u>	<u>2021</u>	<u>Pos.</u>	<u>2022</u>	<u>Pos.</u>	<u>2023</u>
Elimination of Administrative Positions (July Plan)	-	0.000	59	8.253	59	8.253	63	8.923	63	8.923	
Elimination of Administrative Positions (Revised Nov Plan)	-	0.000	(5)	(0.087)	(5)	(0.075)	(5)	(0.061)	(5)	(0.048)	
Administrative Office Space Reconfiguration (July Plan)	-	<u>0.000</u>	-	<u>3.852</u>	-	<u>3.942</u>	-	<u>4.038</u>	-	<u>4.135</u>	
<i>Subtotal Administration</i>	-	<u>0.000</u>	<u>54</u>	<u>12.018</u>	<u>54</u>	<u>12.120</u>	<u>58</u>	<u>12.899</u>	<u>58</u>	<u>13.010</u>	
<u>Customer Convenience/Amenities</u>											
Remove MNR Responsibility of Hudson Rail Link Service (July Plan)	-	0.000	-	2.508	-	2.839	-	2.908	-	2.978	
Restore MNR Responsibility of Hudson Rail Link Service Eliminated (Nov Plan)	-	0.000	-	(2.508)	-	(2.839)	-	(2.908)	-	(2.978)	
Eliminate Rockland County Transportation Subsidy (July Plan)	-	0.000	-	0.000	-	0.524	-	0.537	-	0.550	
Eliminate Holiday Shopper Special Trains (July Plan)	-	<u>0.000</u>	-	<u>0.202</u>	-	<u>0.206</u>	-	<u>0.210</u>	-	<u>0.215</u>	
<i>Subtotal Customer Convenience/Amenities</i>	-	<u>0.000</u>	-	<u>0.202</u>	-	<u>0.731</u>	-	<u>0.747</u>	-	<u>0.764</u>	
<u>Maintenance/Operations</u>											
Fleet Maintenance Initiatives (July Plan)	-	0.000	-	3.104	-	5.943	-	8.207	-	7.843	
Enterprise Asset Management (July Plan)	-	0.000	11	1.743	11	1.745	11	1.748	11	1.636	
Reduction in Budgeted Overtime Hours (July Plan)	-	0.000	-	1.595	-	1.627	-	1.659	-	1.693	
Reduce Annual Vehicle Replacement Program Funding (July Plan)	-	<u>0.000</u>	-	<u>2.241</u>	-	<u>2.293</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<i>Subtotal Maintenance/Operations</i>	-	<u>0.000</u>	<u>11</u>	<u>8.683</u>	<u>11</u>	<u>11.608</u>	<u>11</u>	<u>11.614</u>	<u>11</u>	<u>11.172</u>	
<u>Revenue Enhancement</u>											
Improve On-Board Fare Collection Practices (July Plan)	-	0.000	-	1.000	-	1.000	-	1.000	-	1.000	
Parking Fee Modifications (July Plan)	-	0.000	-	0.997	-	0.997	-	0.997	-	0.997	
Parking Fee Modifications (December Budget Adoption)	-	<u>0.000</u>	-	<u>(0.997)</u>	-	<u>(0.997)</u>	-	<u>(0.997)</u>	-	<u>(0.997)</u>	
<i>Subtotal Revenue Enhancement</i>	-	<u>0.000</u>	-	<u>1.000</u>	-	<u>1.000</u>	-	<u>1.000</u>	-	<u>1.000</u>	
<u>Safety/Security</u>											
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<i>Subtotal Safety</i>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<u>Service</u>											
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<i>Subtotal Service</i>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<u>Service Support</u>											
None	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<i>Subtotal Service Support</i>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	-	<u>0.000</u>	
<u>Other</u>											
Elimination of Long-Term Lease Expense of Grand Central Terminal and Harlem/Hudson Lines (July Plan)	-	0.000	-	2.062	-	2.062	-	2.062	-	2.062	
Tighter Control and Prioritization of Non-Payroll Expenses (July Plan)	-	0.000	-	1.118	-	0.474	-	0.779	-	0.499	
Tighter Control and Prioritization of Non-Payroll Expenses (Nov Plan)	-	0.000	-	2.132	-	2.625	-	2.042	-	2.705	
Tighter Control and Prioritization of Non-Payroll Expenses (December Budget Adoption)	-	0.000	-	0.997	-	0.997	-	0.997	-	0.997	
Overhead Rates to applied to Amtrak PRIIA Billing for Propulsion (Nov Plan)	-	<u>0.000</u>	-	<u>0.500</u>	-	<u>0.500</u>	-	<u>0.500</u>	-	<u>0.500</u>	
<i>Subtotal Other</i>	-	<u>0.000</u>	-	<u>6.808</u>	-	<u>6.657</u>	-	<u>6.380</u>	-	<u>6.763</u>	
Total Non-Reimbursable BRP	-	\$0.000	65	\$28.711	65	\$32.117	69	\$32.641	69	\$32.709	
<u>Reimbursable BRP</u>											
<u>Capital Program</u>											
Capital and & Other Reimbursements Reduction (July Plan)	-	0.000	-	(34.102)	-	(18.044)	-	(13.097)	-	(17.097)	
Total Reimbursable Capital Expenses (July Plan)	-	<u>0.000</u>	<u>13</u>	<u>34.102</u>	<u>23</u>	<u>18.044</u>	<u>65</u>	<u>13.097</u>	<u>65</u>	<u>17.097</u>	
Total Reimbursable BRP	-	\$0.000	13	\$0.000	23	\$0.000	65	\$0.000	65	\$0.000	
Total Non-Reimbursable & Reimbursable BRP	-	\$0.000	78	\$28.711	88	\$32.117	134	\$32.641	134	\$32.709	

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Total Positions by Function and Department
Non-Reimbursable/Reimbursable and Full-Time/Full-Time Equivalents

FUNCTION/DEPARTMENT	2019		2020		2021	2022	2023
	2018 Actual	November Forecast	Final Proposed Budget				
Administration							
President	3	3	3	3	3	3	3
Labor Relations	14	20	19	19	19	19	19
Safety	55	66	75	85	85	85	85
Security	24	26	23	23	23	23	23
Office of the Executive VP	9	10	10	10	10	10	10
Corporate & Public Affairs	16	19	15	15	15	15	15
Customer Service	61	69	65	65	65	65	65
Legal	12	20	15	15	15	15	15
Claims	12	14	12	12	12	12	12
Environmental Compliance & Svce	7	0	0	0	0	0	0
VP Human Resources	46	51	44	44	44	44	44
Training	86	101	96	96	96	96	96
Employee Relations & Diversity	5	7	6	6	6	6	6
VP Planning	2	2	2	2	2	2	2
Operations Planning & Analysis	21	22	23	23	19	19	19
Capital Planning & Programming	13	18	17	17	11	11	11
Long Range Planning	8	8	7	7	6	6	6
VP Finance & Info Systems	-	2	1	1	1	1	1
Controller	72	82	77	77	77	77	77
Information Technology & Project Mgmt	0	0	0	0	0	0	0
Budget	17	23	22	22	22	22	22
Procurement & Material Management	25	39	33	33	33	33	33
Corporate	0	0	0	0	0	0	0
Total Administration	508	602	565	575	564	564	564
Operations							
Operations Support	73	108	98	98	98	98	98
Transportation	1,639	1,687	1,686	1,695	1,695	1,695	1,695
Customer Service	268	403	396	396	396	396	396
Metro-North West	31	44	44	44	44	44	44
Corporate	0	0	0	0	0	0	0
Total Operations	2,011	2,242	2,224	2,233	2,233	2,233	2,233
Maintenance							
Maintenance of Equipment	1,652	1,724	1,779	1,779	1,779	1,779	1,779
Maintenance of Way	2,162	2,304	2,300	2,290	2,255	2,255	2,255
Procurement & Material Management	123	141	139	139	139	139	139
Corporate	0	0	0	0	0	0	0
Total Maintenance	3,937	4,169	4,218	4,208	4,173	4,173	4,173
Engineering/Capital							
Construction Management	36	42	41	41	41	41	41
Engineering & Design	78	94	92	92	92	92	92
Total Engineering/Capital	114	136	133	133	133	133	133
Total Positions	6,570	7,149	7,140	7,149	7,103	7,103	7,103
<i>Non-Reimbursable</i>	6,064	6,487	6,369	6,392	6,355	6,367	6,367
<i>Reimbursable</i>	507	662	771	757	748	736	736
<i>Total Full-Time</i>	6,570	7,148	7,139	7,148	7,102	7,102	7,102
<i>Total Full-Time-Equivalents</i>		1	1	1	1	1	1

MTA METRO-NORTH RAILROAD
November Financial Plan 2020 - 2023
Total Positions by Function and Occupational Group
Non-Reimbursable and Reimbursable

FUNCTION / OCCUPATIONAL GROUP	Actual 2018	November Forecast 2019	Final Proposed Budget 2020	2021	2022	2023
Administration						
Managers/Supervisors	172	198	186	186	181	181
Professional/Technical/Clerical	336	404	379	389	383	383
Operational Hourlies	0	0	0	0	0	0
Total Administration Headcount	508	602	565	575	564	564
Operations						
Managers/Supervisors	243	260	257	257	257	257
Professional/Technical/Clerical	173	252	243	243	243	243
Operational Hourlies	1,595	1,730	1,724	1,733	1,733	1,733
Total Operations Headcount	2,011	2,242	2,224	2,233	2,233	2,233
Maintenance						
Managers/Supervisors	644	691	690	690	690	690
Professional/Technical/Clerical	501	521	516	516	516	516
Operational Hourlies	2,792	2,957	3,012	3,002	2,967	2,967
Total Maintenance Headcount	3,937	4,169	4,218	4,208	4,173	4,173
Engineering / Capital						
Managers/Supervisors	47	53	52	52	52	52
Professional/Technical/Clerical	67	83	81	81	81	81
Operational Hourlies	0	0	0	0	0	0
Total Engineering Headcount	114	136	133	133	133	133
Public Safety						
Managers/Supervisors	0	0	0	0	0	0
Professional/Technical/Clerical	0	0	0	0	0	0
Operational Hourlies	0	0	0	0	0	0
Total Public Safety Headcount	0	0	0	0	0	0
Total Positions						
Managers/Supervisors	1,107	1,202	1,185	1,185	1,180	1,180
Professional/Technical/ Clerical	1,077	1,260	1,219	1,229	1,223	1,223
Operational Hourlies	4,387	4,687	4,736	4,735	4,700	4,700
Total Positions	6,570	7,149	7,140	7,149	7,103	7,103



Long Island Rail Road



Metro-North Railroad

JOINT INFORMATION ITEMS

December 2019 Joint MNR/LIRR Committee PTC Project Update

December 16, 2019



LIRR/MNR Overall PTC Project Status

Item	Comments
Schedule	<ul style="list-style-type: none"> <li data-bbox="489 467 1835 509">❑ MNR in Extended RSD (ERSD) on the Hudson Line and the Danbury Branch. <li data-bbox="489 570 1801 659">❑ MNR and LIRR received FRA approval to go into ERSD on all its respective territories. <li data-bbox="489 719 1913 865">❑ LIRR in RSD/ERSD on Port Washington, Babylon to Patchogue, Hempstead, Far Rockaway, West Hempstead, Oyster Bay, Long Beach, Port Jefferson and Central segments. <li data-bbox="489 925 1898 1015">❑ Both LIRR and MNR remain on target to implement PTC across their respective territories by December 31, 2020.
Budget	<p data-bbox="489 1177 1822 1266">\$1.086B which covers the 2-year extension to December 2020 is being closely monitored.</p>



Key Milestones and Issues

Status	Activity	Date Needed	Issues
 Yellow	<p style="text-align: center;">Delivery and implementation of System Software Release 3.7 for b2b interlockings (Valley and Harold) (LIRR only)</p>	<p style="text-align: center;">Feb 2020</p>	<p>Issues:</p> <ul style="list-style-type: none"> Timely delivery of System Software Release 3.7 which Includes b2b interlockings for Harold and Valley is critical to meeting the PTC deadline. <p>Monthly Update:</p> <ul style="list-style-type: none"> Integrated System 3.7 FAT scheduled in mid-December, and is still on target to support ERSD in February 2020. SI's current commitment is to go into ERSD for Harold (LIRR's last ERSD segment) no later than September 2020, but a SI plan to accelerate implementation date is in development. No impact to schedule since this only affects a single boundary between LIRR and Amtrak at Gate which has an FRA compliant operational workaround. <p>Drivers:</p> <ul style="list-style-type: none"> The design for Harold needs to support the shared PSCC operations for LIRR and Amtrak. <p>Mitigations:</p> <ul style="list-style-type: none"> Monthly high-level meetings with agency executives held with Amtrak/LIRR/FRA to ensure interoperability through Harold. <p>Potential Impacts:</p> <ul style="list-style-type: none"> Late software delivery will use up limited schedule float. The test data for Harold and Valley is necessary to support the full FRA approval of the LIRR PTC safety plan.



	Red	Significant impact to Project Schedule and ability to meet PTC deadline.
	Yellow	Impact to Project Schedule or interim project milestone and may impact ability to meet PTC deadline.
	Green	No Near Term Impact to Project Schedule and on target to meet PTC deadline.

Key Milestones and Issues

Status	Activity	Date Needed	Issues
 Green	Deployment of on-board software across the fleet multiple times 3.7, 3.8 (LIRR only)	May 2020 (Baseline 3.8) On-going	<p>Issues:</p> <ul style="list-style-type: none"> The SI's software release plan requires the deployment of multiple iterations of on-board software across the entire fleet. Any further schedule slips in the delivery of releases 3.7 and 3.8 may impact LIRR's ability to meet the PTC deadline. <p>Monthly Updates:</p> <ul style="list-style-type: none"> New software upload procedure released and demonstrated successfully which streamlines the software upload process and is continuing without issue. <p>Drivers:</p> <ul style="list-style-type: none"> LIRR requires on-board software with PTC functionality required for compliance delivered no later than May 2020 with System Baseline 3.8. <p>Mitigations:</p> <ul style="list-style-type: none"> In addition to the routine 92-day periodic inspection cycle, software uploads will be performed as necessary to accelerate the deployment process. Cars and resources will be made available to meet the December 2020 deadline. LIRR/SI have established a mitigation plan to ready a sufficient number of cars on the train's head-ends to support the ERSD schedule. <p>Potential Impacts:</p> <ul style="list-style-type: none"> If the SI has unexpected technical issues (system performance or equipment reliability) and on-board software deliveries are pushed beyond mid-2020, this has potential to impact the PTC deadline.

	Red	Significant impact to Project Schedule and ability to meet PTC deadline.
	Yellow	Impact to Project Schedule or interim project milestone and may impact ability to meet PTC deadline.
	Green	No Near Term Impact to Project Schedule and on target to meet PTC deadline.



Key Milestones and Issues

Status	Activity	Date Needed	Issues
 Yellow	Change in Leadership and Additional Resources (LIRR only)	On-going	<p>Issues:</p> <ul style="list-style-type: none"> The SI has obtained the necessary skilled resources, and retaining key staff on the LIRR project to meet their schedule commitments and keep the project on track to meet the PTC deadline. Currently satisfactory leadership present. <p>Monthly Update:</p> <ul style="list-style-type: none"> Key leadership changes were implemented improving working relationship within Consortium. Current staff is supporting the work efforts to meet the December 2020 deadline. Both SI and LIRR are closely monitoring. System Software deliveries and transponder designs are still areas of concern. <p>Drivers:</p> <ul style="list-style-type: none"> SI has limited number of Subject Matter Experts to focus on Harold, transponder designs, interoperability, and the b2b implementation. <p>Mitigations:</p> <ul style="list-style-type: none"> LIRR is filling in gaps in expertise in areas of Signaling, Equipment Engineering and Railroad operations to support factory and field testing. Higher level vacated positions were filled with existing project team members with new hires placed at lower levels to minimize potential learning curve. <p>Potential Impacts:</p> <ul style="list-style-type: none"> Without appropriate leadership and proper management of project priorities the SI will fail to meet their schedule commitments and impact PTC deadline.

	Red	Significant impact to Project Schedule and ability to meet PTC deadline.
	Yellow	Impact to Project Schedule or interim project milestone and may impact ability to meet PTC deadline.
	Green	No Near Term Impact to Project Schedule and on target to meet PTC deadline.



Key Milestones and Issues

Status	Activity	Date Needed	Issues
 Green	<p style="text-align: center;">Complete Design for Interoperability and Delivery of System Software 3.6 (MNR only)</p>	<p style="text-align: center;">2nd Quarter 2020</p>	<p><u>Issues:</u></p> <ul style="list-style-type: none"> This software release includes the design for a safety server interface for interoperability with Amtrak for New Haven, New Rochelle, Spuyten Duyvil, and Poughkeepsie for MNR. <p><u>Monthly Update:</u></p> <ul style="list-style-type: none"> All activities to support this work remain on schedule. <p><u>Drivers:</u></p> <ul style="list-style-type: none"> 3rd party design <p><u>Mitigations:</u></p> <ul style="list-style-type: none"> Modified STS-STX safety server interface design with Amtrak to align with the rest of the NEC Corridor so as not to have a one-off design. <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> Risk to full PTC deployment by the PTC deadline on December 31, 2020.



	Red	Significant impact to Project Schedule and ability to meet PTC deadline.
	Yellow	Impact to Project Schedule or interim project milestone and may impact ability to meet PTC deadline.
	Green	No Near Term Impact to Project Schedule and on target to meet PTC deadline.

Key Milestones and Issues

Status	Activity	Date Needed	Issues
 Yellow	<p align="center">Complete Design for the M8 (MNR only)</p>	<p align="center">June 2020</p>	<p>Issues:</p> <ul style="list-style-type: none"> M-8s equipped with Alstom OBC that will utilize Amtrak rev. 11D Software and associated functionality Qualification of Alstom M8 OBC to MNR / BT Wayside which has known functional differences in relation to the Siemens OBC <p>Monthly Update:</p> <ul style="list-style-type: none"> Weekly Executive-level meetings held between MNR/Kawasaki/Alstom Project execution plan and timeline being finalized between Alstom and Bombardier activities <p>Drivers:</p> <ul style="list-style-type: none"> Exchange of design information between Kawasaki/Alstom and Bombardier/ Siemens Define and mitigate the functional differences between the Alstom and Siemens OBCs <p>Mitigations:</p> <ul style="list-style-type: none"> Research alternate sources for on-board PTC equipment Test and certify Alstom’s software with Metro-North wayside <p>Potential Impacts:</p> <ul style="list-style-type: none"> Risk to place M-8s into full PTC deployment by the PTC deadline of December 31, 2020



	Red	Significant impact to Project Schedule and ability to meet PTC deadline.
	Yellow	Impact to Project Schedule or interim project milestone and may impact ability to meet PTC deadline.
	Green	No Near Term Impact to Project Schedule and on target to meet PTC deadline.

LIRR Monthly Project Update (thru December 2019)

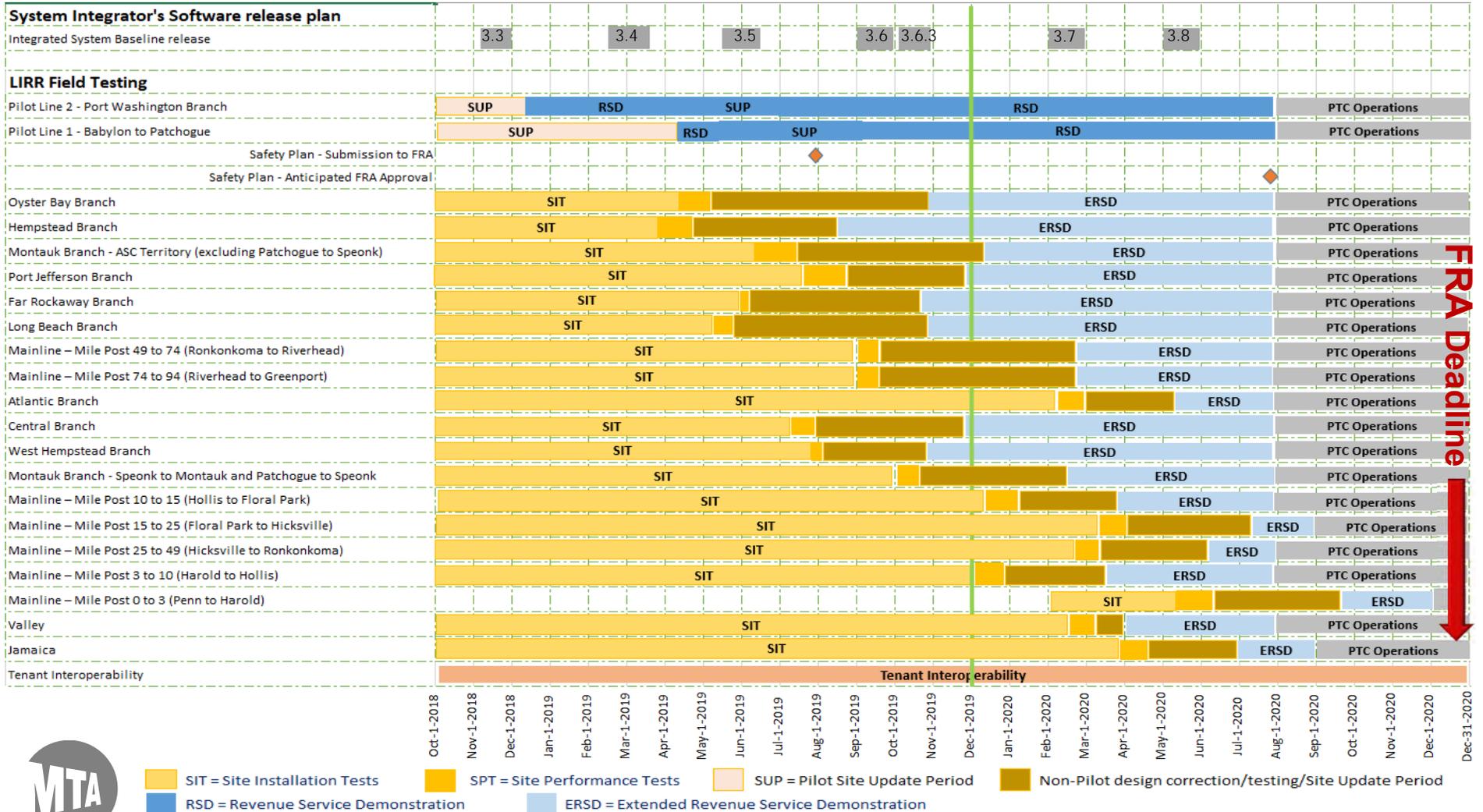
- RSD
 - Completed the required FRA runs on Pilot Line L1 (Babylon to Patchogue) on Oct 31st.
- ERSD
 - Entered ERSD on Port Jefferson (Does not include Huntington due to b2b accurate stop issue) & Central in November.
 - Anticipate entering ERSD on 1BW (Jamaica to Babylon) in December.
 - On target to achieve 37% or 114 testing route miles by end of December.
 - To ensure efficient operations by train crew LIRR will now put Ronkonkoma to Greenport segment in ERSD in February.
 - Currently running 130 trains daily with PTC cut-in.
- Completed Site Update Period (SUP) and Safety Reviews for System Baseline 3.6.3 for ERSD on selected segments (first phase of b2b).
 - Second phase software for b2b on-schedule to be released in February.
- Completed M7 trains with PTC operating over Amtrak tracks from Harold to Penn in November. Anticipate entering ERSD in this segment by the end of December.
- Progressing subsystem level designs (both wayside and OBC updates) with Amtrak.
- Undercar scanner retrofits scheduled to be completed in January.
- New deployment schedule and sequence with revised segment limits around challenging areas (Jamaica, Valley, Harold) to support ERSD plan.



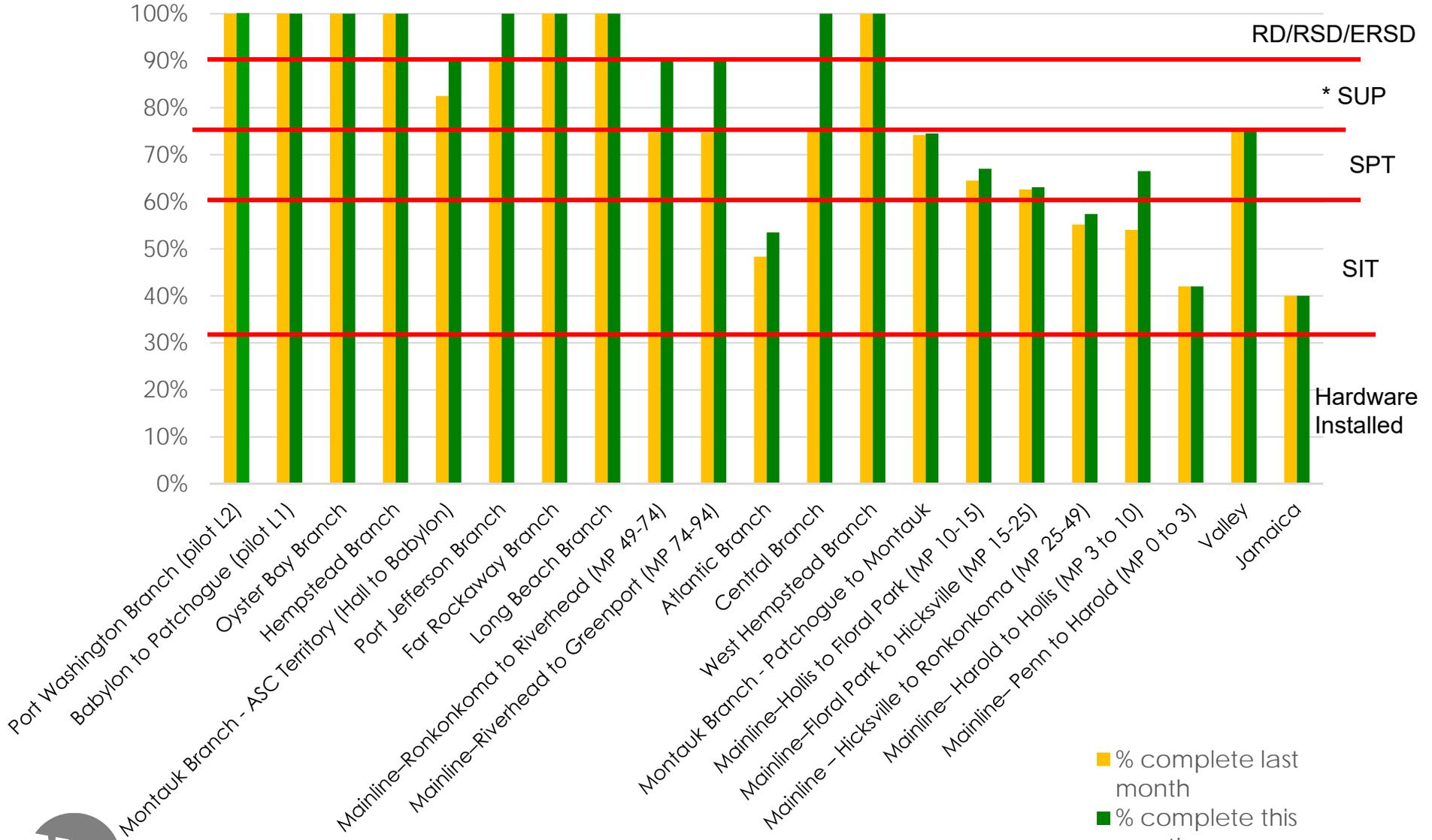
LIRR Working Schedule and Sequence

Started RSD on Babylon to Patchogue pilot segment in Sep 2019
 Started first Non-Pilot ERSD in August 2019

Last non-pilot segment in ERSD in Sep 2020



LIRR Segment RSD Readiness (Previous vs Current Month)



SIT = Site Installation Tests

SPT = Site Performance Testing

*SUP = Site Update Period includes design corrections and testing

RD/RSD/ERSD = Repeatability Demonstration/Revenue Service Demonstration/Extended RSD

■ % complete last month

■ % complete this month



LIRR PTC ERSD Timeline and Look-ahead

October 2019

- ✓ West Hempstead Branch
- ✓ Long Beach Branch
- ✓ Far Rockaway
- ✓ Oyster Bay

November 2019

- ✓ Port Jefferson
- ✓ Central Branch

December 2019

Montauk – 1BW (West of Babylon to Jamaica)

February 2020

Mainline – Mile Post 49 to 74 (Ronkonkoma to Riverhead)

Mainline – Mile Post 74 to 94 (Riverhead to Greenport)

Montauk – 1BE (East of Patchogue)

Delivery of System Software Baseline 3.7



LIRR PTC ERSD Timeline and Look-ahead

March 2020

Mainline – Mile Post 10 to 15 (Hollis to Floral Park)

Mainline – Mile Post 3 to 10 (Harold to Hollis)

April 2020

Valley

May 2020

Atlantic Branch

June 2020

Jamaica

Mainline – Mile Post 25 to 49 (Hicksville to Ronkonkoma)

July 2020

Mainline – Mile Post 15 to 25 (Floral Park to Hicksville)

September 2020

Mainline – Mile Post 0 to 3 (Grand Central Tunnels to Harold)



MNR Project Update

- PTC ERSD Segment Status
 - Hudson Line - Marble Hill - Poughkeepsie (67 miles)
 - Danbury Branch (23 miles)
- PTC ERSD Schedule
 - Harlem Line Southeast (CP155) – Wassaic (CP182) into ERSD on **December 14, 2019.**
 - Approximately 25 additional Revenue trains/day in full PTC mode.
- PTC ERSD Summary
 - Presently 90 miles in PTC (23%)
 - Presently 268 (27%) of all trains running in full PTC/Day
 - Approximately 30 Amtrak Revenue trains/day
 - CSX and P&W Freight trains are interoperable on the Hudson and Danbury Branch
- MNR will be in compliance, implementing Positive Train Control by December 31, 2020.
- Fleet Software Status:
 - Continually adding trains to Verizon onboard network to remotely update the Radio Configuration File (RCF) to the PTC radio's
 - Started updating all the equipment to RCF 12 to be operable on the Harlem Line over the air and manually.



MNR Project Update (cont'd.)

- Field Installation & Testing Activity (Mount Vernon West (CP113) to Southeast (CP155)).
 - Completed Transponder SIT
 - Continuing commissioning Radio Cases
 - Scheduled to began SPT the week of December 16, 2019
 - Targeted for PTC ERSD January 18, 2020

- Amtrak Boundary design/Commissioning Schedule
 - **Poughkeepsie – Completed and commissioned December 5, 2019**
 - Spuyten Duyvil - Commissioning target – 4th quarter 2019
 - New Haven - Design completion target – 1st quarter 2020
 - New Rochelle - Design completion target – 1st quarter 2020
 - STS-STs interface – 2nd quarter of 2020

- Working with NJT installing & testing PTC wayside equipment on the Port Jervis line
 - Wayside/Transponder training scheduled the week of 12/15.



MNR M8 Project Update

➤ **Current Project Status**

- Alstom on target to begin production of M8 OBC hardware upgrade components in March 2020
- Current target to start M8 OBC SW (Amtrak Rev. 11 – Release D) testing on MNR wayside in March 2020
- Continue bi-weekly 5 Party meetings between MNR, Kawasaki, Alstom, Bombardier, and Siemens to establish and execute plan to bring M8 OBC into revenue service operation in June 2020

➤ **Completed Activities**

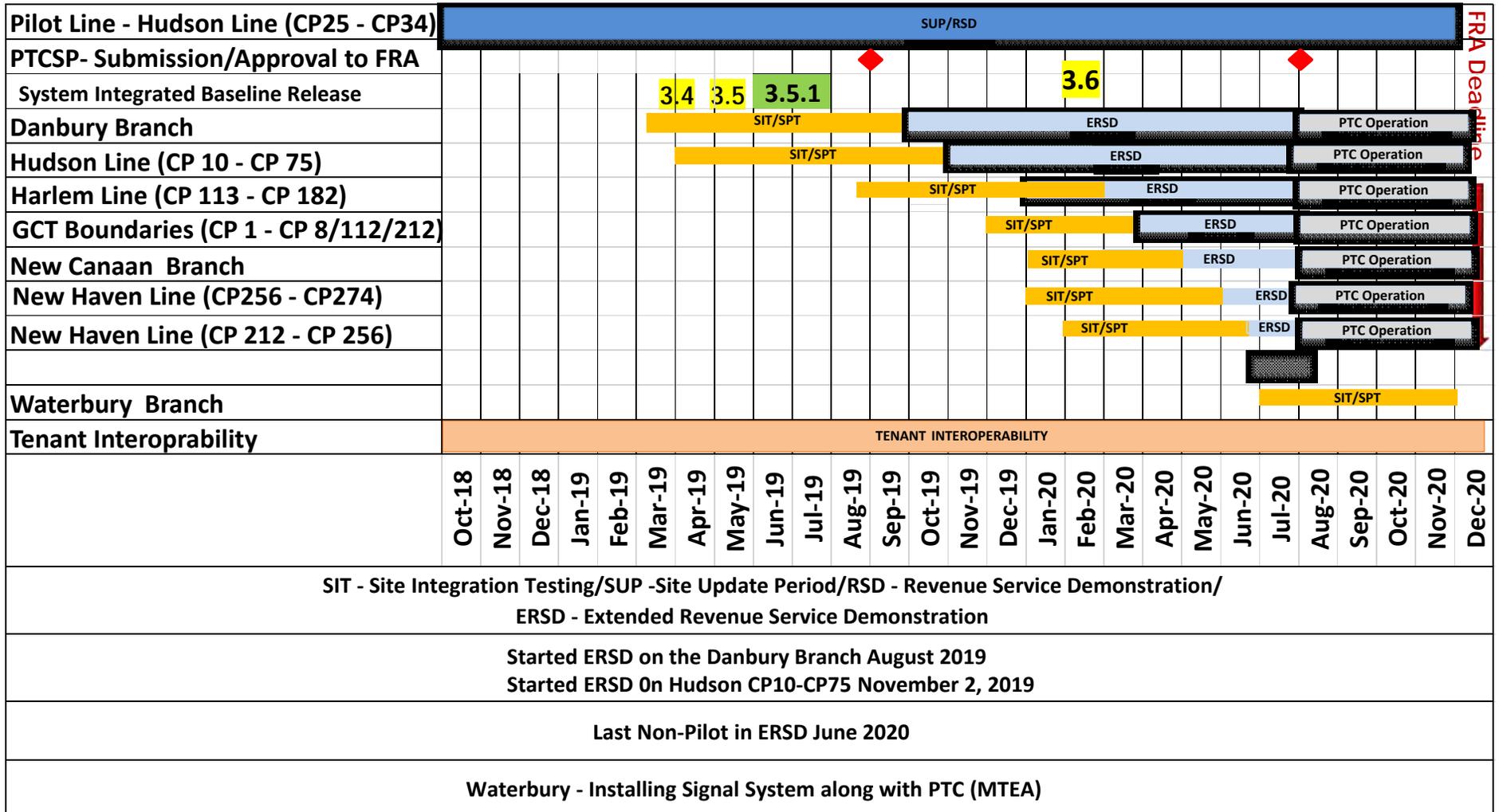
- Established road map / plan to utilize MNR – Bombardier Wayside to qualify Alstom M8 OBC for revenue service operation
- Identified testing locations in the MNR PTC-Commissioned territory for field testing
- 5 Party Meeting held at MNR Facility (12/9 -12/11) reviewing Bombardier Qualification test procedures, System Level Requirements, all of which providing input to the Gap Analysis.
- Review and present the Bombardier Wayside PTC Simulation equipment in its Pittsburgh laboratory and establish timeline, January 2020, for delivery of hardware and software for Alstom’s developmental usage

➤ **Upcoming Milestones**

- Complete Gap Analysis between M8 OBC Functionality and Bombardier Wayside/Siemens OBC – January 2020
- Deliver and Set-up Bombardier Wayside Simulation Environment at Alstom’s Rochester Facility – January 2020
- M8 OBC Hardware commercialization in February 2020 and First Article Inspection March 2020
- Establish plan to commence M8 OBC hardware upgrade in advance of final OBC software validation



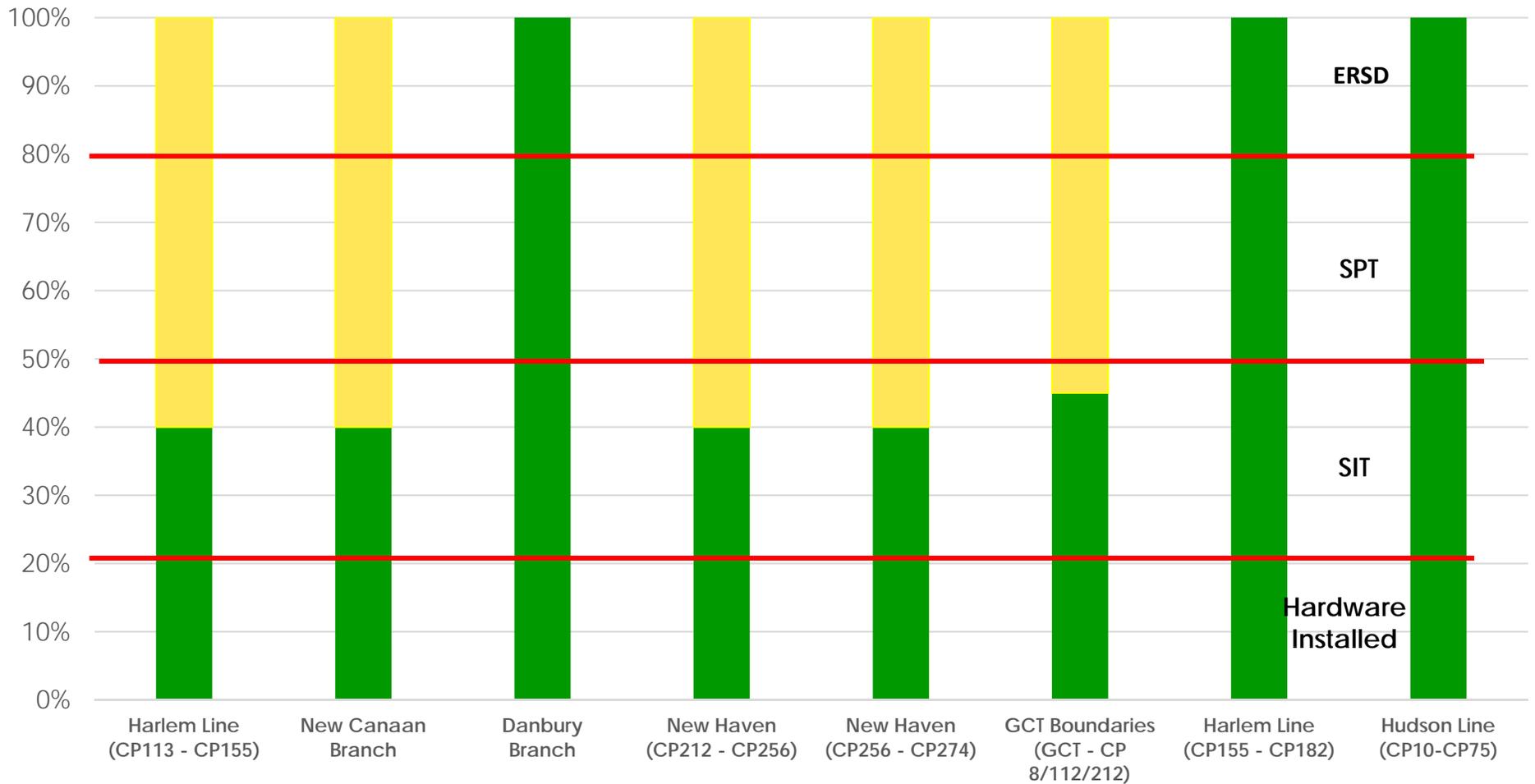
MNR Working Schedule and Sequence



FRA Deadline



MNR Segment RSD Readiness



SIT = Site Integration Testing, SPT = Site Performance Testing, ERSD = Extended Revenue Service Demonstration.



■ % complete ■ Remaining

MNR PTC Timeline and Look-ahead

October – December 2019

- Commence ERSD from Croton Harmon – Marble Hill on the Hudson Line.
- Complete software upload to the equipment
- Commence ERSD from Southeast – Wassaic on the Harlem line.
- Install, test and commission Amtrak boundary at Poughkeepsie.

January 2020 – December 2020

- Test MNR Safety Server-to-Amtrak Safety Server Interface in Bombardier Test Lab.
- Continue placing segments into ERSD
- Address Safety Plan Comments
- Continue meeting with Alstom/BT/Siemens/Kawasaki to complete M8 system level requirements.





Long Island Rail Road

INFORMATION

ITEMS

Long Island Rail Road Committee Work Plan

I. RECURRING AGENDA ITEMS

	<u>Responsibility</u>
Approval of Minutes	Committee Chair & Members
2020 Committee Work Plan	Committee Chair & Members
Agency President's/Chief's Reports	President/Senior Staff Chief Safety Officer
Safety Report	Officer
MTA Capital Construction Report	MTA Capital Construction
MTA Police Report	MTA Police
Information Items (if any)	
Action Items (if any)	
Procurements	Procurement & Logistics President/ Senior Staff
Performance Summaries	Sr. VP – Operations
Status of Operations	President/Senior Staff
Performance Metrics Report	VP & CFO
Financial/Ridership Report	SVP - Engineering
Capital Program Report	

II. SPECIFIC AGENDA ITEMS

Responsibility

January 2020

Approval of 2020 Committee Work Plan	Committee Chair & Members
PTC Status Report	Engineering
Winter Trackwork Programs	Service Planning

February 2020

Adopted Budget/Financial Plan 2020	Management & Budget Operations
2018 Annual Operating Results	Administration/Diversity Service
Diversity/EEO Report – 4 th Q 2019	Planning
2020 Spring Schedule Change	President
LIRR/MNR PTC Project Update	

March 2020

Annual Elevator/Escalator Report	Engineering
Spring Trackwork Programs	Service Planning
Customer Satisfaction Survey Report	Public Affairs
PTC Status Report	Engineering
Results 2019 Annual Ridership Report	Finance/Marketing

April 2020

Final Review of 2019 Operating Budget	Management & Budget
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May Timetable Change & Spring Trackwork Programs	Service Planning
LIRR/MNR PTC Project Update	President

May 2020

Summer Service & Track Work Programs
PTC Status Report

Service Planning
Engineering

June 2020

Diversity/EEO Report – 1st Q 2020
Track Work Programs
LIRR/MNR PTC Project Update

Administration/Diversity
Service Planning
President

July 2020

Penn Station Retail Development Audit

MTA Real Estate ety

September Timetable Change & Trackwork Programs
PTC Status Report

Service Planning
Engineering

September 2020

2021 Preliminary Budget (Public Comment)
2020 Mid-Year Forecast
Fall Trackwork Programs
PTC Status Report
Diversity/EEO Report – 2nd Quarter 2020

Management & Budget
Service Planning
Engineering
Administration/Diversity

October 2020

2021 Preliminary Budget (Public Comment)
LIRR/MNR PTC Project Update
November Timetable Change & Trackwork Programs

President
Service Planning

November 2020

East Side Access Support Projects Update
Holiday Service & Trackwork Programs
PTC Status Report
Review of Committee Charter

President/Sr. Staff
Service Planning
Engineering
Committee Chair & Members

LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

The Committee Chair will request a motion to approve the minutes of the prior month's meeting.

2020 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

President's Report

A Monthly report will be provided highlighting major accomplishments and progress on key initiatives and performance indicators.

Safety Report

A monthly report will be given highlighting key safety performance statistics and indicators

Capital Construction Report

A monthly project update report will be provided for the month reported.

Police Report

MTA Police will highlight the significant police activities incurred during the month reported.

Action Items (if any)

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

Information Items (if any)

Materials presented to the Committee for review pertaining to certain agency initiatives and functions.

Procurements

List of procurement action items requiring Board approval and items for Committee and Board information. The Non-Competitive items will be first, followed by the Competitive items and then the Ratifications. The list will include items that need a 2/3 vote of the Board for approval.

Police Activity Report

MTA Police will highlight the significant police activities incurred during the month reported.

PERFORMANCE SUMMARIES

Operations Report

A monthly report will be given highlighting key operating performance statistics and indicators.

Financial Report

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast.

Ridership Report

A monthly report will be provided that compares actual monthly ticket sales, ridership and revenues against prior year results.

Capital Program Report

A report will be provided highlighting significant capital program accomplishment in the month reported.

II. SPECIFIC AGENDA ITEMS

JANUARY 2020

Approval of 2020 Committee Work Plan

The Committee will approve the Proposed Long Island Rail Road Committee Work Plan for 2020 that will address initiatives to be reported on throughout the year.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

FEBRUARY 2020

Adopted Budget/Financial Plan 2020

The Agency will present its revised 2020 Financial Plan. These plans will reflect the 2020 Adopted Budget and an updated Financial Plan for 2019 reflecting the out-year impact of any changes incorporated into the 2019 Adopted Budget.

2019 Annual Operating Results

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2019

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2020 Spring/Summer Construction Schedule Changes

The Committee will be advised of plans to adjust schedules to support construction projects during the spring and summer of 2020.

MARCH 2020

Annual Elevator/Escalator Report

Annual report to the Committee on system-wide availability for elevators and escalators throughout the system.

Spring Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the Spring of 2019.

Customer Satisfaction Survey Report

The committee will be informed on the results of the 2018 survey distributed to LIRR customers.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

2019 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2019 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

APRIL 2019

Final Review of 2019 Operating Results

A review of the prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

2020 Summer Schedule Change

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2019.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

MAY 2020

2020 Summer Service and Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the summer of 2020.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

JUNE 2020

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

Track Work Programs

This is to inform the Long Island Committee of the MTA Long Island Rail Road's plans to adjust schedules to support various trackwork programs, Main Line Second Track construction and East Side Access Readiness projects

Diversity & EEO Report– 1st Quarter 2020

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

JULY 2020

Penn Station Retail Development

MTA Real Estate will provide an annual report on leasing and construction opportunities and financial and marketing information related to retail development in Penn Station.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

September Timetable & Trackwork Programs

The Committee will be advised of Agency plans to adjust schedules to support construction projects during the fall of 2020.

SEPTEMBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2020 Budget.

2020 Mid-Year Forecast

The agency will provide the 2019 Mid-Year Forecast financial information for revenue and expense by month.

Diversity & EEO Report– 2nd Quarter 2019

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

OCTOBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

NOVEMBER 2020

Review Committee Charter

Annual review of Long Island Committee Charter for Committee revision/approval.

East Side Access Support Projects Update

The Committee will be briefed on the status of the East Side Access Support Projects.

Holiday Schedule

The Committee will be informed of Agency's service plans for the Thanksgiving and Christmas/New Year's holiday periods.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risk associated with the PTC implementation.

DECEMBER 2020

Diversity & EEO Report– 3rd Quarter 2020

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to LIRR's Equal Employment Opportunity and Diversity efforts, such as

composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2021 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2021.

Proposed 2021 Committee Work Plan

The Committee Chair will present a draft Long Island Rail Road Committee Work Plan for 2019 that will address initiatives to be reported throughout the year.

Project Update on PTC

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 and as amended by the "Positive Train Control Enforcement and Implementation Act of 2015". Highlights to include cost of PTC along with operation and implementation risks.

MTA Long Island Rail Road (LIRR)

EEO Report – 3rd Quarter 2019

December 16, 2019



Executive Summary

■ EEO

As of **September 30, 2019**, LIRR's workforce included 7,579 total employees. This represents a 1% decrease from the third quarter 2018 (3Q18) workforce.

- Females represent 15% (1120) of our workforce, remaining constant, when compared to 3Q18, due to hiring activity restrictions combined with attrition.
- Females were hired above their current representation due to recruitment efforts that aimed to increase pool of female applicants .
- Minorities represent 37% (2,773) of our workforce, a 1% increase when compared to 3Q18, due to recruitment efforts.
- Minorities were hired above their current representation due to recruitment efforts that aimed to increase pool of minority applicants.



Executive Summary

MTA LIRR conducted a **utilization analysis*** of females and minorities in its workforce as of September 30, 2019. Based on the analysis, the majority of underrepresentation for females and minorities occurred in the following EEO categories:

Females:

- Officials & Administrators – Black and White
- Professionals - White
- Technicians – Hispanic, Asian and White
- Administrative Support – Hispanic, Asian and White
- Skilled Craft– Black and Hispanic
- Service Maintenance – Hispanic and Asian

Minorities:

- Officials & Administrators – Black
- Technicians – Black, Hispanic and Asian
- Administrative Support – Hispanic and Asian
- Skilled Craft – Black, Hispanic, Asian and NHOPI
- Service Maintenance – Hispanic and Asian

*The utilization analysis compares the percentages of females and minorities employed in each job group to 80 percent of the females and minorities available within the relevant labor market.



Executive Summary

- **Diversity Initiatives to increasing representation**
 - Initiatives/challenges to **address** underrepresentation for **females** and **minorities**
 - Female - non-traditional/male dominated industry; limited availability of technical, skilled craft and service maintenance qualified females, private sector competitive salaries.
 - Minority – private sector competitive salaries.
 - Initiatives to **increase** representation for **veterans** and **persons with disabilities**
 - Continue partnership with MTA Office of Veterans Affairs to promote employment opportunities for veterans.
 - Continue coordination with the NYC Mayor’s Office for People with Disabilities to promote employment opportunities for persons with disabilities.



MTA LIRR

Workforce

as of September 30, 2019



Definitions of EEO Job Categories

Officials & Administrators

Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.

Professionals

Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.

Technicians

Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.

Protective Services

Occupations in which workers are entrusted with public safety, security and protection from destructive forces.

Paraprofessionals

Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.

Administrative Support

Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.

Skilled Craft

Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.

Service Maintenance

Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.



MTA LIRR Workforce

JOB CATEGORY	TOTAL		Minorities		WHITES		BLACKS		HISPANICS		ASIANS		AI/AN*		NHOP1**		2+ RACES		VETERANS		PWD***	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	1,379		474	34%	905	66%	173	13%	135	10%	89	6%	7	1%	0	0%	70	5%	93	7%	16	1%
F	266	19%	130	9%	136	10%	59	4%	32	2%	24	2%	0	0%	0	0%	15	1%	9	10%	5	31%
M	1,113	81%	344	25%	769	56%	114	8%	103	7%	65	5%	7	1%	0	0%	55	4%	84	90%	11	69%
Professionals	323		147	46%	176	54%	48	15%	35	11%	48	15%	0	0%	1	0%	15	5%	22	7%	4	1%
F	50	15%	28	9%	22	7%	7	2%	6	2%	11	3%	0	0%	1	0%	3	1%	0	0%	1	25%
M	273	85%	119	37%	154	48%	41	13%	29	9%	37	11%	0	0%	0	0%	12	4%	22	100%	3	75%
Technicians	14		7	50%	7	50%	2	14%	2	14%	1	7%	1	7%	0	0%	1	7%	1	7%	0	0%
F	1	7%	1	7%	0	0%	1	7%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
M	13	93%	6	43%	7	50%	1	7%	2	14%	1	7%	1	7%	0	0%	1	7%	1	100%	0	0%
Administrative Support	394		195	49%	199	51%	120	30%	43	11%	15	4%	2	1%	0	0%	15	4%	13	3%	1	0%
F	207	53%	121	31%	86	22%	81	21%	24	6%	8	2%	1	0%	0	0%	7	2%	3	23%	0	0%
M	187	47%	74	19%	113	29%	39	10%	19	5%	7	2%	1	0%	0	0%	8	2%	10	77%	1	100%
Skilled Craft	4,599		1528	33%	3,071	67%	712	15%	524	11%	143	3%	8	0%	1	0%	140	3%	346	8%	9	0%
F	446	10%	199	4%	247	5%	129	3%	39	1%	15	0%	0	0%	0	0%	16	0%	9	3%	0	0%
M	4,153	90%	1329	29%	2,824	61%	583	13%	485	11%	128	3%	8	0%	1	0%	124	3%	337	97%	9	100%
Service Maintenance	870		422	49%	448	51%	238	27%	133	15%	18	2%	4	0%	1	0%	28	3%	42	5%	2	0%
F	150	17%	103	12%	47	5%	69	8%	27	3%	0	0%	1	0%	0	0%	6	1%	4	10%	0	0%
M	720	83%	319	37%	401	46%	169	19%	106	12%	18	2%	3	0%	1	0%	22	3%	38	90%	2	100%
Total	7,579		2,773	37%	4,806	63%	1,293	17%	872	12%	314	4%	22	0%	3	0%	269	4%	517	7%	32	0%



* American Indian/Alaskan Native

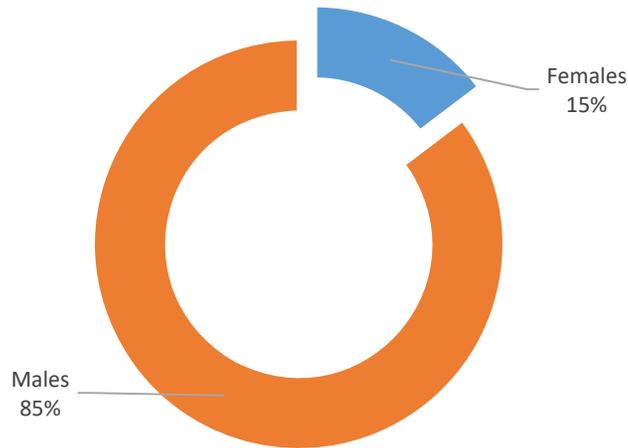
**Native Hawaiian Other Pacific Islander

***Persons with Disabilities

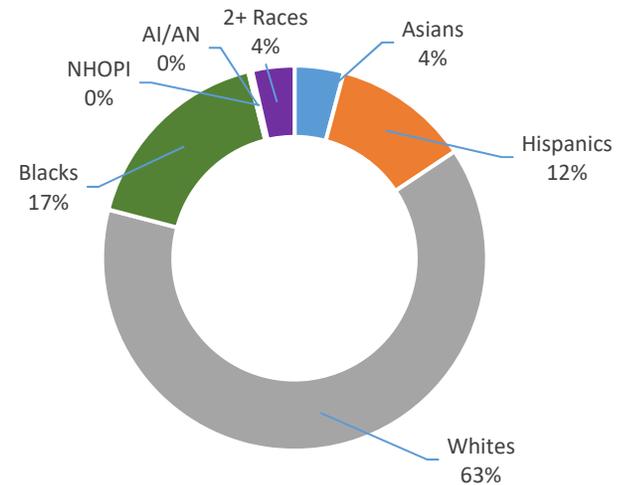
Note: All percentages have been rounded up to the nearest whole number.

MTA LIRR Workforce

Workforce by Gender



Workforce by Race/Ethnicity



LIRR's workforce consists of 7,579 employees

- ❑ 15% females, 37% minorities, and 7% veterans.
- ❑ The percentage of females has remained constant when compared to 3Q18.
- ❑ The percentage of minorities has increased by 1% as it relates to race and ethnicity when compared to 3Q18.



Underutilization Analysis Overview

A utilization analysis was conducted to determine whether there is underutilization of females and minorities in its workforce. This analysis consists of comparing **June 30, 2019** workforce percentages for females and minorities to the 2019 80 percent estimated availability of the females and minorities available within the relevant labor market. Underutilization exists if the percentage of females or minorities in a job category is less than 80% of their expected estimated availability.

The following chart provide shaded/bolded areas that represent below 80 percent of the Census availability or underutilization: (1) the female and minority workforce percentages for this agency; (2) 80% of the females and minorities available for work based on the 2010 Census by job category; and (3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.



MTA LIRR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN		NHOPI		2+ RACES		WHITES	
		Est Avail	Actual %												
Officials & Administrators	F	5%	4%	2%	2%	1%	2%	0%	0%	0%	0%	1%	1%	11%	10%
	M	7%	8%	6%	7%	3%	5%	0%	1%	0%	0%	1%	4%		
Professionals	F	3%	2%	2%	2%	2%	3%	0%	0%	0%	0%	0%	1%	14%	7%
	M	6%	13%	5%	9%	6%	11%	0%	0%	0%	0%	1%	4%		
Technicians	F	3%	7%	3%	0%	2%	0%	0%	0%	0%	0%	0%	0%	6%	0%
	M	10%	7%	9%	14%	8%	7%	0%	7%	0%	0%	0%	7%		
Administrative Support	F	13%	21%	10%	6%	4%	2%	0%	0%	0%	0%	1%	2%	26%	22%
	M	5%	10%	4%	5%	2%	2%	0%	0%	0%	0%	1%	2%		
Skilled Craft	F	5%	3%	2%	1%	0%	0%	0%	0%	0%	0%	0%	0%	5%	5%
	M	14%	13%	11%	11%	4%	3%	0%	0%	1%	0%	2%	3%		
Service Maintenance	F	6%	8%	5%	3%	1%	0%	0%	0%	0%	0%	0%	1%	6%	5%
	M	13%	19%	16%	12%	2%	2%	0%	0%	0%	0%	1%	3%		

Est Avail - Based on 2019 estimated availability

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



MTA LIRR

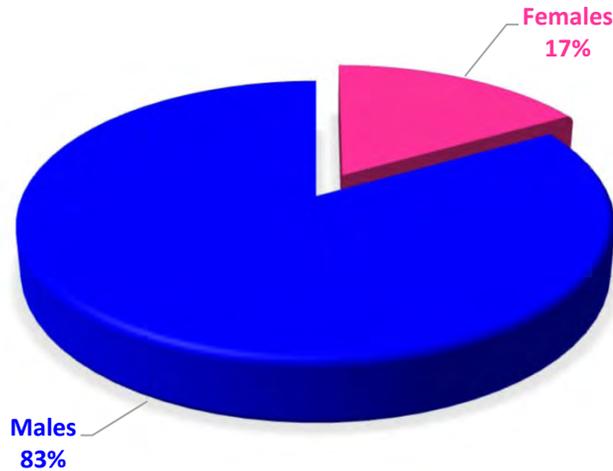
New Hires and Veterans

January 1, 2019 – September 30, 2019

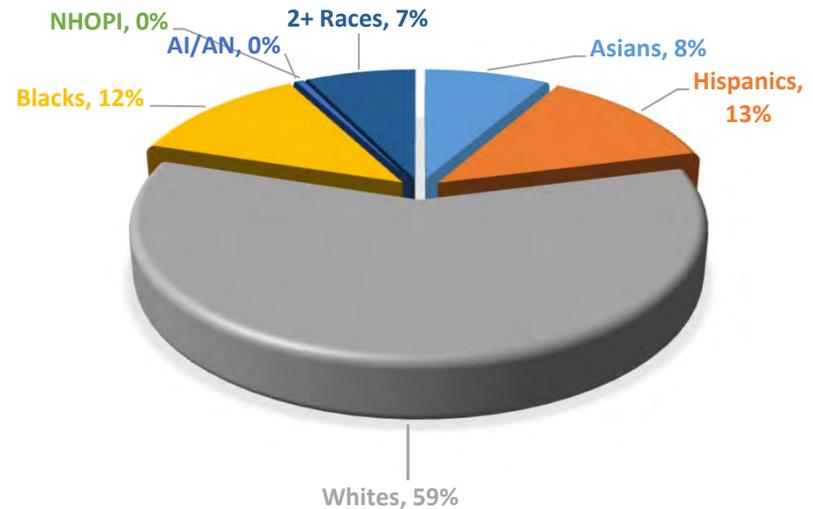


MTA LIRR New Hires and Veterans

NEW HIRE BY GENDER



NEW HIRE BY RACE/ETHNICITY



LIRR added 204 employees, including 12 veterans;

- ❑ 17% females, none of whom were veterans.
- ❑ Female hire percentage was above their current percentage of workforce representation.
- ❑ 41% minorities, none of whom were veterans.
- ❑ Minorities were hired above their current percentage of workforce representation.



MTA LIRR

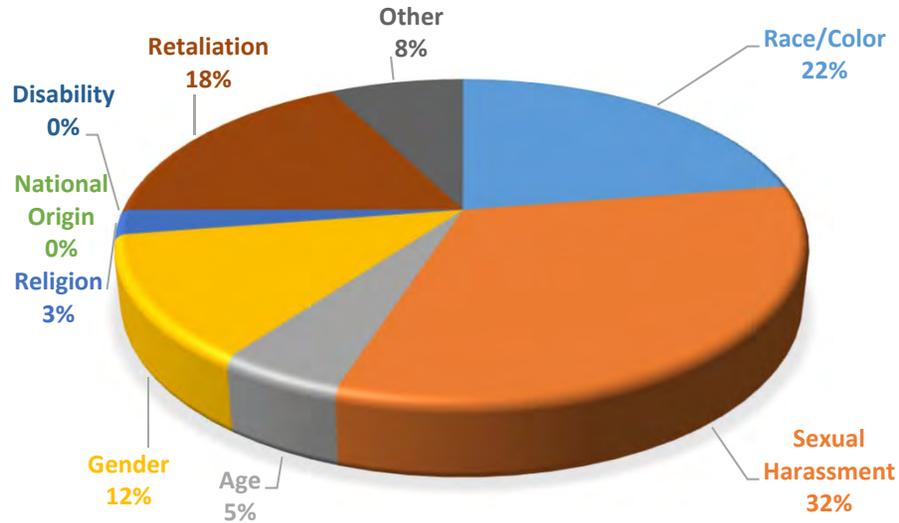
Complaints and Lawsuits

January 1, 2019 – September 30, 2019

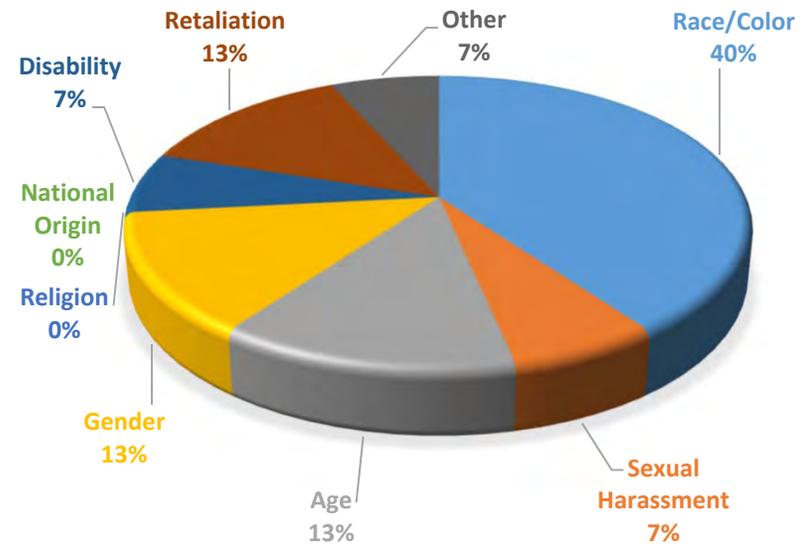


MTA LIRR Internal/External EEO Complaints and Lawsuits

INTERNAL EEO COMPLAINTS



EXTERNAL EEO COMPLAINTS



LIRR handled 33 EEO complaints, citing 55 separate allegations, and 12 lawsuits.

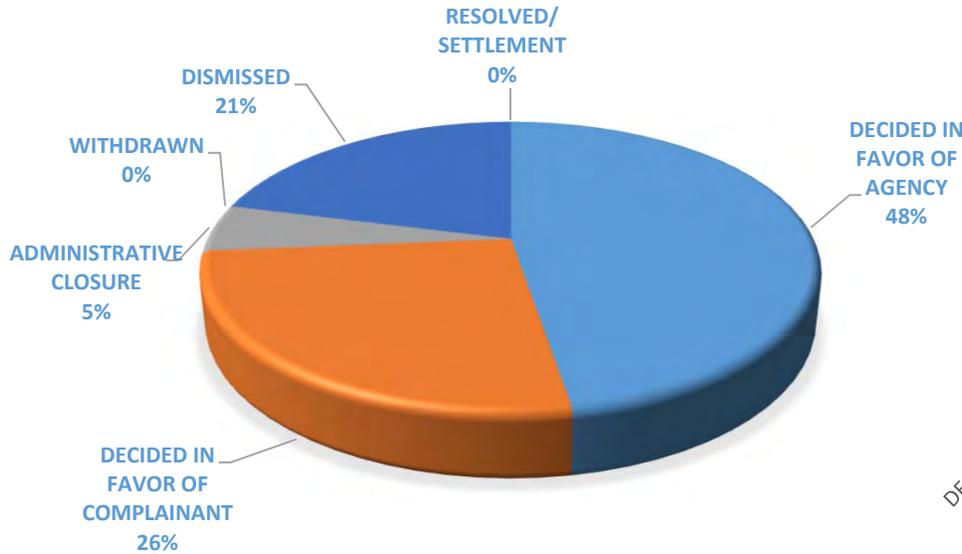
- ❑ 25 internal complaints.
- ❑ 8 external complaints.
- ❑ The most frequently cited basis internally was sexual harassment and externally it was Race/Color.



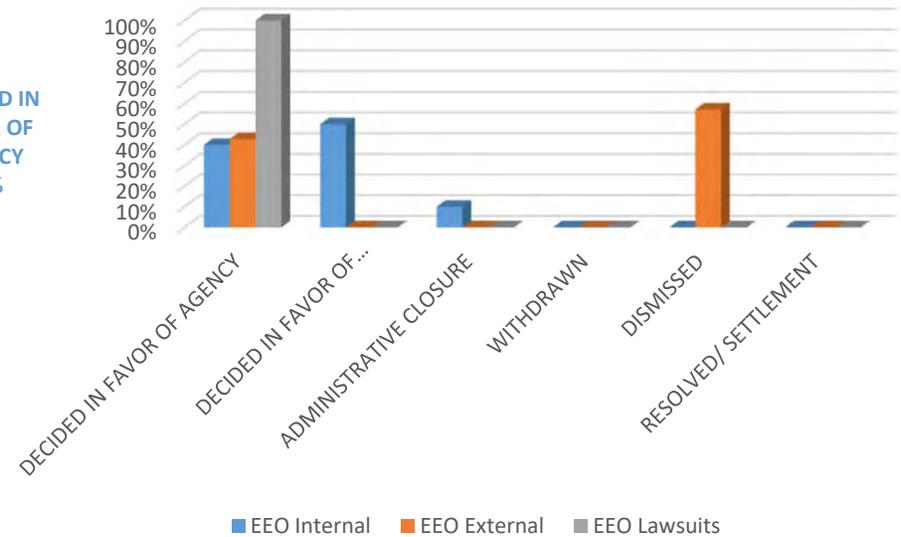
These charts include all pending matters as of the date of the report; including matters filed prior to the reporting period. "Other" contains all EEO categories not otherwise specifically mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Marital Status etc.).

MTA LIRR EEO Complaints and Lawsuits Dispositions

OVERALL EEO COMPLAINTS AND LAWSUITS DISPOSITIONS



EEO COMPLAINTS AND LAWSUITS DISPOSITIONS



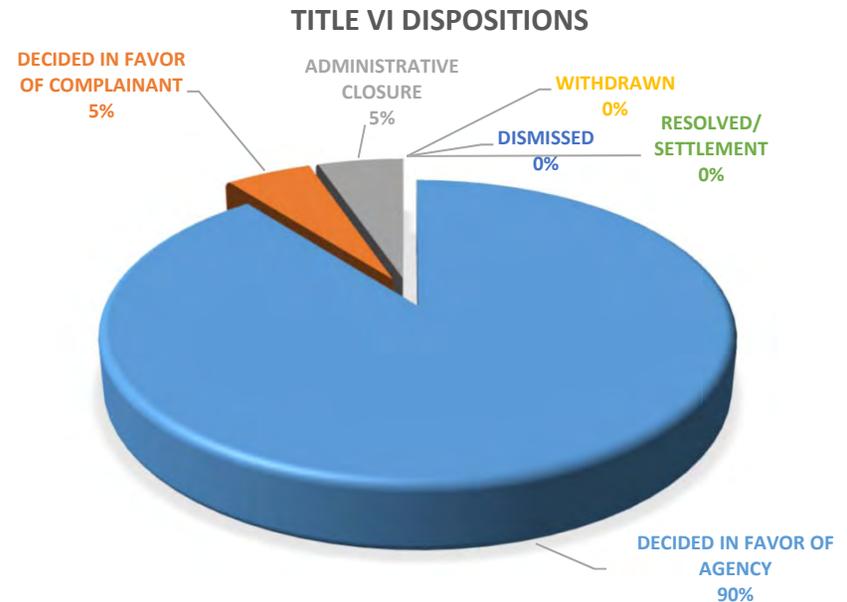
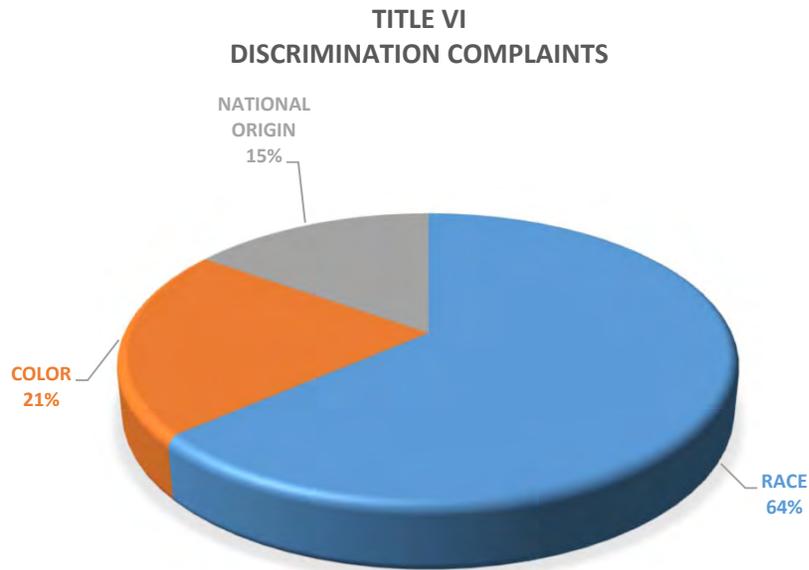
LIRR disposed 17 EEO complaints and 2 EEO lawsuits.

- ❑ 48% complaints/lawsuits decided in favor of the agency.
- ❑ 26% complaints /lawsuits decided in favor of the complainant.
- ❑ 5% complaints/lawsuits were administrative closures.
- ❑ 21% complaints /lawsuits were dismissed.



MTA LIRR

Title VI Discrimination Complaints, Lawsuits and Dispositions



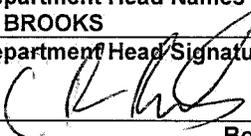
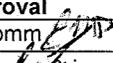
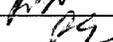
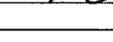
LIRR handled 24 Title VI Complaints, citing 33 separate allegations and no Title VI lawsuits. LIRR disposed of 19 complaints.

- ❑ 90% of the complaints were decided in favor of the agency.
- ❑ 5% of the complaints were decided in favor of the complainant.
- ❑ 5% of the complaints were administrative closures.



Staff Summary



Subject JANUARY TIMETABLE CHANGE & TRACKWORK PROGRAMS						Date November 19, 2019			
Departments SR. VICE PRESIDENT – OPERATIONS						Vendor Name			
Department Head Names R. BROOKS						Contract Number			
Department Head Signature 						Contract Manager Signature			
Board Action						Internal Approval			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	LI COMM	12/16/19				3	VP Corp Comm 		
						2	CTO 		
						1	President 		

PURPOSE:

This is to inform the Long Island Committee of the MTA Long Island Rail Road’s plan to adjust schedules beginning January 6, 2020, through March 8, 2020. Projects supported during this timetable include Main Line Expansion, Amtrak State of Good Repair at Penn Station, and Lynbrook Station Improvements. Continuing projects include Positive Train Control Installation, East Side Access work in Harold Interlocking, West Side Yard Overbuild, Long Beach Hurricane Sandy Restoration Work, and Jamaica Capacity Improvements. Additionally, track work programs during January will support the Main Line Third Track Project.

JANUARY 6 TIMETABLE CHANGE

Service Improvements

- **Added Stop At Customer Request** – In response to customer requests, one overnight train will have an added stop. Train 3, the 1:00 AM from Babylon, will add a Lynbrook stop at 1:39 AM to improve intra-Island travel options for customers.

Construction Activities

- **Penn Station – Amtrak State of Good Repair Project 2020** – Track 14 within Penn Station will be out of service to allow Amtrak to make necessary repairs in the next phase of this continuing project. This phase of the work will have weekday Peak period service impacts beginning Monday, January 6, and continuing through this timetable.
 - **Temporary Service Adjustments:** As a result of the reduction of capacity in Penn Station, the following changes to Peak period service will be implemented: 4 regular AM Peak Penn Station trains will be diverted, 3 to Atlantic Terminal, and one to Jamaica; and one train will be cancelled and combined with another train. In addition, the two early AM Peak trains added in previous SOGR programs will continue to operate to provide additional service

opportunities into Penn Station in place of cancelled or diverted trains. In the PM Peak, the following changes will be implemented: 2 added trains from Penn Station in the early afternoon shoulder peak period will operate; one added train from Hunterspoint Avenue in the 7 PM hour will operate; 2 trains will originate at Atlantic Terminal instead of Penn Station, 1 train will originate at Jamaica instead of Penn Station; 2 trains will be cancelled at Penn Station and combined with other trains; and 1 PM Reverse Peak train will be diverted to Atlantic Terminal. In both the AM and PM, stops have been added to trains as necessary to preserve service opportunities from diverted or cancelled trains, and cars have been added to lengthen select existing trains.

- **Main Line, Nassau 3-Divide – Main Line Expansion (Weekdays)** – One of two main tracks will be out of service midday weekdays between Nassau 3 interlocking in Carle Place and Divide interlocking in Hicksville for work related to the Main Line Expansion Project.
 - **Temporary Service Adjustments:** With one of two main tracks out of service between Carle Place and Hicksville middays for the Main Line Expansion Project, a number of schedule adjustments will take place on the Port Jefferson and Ronkonkoma branches. Some Huntington trains are adjusted between 11 and 19 minutes later, with connecting service to Port Jefferson adjusted accordingly. Some Ronkonkoma trains are adjusted up to 30 minutes later with connecting Riverhead/Greenport trains adjusted accordingly.
- **Main Line, Queens-Nassau 1 – Main Line Expansion (Overnight)** – One of two main tracks will be out of service overnights between Queens interlocking and Nassau 1 interlocking in New Hyde Park for work related to the Main Line Expansion Project.
 - **Temporary Service Adjustments:** With one of two main tracks out of service between Queens and New Hyde Park overnights for the Main Line Expansion Project, a number of schedule adjustments will take place on the Port Jefferson and Ronkonkoma branches. Westbound Ronkonkoma trains will be adjusted between 4 and 18 minutes earlier. Some Huntington Branch trains will be adjusted between 2 to 4 minutes.

TRACK WORK PROGRAMS

Construction Activities (Short-term trackwork items requiring a special program)

- **Main Line Expansion Nassau Switch Installation** – As part of the ongoing Main Line Expansion Program, both main tracks of the Main Line will be out of service between New Hyde Park and Hicksville for the installation of new switches at Nassau Interlocking west of Mineola Station for 24 hours on Saturday January 4th, January 11th and January 18th.
 - **Temporary Service Adjustments:**
 - Eastbound, no MU service will operate between Penn Station and Hicksville, and two-hourly Oyster Bay Branch diesel service will operate between Mineola and Oyster Bay. For Eastbound customers from western terminals traveling to Ronkonkoma Branch stations Farmingdale through Ronkonkoma, and to Port Jefferson Branch stations Hicksville through Huntington/Port Jefferson, customers will board electric MU express service to Babylon, where they will transfer to diesel shuttle trains operating between Babylon and Hicksville via the Central Branch, then transfer at Hicksville to trains operating to either Ronkonkoma or Huntington/Port Jefferson. Eastbound

Bethpage customers will board the electric MU express service to Babylon, then transfer to the diesel shuttle train, which will stop at Bethpage on its way to Hicksville.

- Westbound, no electric MU service will operate between Hicksville and Penn Station, and two-hourly Oyster Bay Branch diesel service will operate between Oyster Bay and Mineola. For Westbound customers on the Ronkonkoma Branch travelling from stations Ronkonkoma through Farmingdale, and on the Port Jefferson Branch for stations Port Jefferson/Huntington through Hicksville, customers will board trains at their station to Hicksville, where they will transfer to diesel shuttle trains operating between Hicksville and Babylon via the Central Branch, then transfer at Babylon to express trains for western terminals. Westbound Bethpage customers will board the diesel shuttle train to Babylon, then transfer at Babylon to express trains for western terminals.
- *Extra trains will be added between New York and Babylon to connect with shuttle trains between Babylon and Hicksville.*
- *Extra trains will be added between Hempstead and Penn Station to serve as an alternative service option for customers traveling to/from New Hyde Park, Merillon Avenue, Mineola, Carle Place, and Westbury.*
- *Bus service will be provided for Mineola customers between Mineola and Hempstead for connections to and from points west.*
- *Bus service will also be provided between Mineola and Hicksville.*
- *Oyster Bay Branch trains will operate between Oyster Bay and Mineola, with bus service provided between Mineola and Hempstead for connections to and from points west.*
- *There will be normal weekend service intervals on the Montauk, Long Beach, Far Rockaway, Port Washington, and West Hempstead Greenport Branches, but on adjusted schedules. Train service will operate between Ronkonkoma and Greenport, but on adjusted schedules.*

As part of our communication campaign for these service changes, public timetables will be issued, and additional information will be shared via our website, e-mail alerts, and social media messaging. Stay connected. Find real-time LIRR service status information on www.mta.info, by signing up for E-Alerts at www.MyMTAAlerts.com, or call the LIRR's Customer Service Center at 511 or 718-217-LIRR (718-217-5477).

IMPACT ON FUNDING

Funding for these projects is contained in the Long Island Rail Road Operating and Capital budgets.



Metro-North Railroad

Information Items

2020 Proposed Metro-North Railroad Committee Work Plan

<u>I. RECURRING AGENDA ITEMS</u>	<u>Responsibility</u>
Approval of Minutes	Committee Chairs & Members
2020 Committee Work Plan	Committee Chairs & Members
President's Report	President/Senior Staff
Safety Report	
MTA Police Report	
Information Items (if any)	
Action Items (if any)	
Procurements	
Agency Reports	Senior Staff
Operations	
Finance	
Ridership	
Capital Program	
<u>II. SPECIFIC AGENDA ITEMS</u>	<u>Responsibility</u>
<u>January 2020</u>	
Approval of 2020 Committee Work Plan	Committee Chairs & Members
Track Program Quarterly Update	Engineering
PTC Status Report	Engineering
<u>February 2020</u>	
Adopted Budget/Financial Plan 2020	Finance
2019 Annual Operating Results	Operations
LIRR/MNR PTC Project Update	President
Diversity/EEO Report – 4th Quarter 2019	Diversity and EEO
2020 Spring/Summer Schedule Change	Operations Planning & Analysis
<u>March 2020</u>	
Annual Elevator & Escalator Report	Engineering
Customer Satisfaction Survey Report	Operations Planning & Analysis
2019 Annual Ridership Report	Operations Planning & Analysis
PTC Status Report	Engineering
<u>April 2020</u>	
Final Review of 2019 Operating Budget Results	Finance
Track Program Quarterly Update	Engineering
LIRR/MNR PTC Project Update	President
<u>May 2020</u>	
PTC Status Report	Engineering
Progress on Way Ahead Strategic Plan	Strategic Initiatives

June 2020

LIRR/MNR PTC Project Update
Diversity/EEO Report – 1st Quarter 2020

President
Diversity and EEO

July 2020

Grand Central Terminal Retail Development
Track Program Quarterly Update
PTC Status Report

MTA Real Estate
Engineering
Engineering

September 2020

2021 Preliminary Budget (Public Comment)
2020 Mid-Year Forecast
2020 Fall Schedule Change
PTC Status Report
Diversity/EEO Report – 2nd Quarter 2020

Finance
Finance
Operations Planning & Analysis
Engineering
Diversity and EEO

October 2020

2021 Preliminary Budget (Public Comment)
LIRR/MNR PTC Project Update
Track Program Quarterly Update
Holiday Schedule

Finance
President
Engineering
Operations Planning & Analysis

November 2020

Review of Committee Charter
PTC Status Report
Progress on Way Ahead Strategic Plan

Committee Chair & Members
Engineering
Strategic Initiatives

December 2020

2021 Final Proposed Budget
2021 Proposed Committee Work Plan
Diversity/EEO Report – 3rd Quarter 2020
LIRR/MNR PTC Project Update

Finance
Committee Chairs & Members
Diversity and EEO
President

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

The Committee Chair will request a motion to approve the minutes of the prior month's meeting.

2019 Work Plan

The Work Plan will list, by month, the topics scheduled for review. The Committee will be advised if any changes have been made to the plan.

President's Report

A monthly report will be provided highlighting major accomplishments and progress on key initiatives and performance indicators.

Safety

A monthly report will be provided highlighting key safety performance statistics and indicators.

Police Activity Report

MTA Police will highlight the significant police activities incurred during the month reported.

Information Items (if any)

Materials presented to the Committee for review pertaining to certain agency initiatives and functions.

Action Items (if any)

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

Procurements

List of procurement action items requiring Board approval. The Non-Competitive items will be first, followed by the Competitive items and then the Ratifications. The list will include items that need a 2/3 vote of the Board for approval.

Operations

A monthly report will be provided highlighting key operating and performance statistics and indicators.

Finance

A monthly report will be provided that compares the Railroad's actual financial performance against its budget and/or forecast both on an accrual and cash basis.

Ridership

A monthly report will be provided that includes a comparison of actual monthly ticket sales, ridership and revenues with the budget and prior year results.

Capital Program

A monthly report will be provided highlighting significant capital program accomplishments in the month reported.

II. SPECIFIC AGENDA ITEMS

JANUARY 2020

Approval of 2020 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2020 that will address initiatives to be reported on throughout the year.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

FEBRUARY 2020

Adopted Budget/Financial Plan 2020

The Agency will present its revised 2020 Financial Plan. These plans will reflect the 2020 Adopted Budget and an updated Financial Plan for 2020 reflecting the out-year impact of any changes incorporated into the 2020 Adopted Budget.

2019 Annual Operating Results

A review of the prior year's performance of railroad service will be provided to the Committee.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 4th Quarter 2019

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

2020 Spring/Summer Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines during the spring and summer of 2020.

MARCH 2020

Annual Elevator/Escalator Report

Annual report to the Committee on system-wide reliability and availability for elevators and escalators throughout the system.

Customer Satisfaction Survey Report

The committee will be informed on the results of the 2019 survey distributed to customers on the Hudson, Harlem and New Haven Lines and West of Hudson service.

2019 Annual Ridership Report

A report will be presented to the Committee on Metro-North's ridership trends during 2019 based on monthly ticket sales data and the results of train ridership counts conducted by Metro-North.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

APRIL 2020

Final Review of 2019 Operating Results

A review of the prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

MAY 2020

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.

JUNE 2020

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Diversity & EEO Report– 1st Quarter 2020

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

JULY 2020

Grand Central Terminal Retail Development

MTA Real Estate will provide an annual report on leasing and construction opportunities and financial and marketing information related to retail development in Grand Central Terminal.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

SEPTEMBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

2020 Mid-Year Forecast

The agency will provide the 2020 Mid-Year Forecast financial information for revenue and expense by month.

2020 Fall Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines for the Fall of 2020.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Diversity & EEO Report– 2nd Quarter 2020

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

OCTOBER 2020

2021 Preliminary Budget

Public comment will be accepted on the 2021 Budget.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

Track Program Quarterly Update

A quarterly report will be provided that highlights the progress made on track maintenance work to bring the infrastructure to a state of good repair.

Holiday Schedule

The Committee will be informed of Metro-North's service plans for the Thanksgiving and Christmas/New Year's holiday periods.

NOVEMBER 2020

Review of Committee Charter

Annual review and approval of the MNR Committee Charter.

PTC Status Report

A monthly status report will be provided that highlights the accomplishments, schedule, challenges and risks associated with the PTC implementation.

Progress on Way Ahead Strategic Plan

A biannual report to the Committee on Metro-North's progress in setting the standard for safety, reliability and innovation in the delivery of excellent customer service.

DECEMBER 2020

2021 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2021.

2021 Proposed Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2021 that will address initiatives to be reported throughout the year.

Diversity & EEO Report– 3rd Quarter 2020

A quarterly report to the Committee providing data on key Equal Employment Opportunity (EEO) and Human Resources indicators relating to MNR's EEO and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In alternating quarters, the report will include additional information on diversity initiatives.

LIRR/MNR PTC Project Update

The Committee will be briefed on the status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008. Highlights to include cost of PTC along with operation and implementation risks.

METRO-NORTH RAILROAD MNR

EEO Report – 3rd Quarter 2019

December 16, 2019



Executive Summary

■ EEO

As of **September 30, 2019**, MNR's workforce included **6,670** total employees. This represents a 1% decrease from the third quarter 2018 (3Q18) workforce.

- Females represent 13% (846) of our workforce, remaining constant, when compared to 3Q18 despite outreach programs.
- Females were hired above their current representation because of outreach efforts and career fairs hosted by HR directed at female potential candidates. Female hiring rates were high in the Service Maintenance/EEO category.
- Minorities represent 39% (2,602) of our workforce, an increase of 1% when compared to 3Q18 due to candidate outreach programs targeting minority populations within the community and career fairs to attract candidates from the area's minority population.



Executive Summary

MNR conducted a **utilization analysis*** of females and minorities in its workforce as of September 30, 2019. Based on the analysis, the majority of underrepresentation for females and minorities occurred in the following EEO categories:

Females:

- Professionals – Whites
- Technicians – Asians
- Paraprofessionals – Hispanics, 2+ Races and Whites
- Administrative Support – Whites
- Skilled Craft – Hispanics and Whites
- Service Maintenance – Hispanics and Asians

Minorities:

- Technicians – Hispanics, Asians and AI/AN
- Paraprofessionals – Blacks, Hispanics, Asians and 2+ Races
- Administrative Support – Asians
- Skilled Craft – Hispanics and Asians
- Service Maintenance – Hispanics and Asians

*The utilization analysis compares the percentages of females and minorities employed in each job group to 80 percent of the females and minorities available within the relevant labor market.



Executive Summary

■ Diversity Initiatives to increasing representation

- Initiatives/challenges to address underrepresentation for females and minorities
 - **Female** A Hofstra University student was appointed as a Law Fellow in the Labor Relations Department. An intern from the JFEW Eleanor Roosevelt Scholars Program joined the Corporate and Public Affairs department for the summer. In addition, a female from the Career and Technical Education (CTE) program was selected to work with MNR's technical operations team as a summer intern. HR participated in a college/career fair at Vaughn College targeting potential female applicants for skilled-trades positions in the Maintenance of Way's Track and Signals departments.
 - **Minority** MNR attended Harlem Week where recruiters met with a diverse population within the community who were interested in career opportunities at MNR. HR attended the Allure Group career fair to promote opportunities and attract candidates from the area's Asian communities.
- Initiatives to increase representation in our applicant pool for veterans and persons with disabilities
 - **Veteran** In on-going efforts to continue to enhance our veteran presence in our applicant pool, HR attended numerous Veterans Fairs to discuss employment opportunities at MNR.
 - **Persons with disability** Talent Acquisition attended job fairs with NYU Rusk and Sapolin Accessibility aimed at recruiting people with disabilities for office and administrative support positions.



MNR's

Workforce
as of September 30, 2019



Definitions of EEO Job Categories

Officials & Administrators

Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, or direct individual departments or special phases of the agency's operations, or provide specialized consultation on a regional, district or area basis.

Professionals

Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge.

Technicians

Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary school education or through equivalent on-the-job training.

Protective Services

Occupations in which workers are entrusted with public safety, security and protection from destructive forces.

Paraprofessionals

Occupations in which workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status.

Administrative Support

Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office.

Skilled Craft

Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the process involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs.

Service Maintenance

Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public or which contribute to the upkeep and care of buildings, facilities or grounds of public property.



MNR's Workforce

JOB CATEGORY	TOTAL		Minorities		Est		WHITES		Est		BLACKS		Est		HISPANICS		Est		ASIANS		Est		AI/AN*		Est		NHOP1**		Est		2+ RACES		Est		VETERANS		PWD***	
	#	%	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	Avail %	#	%	
Officials & Administrators	813		298	37%	27%	515	63%	53%	118	15%	12%	70	9%	8%	71	9%	4%	2	0%	0%	2	0%	0%	2	0%	0%	35	4%	3%	62	8%	1%	10	1%				
F	186	23%	102	13%	18%	84	10%	10%	40	5%	4%	23	3%	2%	30	4%	2%	1	0%	0%	1	0%	0%	1	0%	0%	7	1%	1%	2	3%	2	20%					
M	627	77%	196	24%	9%	431	53%	43%	78	10%	8%	47	6%	5%	41	5%	3%	1	0%	0%	1	0%	0%	1	0%	0%	28	3%	2%	60	97%	8	80%					
Professionals	282		150	53%	31%	132	47%	49%	57	20%	13%	36	13%	10%	37	13%	7%	2	1%	0%	0	0%	0%	0	0%	0%	18	6%	2%	6	2%	4%	4	1%				
F	97	34%	69	24%	17%	28	10%	20%	33	12%	7%	14	5%	5%	14	5%	3%	2	1%	0%	0	0%	0%	0	0%	0%	6	2%	1%	1	17%	2	50%					
M	185	66%	81	29%	15%	104	37%	29%	24	9%	6%	22	8%	5%	23	8%	4%	0	0%	0%	0	0%	0%	0	0%	0%	12	4%	1%	5	83%	2	50%					
Technicians	138		60	43%	32%	78	57%	48%	30	22%	16%	13	9%	10%	8	6%	3%	0	0%	1%	0	0%	1%	0	0%	0%	9	7%	3%	22	16%	2%	2	1%				
F	16	12%	12	9%	4%	4	3%	3%	6	4%	2%	3	2%	1%	0	0%	1%	0	0%	0%	0	0%	0%	0	0%	0%	3	2%	0%	3	14%	0	0%					
M	122	88%	48	35%	28%	74	54%	46%	24	17%	14%	10	7%	9%	8	6%	2%	0	0%	1%	0	0%	1%	0	0%	0%	6	4%	3%	19	86%	2	100%					
Protective Services																																						
F																																						
M																																						
Paraprofessionals	13		5	38%	33%	8	62%	47%	2	15%	14%	1	8%	14%	1	8%	5%	0	0%	0%	0	0%	0%	0	0%	0%	1	8%	1%	0	0%	1%	1	0%				
F	7	54%	4	31%	29%	3	23%	41%	2	15%	12%	1	8%	12%	1	8%	4%	0	0%	0%	0	0%	0%	0	0%	0%	0	0%	1%	0	0%	0	0%					
M	6	46%	1	7%	5%	5	38%	6%	0	0%	2%	0	0%	2%	0	0%	1%	0	0%	0%	0	0%	0%	0	0%	0%	1	8%	0%	0	0%	1	100%					
Administrative Support	385		227	59%	41%	158	41%	39%	136	35%	21%	59	15%	13%	10	3%	4%	0	0%	0%	0	0%	0%	0	0%	0%	22	6%	2%	20	5%	4%	4	1%				
F	157	41%	124	32%	19%	33	9%	15%	82	21%	10%	27	7%	6%	6	2%	2%	0	0%	0%	0	0%	0%	0	0%	0%	9	2%	1%	2	10%	0	0%					
M	228	59%	103	27%	22%	125	32%	25%	54	14%	11%	32	8%	7%	4	1%	2%	0	0%	0%	0	0%	0%	0	0%	0%	13	3%	2%	18	90%	4	100%					
Skilled Craft	3,411		1141	33%	30%	2,270	67%	50%	590	17%	14%	357	10%	10%	47	1%	2%	17	0%	0%	0	0%	0%	0	0%	0%	130	4%	2%	323	9%	24%	24	1%				
F	63	2%	38	1%	2%	25	1%	2%	29	1%	1%	7	0%	1%	0	0%	0%	0	0%	0%	0	0%	0%	0	0%	0%	2	0%	0%	4	1%	0	0%					
M	3,348	98%	1103	32%	27%	2,245	66%	48%	561	16%	13%	350	10%	10%	47	1%	2%	17	0%	0%	0	0%	0%	0	0%	0%	128	4%	2%	319	99%	24	100%					
Service Maintenance	1,628		721	44%	42%	907	56%	29%	407	25%	19%	213	13%	27%	30	2%	3%	4	0%	0%	0	0%	0%	0	0%	0%	67	4%	1%	71	4%	9%	9	1%				
F	320	20%	201	12%	39%	119	7%	4%	130	8%	4%	46	3%	6%	5	0%	1%	1	0%	0%	0	0%	0%	0	0%	0%	19	1%	0%	6	8%	5	56%					
M	1,308	80%	520	32%	2%	788	48%	26%	277	17%	15%	167	10%	21%	25	2%	2%	3	0%	0%	0	0%	0%	0	0%	0%	48	3%	1%	65	92%	4	44%					
Total	6,670		2,602	39%		4,068	61%		1,340	20%		749	11%		204	3%		25	0%		2	0%		2	0%		282	4%		504	8%		54	1%				

* American Indian/Alaskan Native

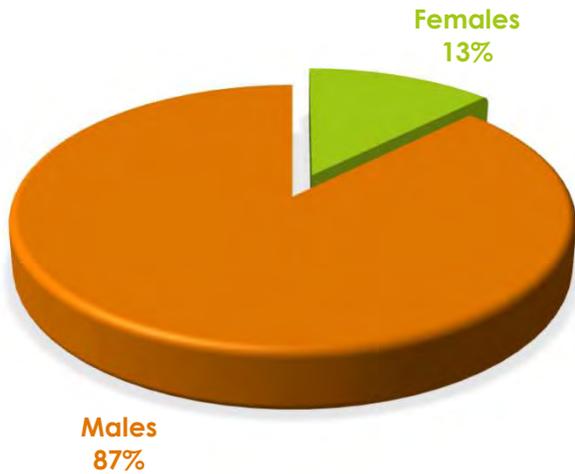
**Native Hawaiian Other Pacific Islander

Note: All percentages have been rounded up to the nearest whole number.

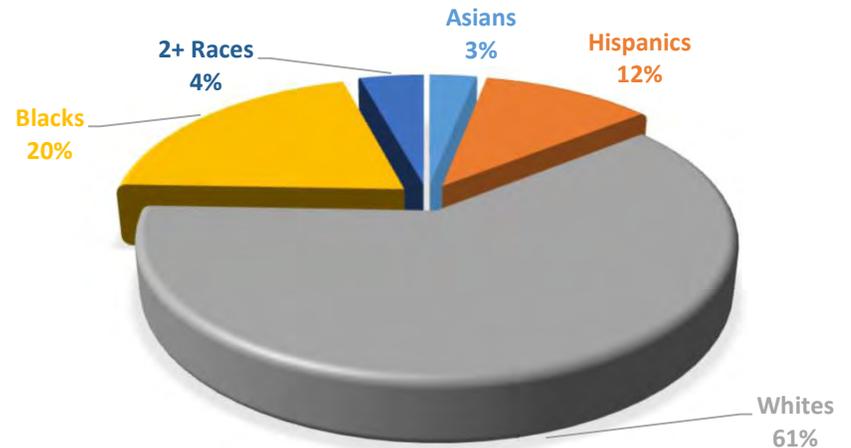


MNR's Workforce

WORKFORCE BY GENDER



WORKFORCE BY RACE/ETHNICITY



MNR's workforce consists of **6,670** employees

- ❑ 13% females, 39% minorities, and 8% veterans.
- ❑ The percentage of females employed remained constant when compared to 3Q18.
- ❑ The percentage of minorities has increased by 1% as it relates to race and ethnicity when compared to 3Q18.



Underutilization Analysis Overview

A utilization analysis was conducted to determine whether there is underutilization of females and minorities in its workforce. This analysis consists of comparing **September 30, 2019** workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market. Underutilization exists if the percentage of females or minorities in a job category is less than 80 percent of their expected estimated availability.

The following chart provide shaded/bolded areas that represent below 80 percent of the Census availability or underutilization: (1) the female and minority workforce percentages for this agency; (2) 80 percent of the females and minorities available for work based on the 2010 Census by job category; and (3) whether or not the estimated availability percentages were met for females and minorities within each of the job categories.



MNR Underutilization Analysis

JOB CATEGORY	Gender	BLACKS		HISPANIC		ASIANS		AI/AN		NHOPI		2+ RACES		WHITES	
		Est Avail	Actual %												
Officials & Administrators	F	4%	5%	2%	3%	2%	4%	0%	0%	0%	0%	1%	1%	10%	10%
	M	8%	10%	5%	6%	3%	5%	0%	0%	0%	0%	2%	3%		
Professionals	F	7%	12%	5%	5%	3%	5%	0%	1%	0%	0%	1%	2%	20%	10%
	M	6%	9%	5%	8%	4%	8%	0%	0%	0%	0%	1%	4%		
Technicians	F	2%	4%	1%	2%	1%	0%	0%	0%	0%	0%	0%	2%	3%	3%
	M	14%	17%	9%	7%	2%	6%	1%	0%	0%	0%	3%	4%		
Protective Services	F														
	M														
Paraprofessionals	F	12%	15%	12%	8%	4%	8%	0%	0%	0%	0%	1%	0%	41%	23%
	M	2%	0%	2%	0%	1%	0%	0%	0%	0%	0%	0%	8%		
Administrative Support	F	10%	21%	6%	7%	2%	2%	0%	0%	0%	0%	1%	2%	15%	9%
	M	11%	14%	7%	8%	2%	1%	0%	0%	0%	0%	2%	3%		
Skilled Craft	F	1%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	1%
	M	13%	16%	10%	10%	2%	1%	0%	0%	0%	0%	2%	4%		
Service Maintenance	F	4%	8%	6%	3%	1%	0%	0%	0%	0%	0%	0%	1%	4%	7%
	M	15%	17%	21%	10%	2%	2%	0%	0%	0%	0%	1%	3%		

*American Indian/Alaskan Native

**Native Hawaiian Other Pacific Islander

Note: Pursuant to FTA Circular 4704.1A, EEO requirements and guideline, *white males* have been excluded from the underutilization analysis. The shaded areas represent underutilization.



MNR'S

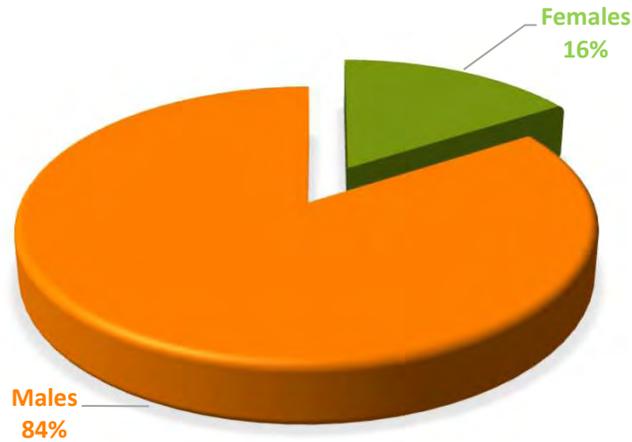
New Hires and Veterans

January 1, 2019 – September 30, 2019

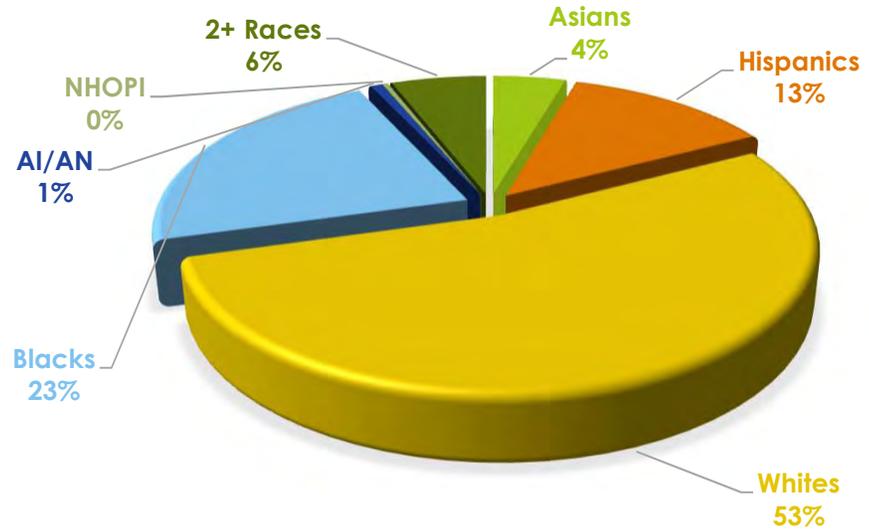


MNR's New Hires and Veterans

NEW HIRE BY GENDER



NEW HIRE BY RACE/ETHNICITY



We added 289 employees including 18 veterans

- ❑ 16% females of which 2% were female veterans.
- ❑ Females were hired at a higher percentage when compared to their current representation in the workforce.
- ❑ 47% minorities of which 5% were minority veterans.
- ❑ Minorities were hired at higher percentage when compared to their current representation in the workforce.



MNR'S

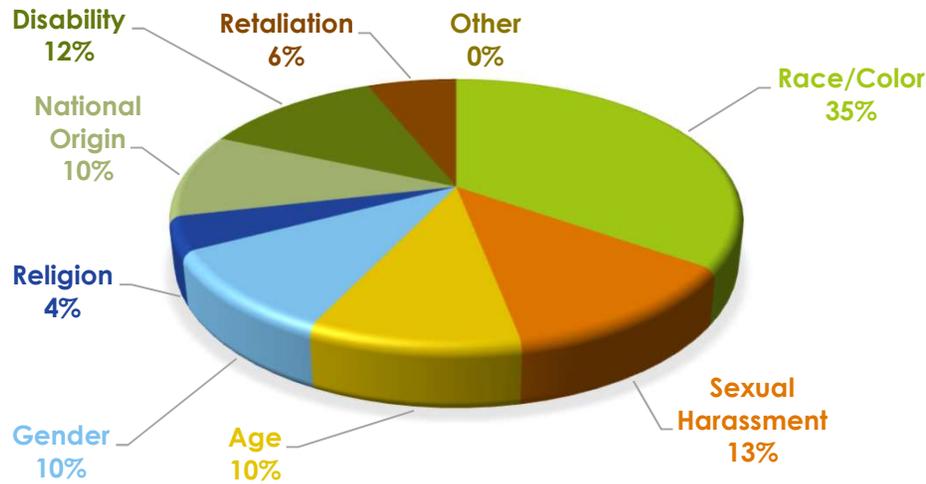
Complaints and Lawsuits

January 1, 2019 – September 30, 2019

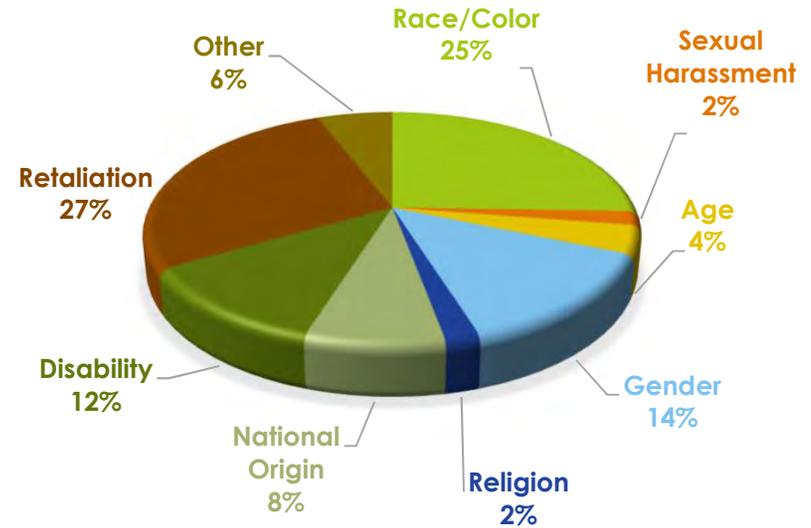


MNR's Internal/External EEO Complaints and Lawsuits

INTERNAL EEO COMPLAINTS



EXTERNAL EEO COMPLAINTS



MNR handled 57 EEO complaints, citing 100 separate allegations, and 12 lawsuits.

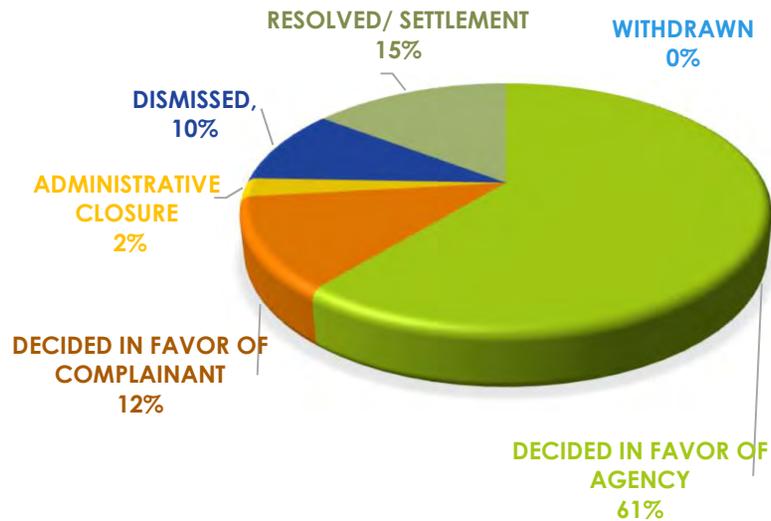
- ❑ 32 handled internal complaints.
- ❑ 25 handled external complaints.
- ❑ The most frequently cited basis internally was race/color and externally was retaliation.



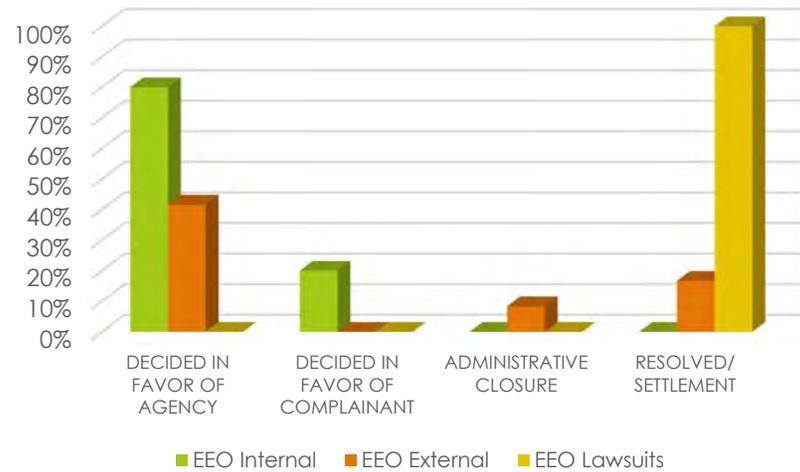
These charts include all pending matters as of the date of the report; including matters filed prior to the reporting period. "Other" contains all EEO categories not otherwise specifically mentioned on the chart (i.e. Retaliation, Sexual Orientation, Military status, or Marital Status etc.).

MNR's EEO Complaints and Lawsuits Dispositions

OVERALL EEO COMPLAINTS AND LAWSUITS DISPOSITIONS



EEO COMPLAINTS AND LAWSUITS DISPOSITIONS

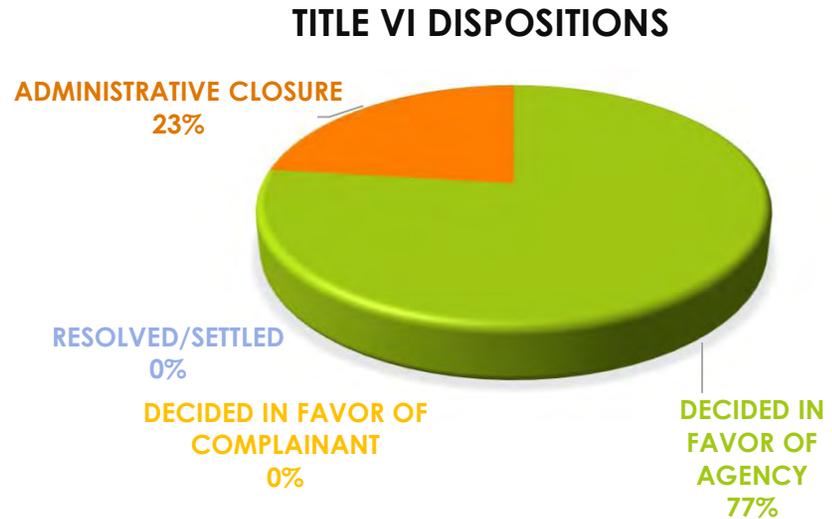
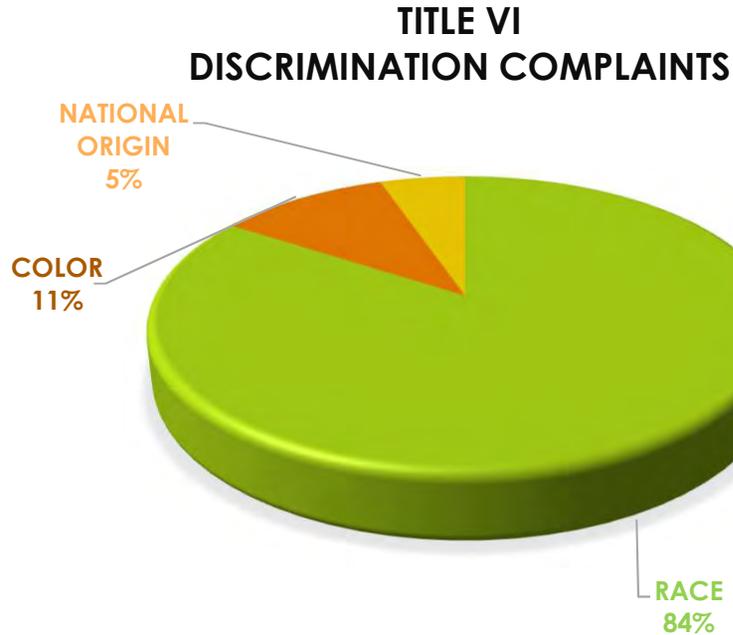


MNR disposed 37 EEO complaints and 4 EEO lawsuits.

- ❑ 61% complaints/lawsuits decided in favor of the agency.
- ❑ 12% complaints /lawsuits decided in favor of the complainant.
- ❑ 2% complaints/lawsuits were administrative closures.
- ❑ 15% complaints/lawsuits were resolved/settled.
- ❑ 0% of complaints/lawsuits were withdrawn.



MNR's Title VI Discrimination Complaints, Lawsuits and Dispositions



MNR handled 18 Title VI Complaints, citing 19 separate allegations and 0 Title VI lawsuits. Agency disposed of 13 complaints and 0 lawsuits.

- 77% complaints/lawsuits decided in favor of the agency.
- 0% complaints/lawsuits decided in favor of the complainant.
- 23% complaints/lawsuits were administrative closures.
- 0% complaints/lawsuits were resolved/settled.



MTA/Metro-North 2017 Origin-Destination Survey

Summary of Results
December, 2019



MTA/Metro-North 2017 Origin-Destination Survey

- About the Survey
- Customer Insights
- Ridership
- Data Usage



About the Survey: Why Survey?

- ❑ Understand the growing and evolving uses and users of the system
- ❑ Inform service and capital planning
- ❑ Understand market opportunities
- ❑ Maintain federal funding eligibility
- ❑ Track changes in ridership and demographic patterns over a multi-year timeframe



About the Survey: Methodology

- ❑ Joint effort between MTA and Metro-North
- ❑ Part of a “System of Surveys” providing comprehensive travel and demographic information for the entire region
- ❑ Fieldwork took place from Spring 2015 - Fall 2017
 - ❑ Detailed ridership and on/off counts for every train at every station
 - ❑ 1,606 East of Hudson and 145 West of Hudson trains counted
 - ❑ Survey questionnaires distributed onboard all inbound MNR trains
 - ❑ Obtained over 113,500 completed surveys (108,000 EoH and 5,500 WoH)
 - ❑ Very high response rates of 39% for EoH and 42% for WoH



About the Survey: Data Usage

Examples of How O&D Data is Used

❑ **Station Access and Parking**

- ❑ Help inform capital process regarding parking improvements
- ❑ Work with NYC to plan new bus routes to/from the Fordham station

❑ **Understanding How Customers Use the System**

- ❑ West of Hudson customers using East of Hudson service
- ❑ Intermediate riders, other market segments

❑ **Compliance with Federal Reporting Requirements**

- ❑ Support Title VI reporting and analysis requirements with detailed demographic information



Customer Insights: Definition of Weekday Travel Markets

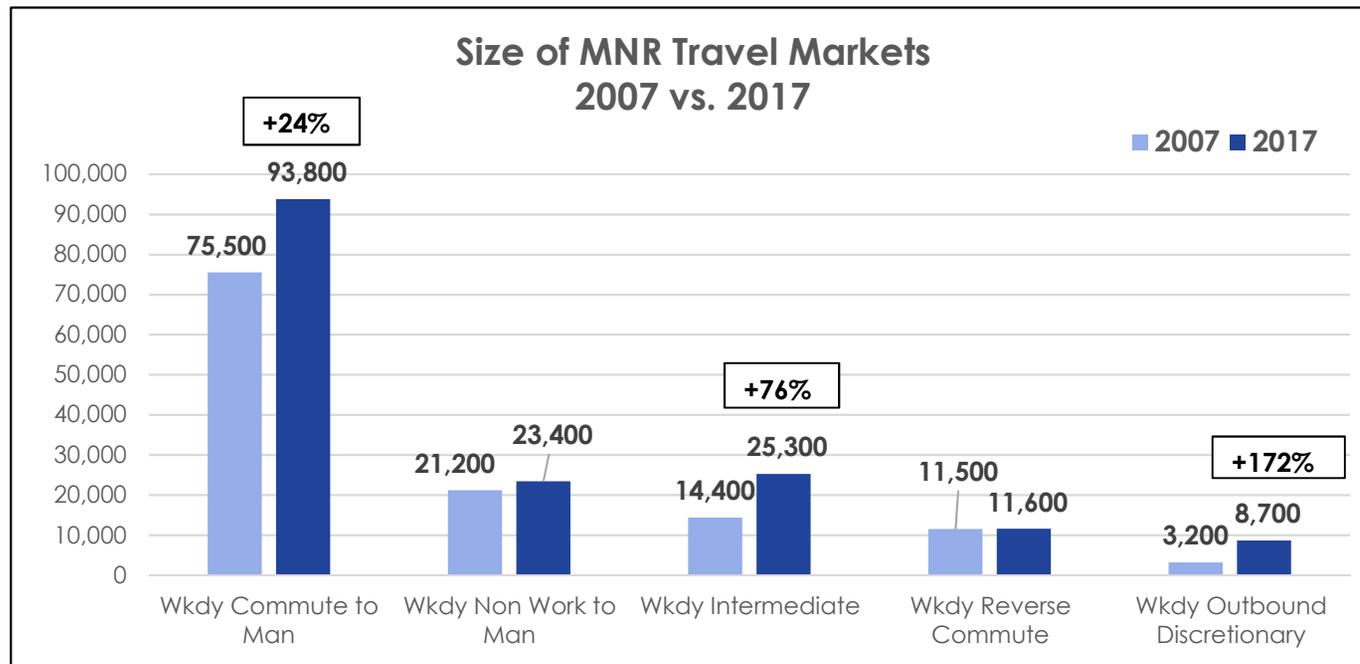
Weekday Travel Market	Definition
Commute to Manhattan	Inbound alighting stations = GCT or 125 th St Trip purpose = Work
Non-Work to Manhattan	Inbound alighting stations = GCT or 125 th St Trip purpose = Non-work
Intermediate	Inbound alighting stations = Non-Manhattan Trip purpose = All purposes
Reverse Commute	Inbound origin type = Work Inbound destination type = Home
Outbound Discretionary	Inbound origin type = Not work or home Inbound destination type = Not work



Customer Insights: East of Hudson Key Changes from 2007 to 2017

Significant Changes in Size of Some Travel Markets

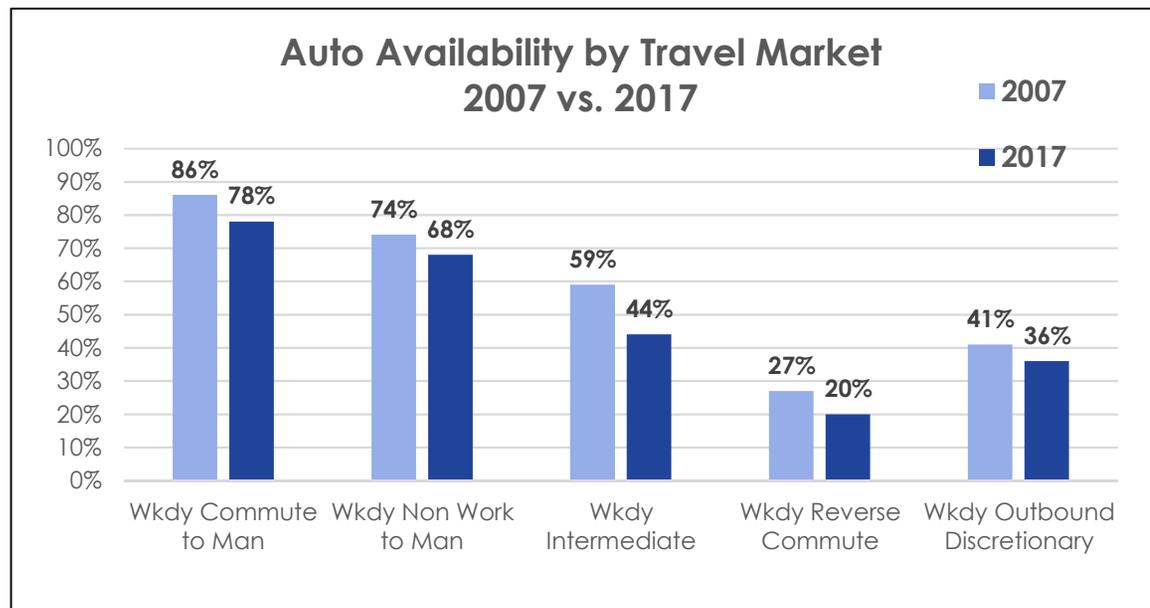
- Intermediate market grew by 76% (+10,900 weekday inbound trips)
- Outbound Discretionary had the largest percentage increase of 172% (+5,500 trips)
- Weekday Commute to Manhattan had largest absolute increase of 18,300 inbound trips (24% increase)



Customer Insights: East of Hudson Key Changes from 2007 to 2017

Significant Changes in Auto Availability and Access Modes

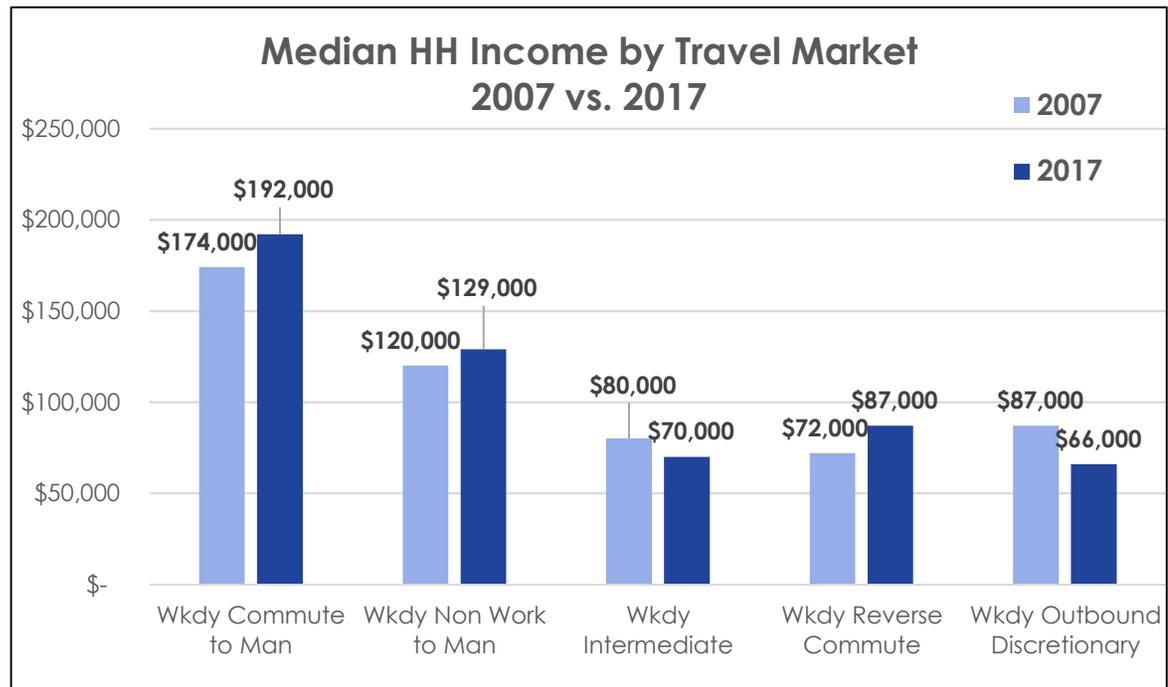
- ❑ Auto availability decreased for all travel markets
 - ❑ Declines ranged from 5% to 15%
 - ❑ Work to Manhattan market declined 12%
- ❑ Declines in percentage of “drive alone and park” access mode to station
 - Weekday Commute to Manhattan market went from 51% in 2007 to 43% in 2017
- ❑ Walk access increased for all travel markets for same time period



Customer Insights: East of Hudson Key Changes from 2007 to 2017

Changes in Median HH Income

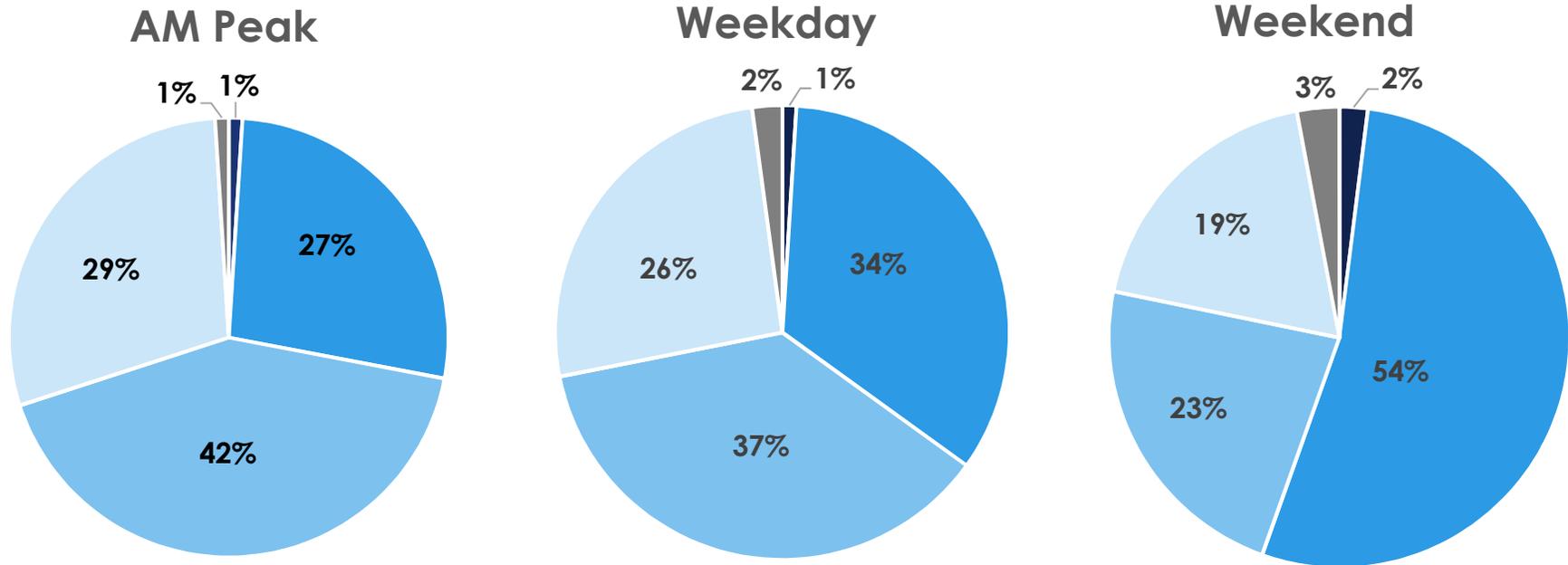
- ❑ Manhattan work markets had median income growth between 7% and 10%
- ❑ Reverse Commute market had largest growth of 21% (from \$72K to \$87K)
- ❑ Intermediate market had a 13% decline in median HH income (from \$80K to \$70K)
- ❑ Outbound Discretionary market had largest decline of 24% (from \$87K to \$66K)



Note: 2007 incomes have not been adjusted for inflation.



Customer Insights: East of Hudson Usage by Age

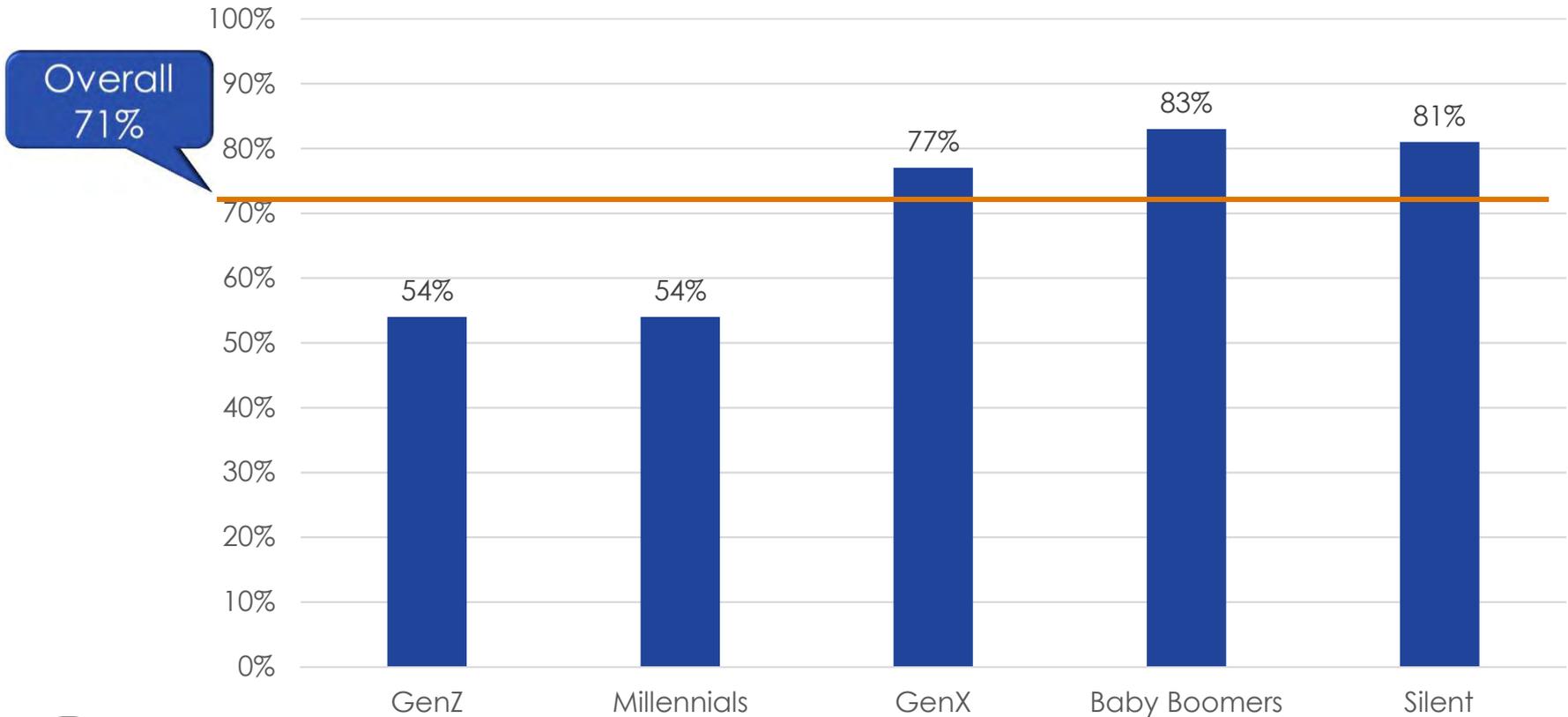


Definition, Birth Years and Age Range	Market Size
Gen Z: 1999 or later (<18)	4,100
Millennials: 1981-1998 (18-35)	98,900
Gen X: 1965-1980 (36-51)	70,800
Boomers: 1946-1964 (52-70)	53,000
Silent: 1945 or earlier (>70)	5,000



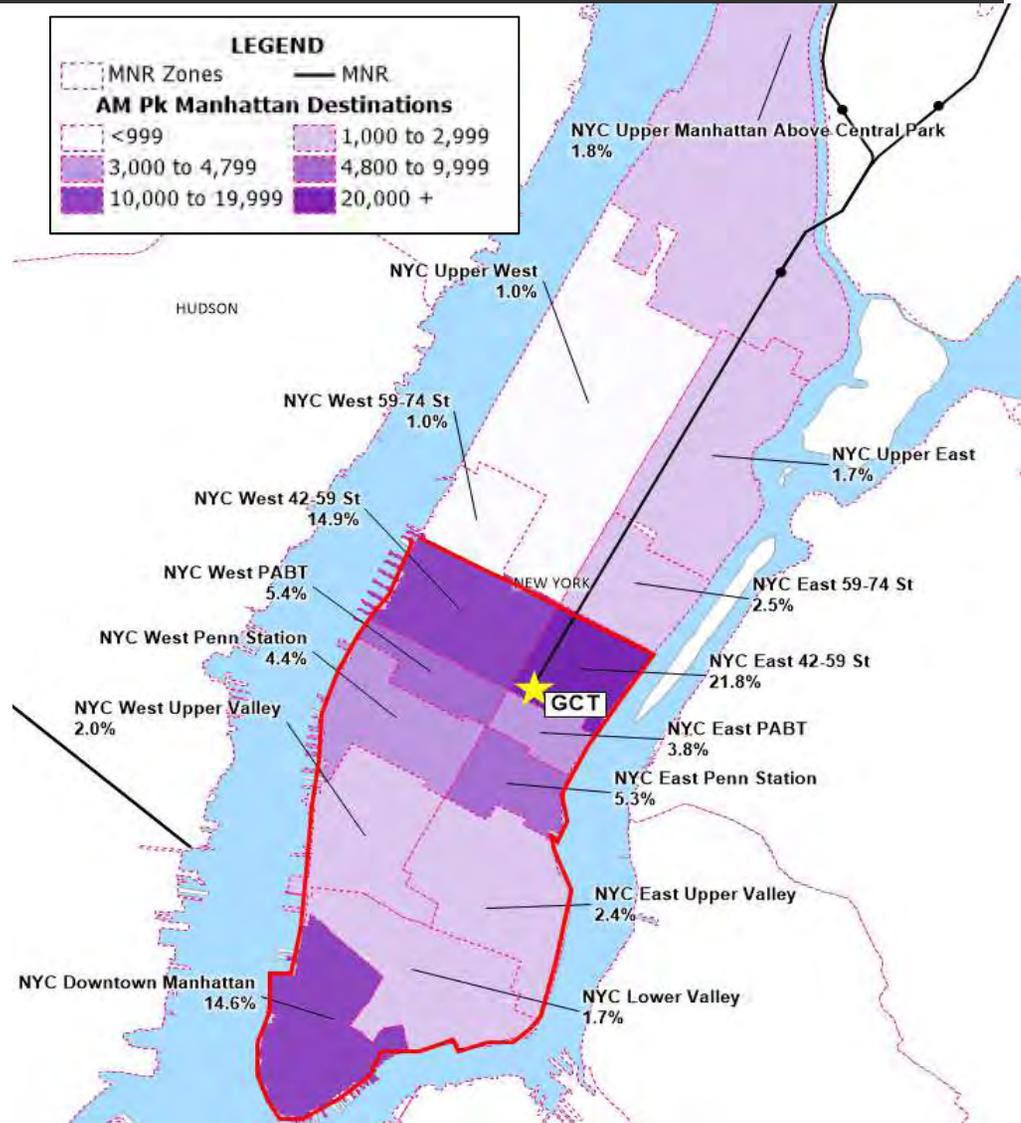
Customer Insights: East of Hudson Vehicle Availability by Age

Vehicle Availability - Weekday



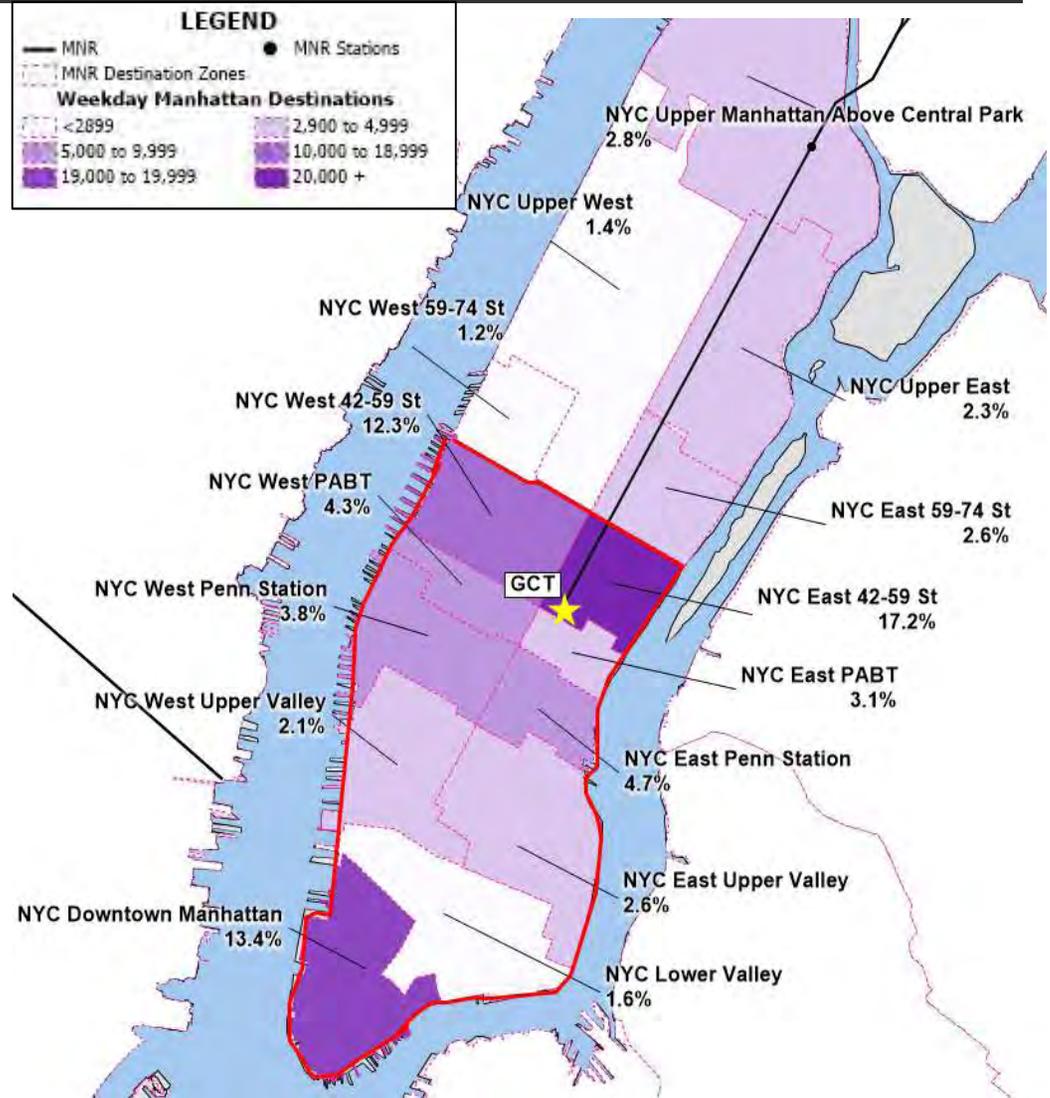
Customer Insights: East of Hudson AM Peak Manhattan Destinations

- During the AM Peak, a total of 77,531 trips (84.3%) had a final destination in Manhattan
- Most Manhattan destinations were somewhere within the CBD zone (70,166 trips, or 76.3% of all AM Peak destinations)
 - Over half (55.6% or 51,141 trips) in the central CBD zones
 - Highest share (21.8%, or 20,069 trips) to the “NYC East 42-59 St” zone
- Destinations by Line were proportionally split



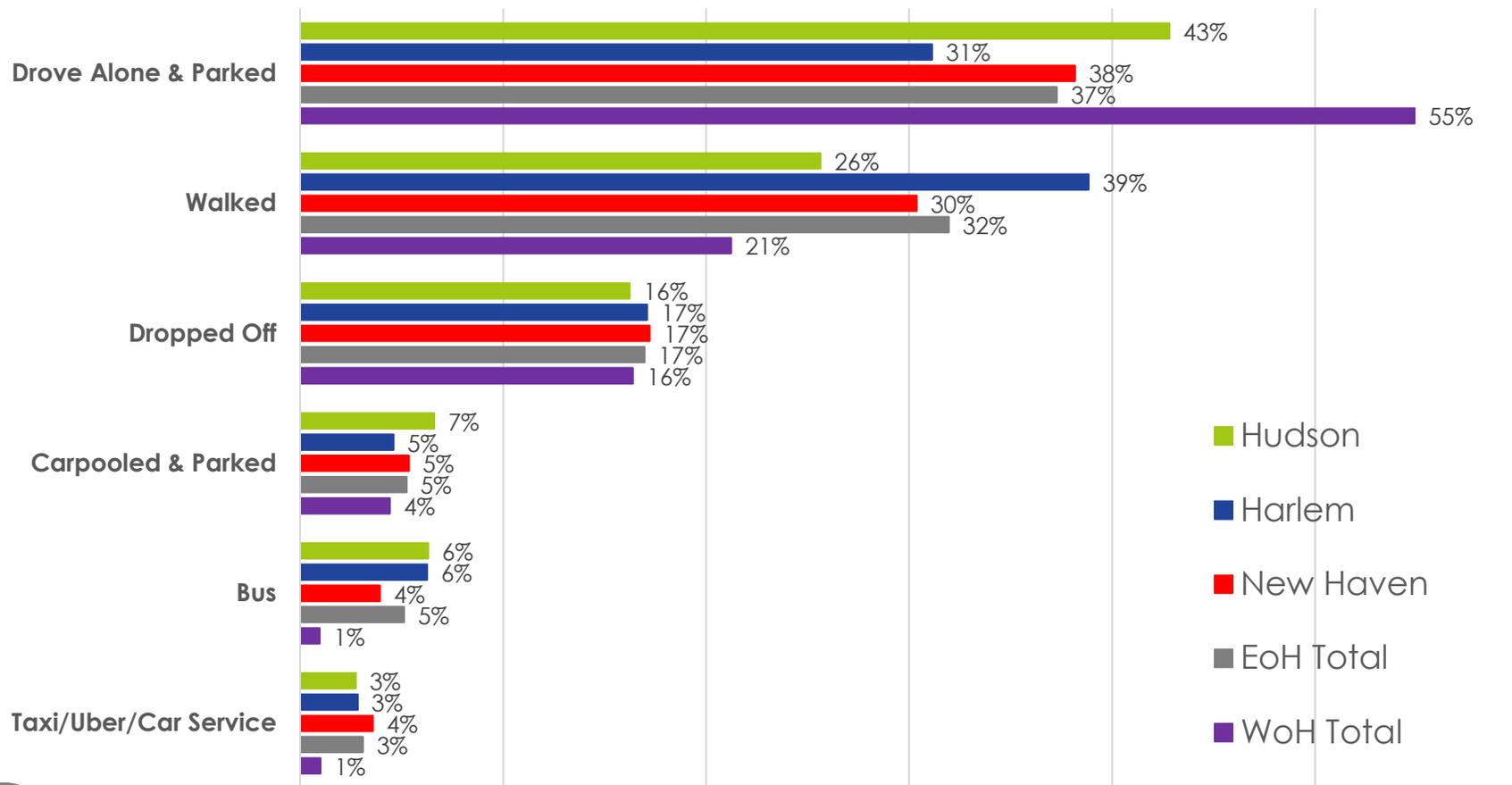
Customer Insights: East of Hudson Weekday Manhattan Destinations

- ❑ On weekdays, a total of 107,556 trips (75.4%) had a final destination in Manhattan
- ❑ Majority of destinations were within the CBD zone (92,913 trips, or 65.1%), but smaller share than during the AM Peak
- ❑ Less than half of weekday destination were to the central CBD zones (45.4% or 64,773 trips)



Customer Insights: East & West of Hudson Weekday Access Modes

Weekday Access Mode*

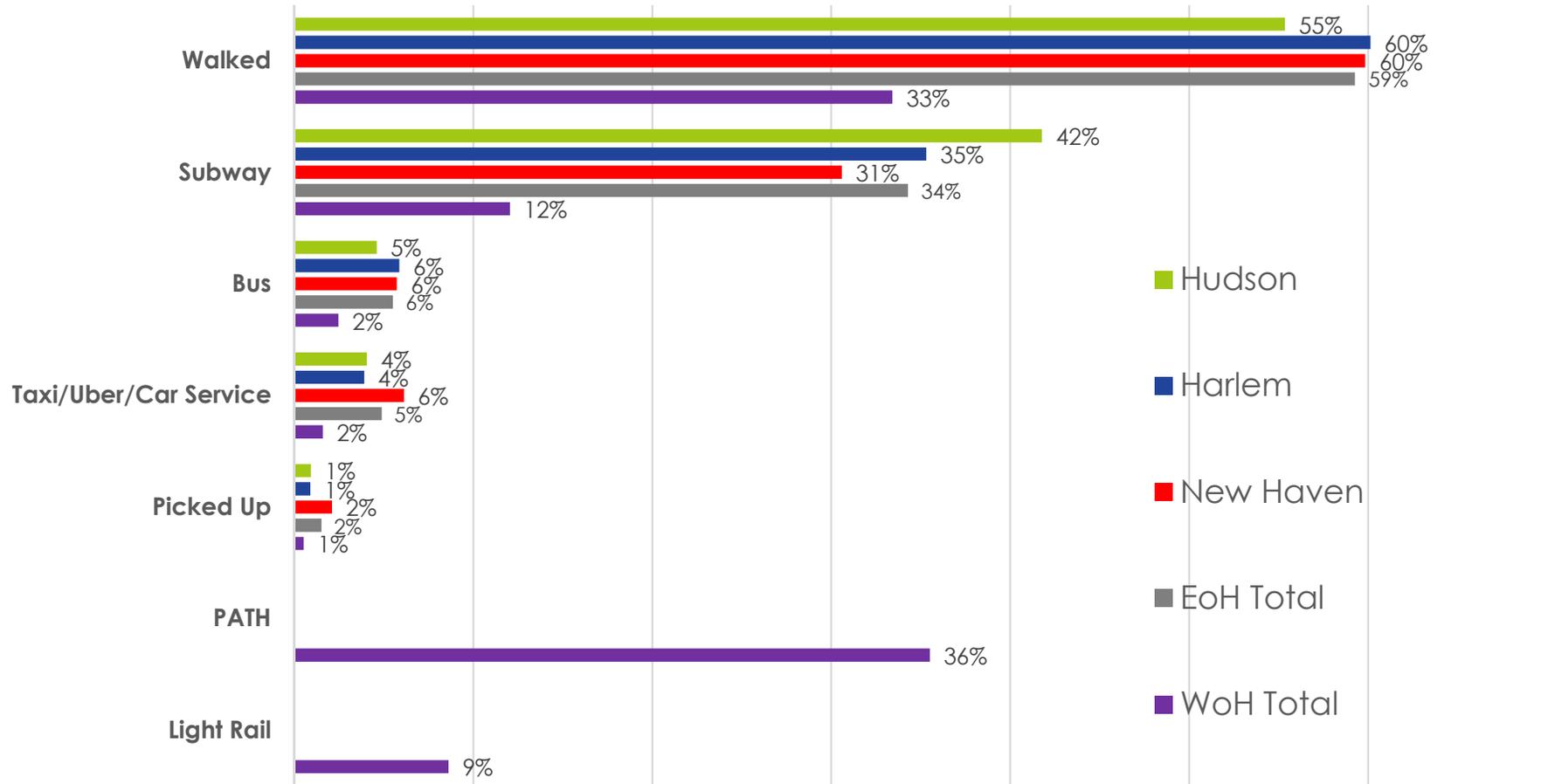


* Respondents were allowed to report multiple access modes. As a result, the data in this chart can add up to more than 100%.



Customer Insights: East & West of Hudson Weekday Egress Modes

Weekday Egress Mode*



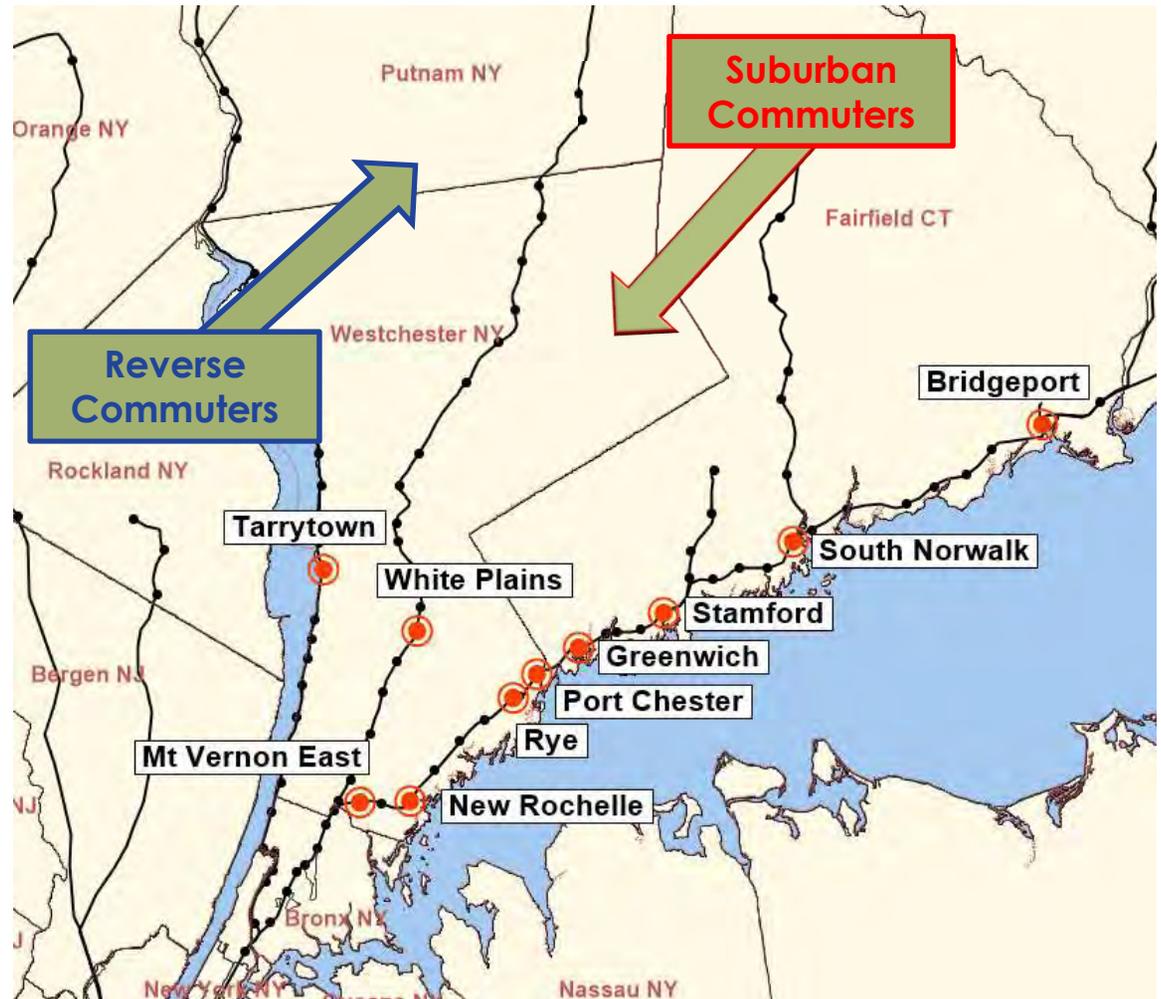
* Respondents were allowed to report multiple egress modes. As a result, the data in this chart can add up to more than 100%.



Customer Insights: Demand for Access to Non-NYC Destinations (EoH)

Weekday Work Trips to/from Top 10 Non-NYC Destinations

Station	Suburban Commuters (Inbound Exits)	Reverse Commuters (Outbound Exits)	Total
Stamford	2,877	1,199	4,076
White Plains	252	1,916	2,168
Greenwich	580	603	1,183
South Norwalk	474	148	622
Port Chester	86	329	415
Tarrytown	80	334	414
New Rochelle	128	264	392
Rye	113	264	377
Mt Vernon East	176	118	294
Bridgeport	240	47	287



Customer Insights: East of Hudson Weekday Travel Markets Summary

	AM Peak Commute to Manhattan	Weekday Commute to Manhattan	Weekday Non-Work Travel to Manhattan	Weekday Intermediate	Weekday Reverse Commute	Weekday Outbound Discretionary
Number of Travelers	75,800	93,800	23,400	25,300	11,600	8,700
% with Car Available	82%	78%	68%	44%	20%	36%
Ticket Type (Top 2)	Monthly (87%) Ten Trip (6%)	Monthly (82%) Ten trip (8%)	Round Trip (41%) One Way (28%)	Monthly (47%) One Way (19%)	Monthly (53%) Ten Trip (16%)	One Way (40%) Round Trip (35%)
Trip Frequency (# Trips in Last 7 Days)	5 Trips (60%)	5 Trips (57%)	1 Trip (48%)	5 Trips (33%)	5 Trips (39%)	1 Trip (46%)
Median Household Income	\$206,000	\$192,000	\$129,000	\$70,000	\$87,000	\$66,000
Median Age	43.2	42.6	39.8	32.4	32.5	27.2



Customer Insights: East of Hudson Weekday Travel Markets Summary (continued)

	AM Peak Commute to Manhattan	Weekday Commute to Manhattan	Weekday Non-Work Travel to Manhattan	Weekday Intermediate	Weekday Reverse Commute	Weekday Outbound Discretionary
Inbound Access Mode (>2%)	Drove Alone (46%)	Drove Alone (43%)	Drove Alone (30%)	Walked (43%)	Walked (54%)	Walked (32%)
	Walked (27%)	Walked (29%)	Walked (26%)	Dropped Off (18%)	Dropped Off (13%)	Dropped Off (31%)
	Dropped off (15%)	Dropped off (15%)	Dropped off (23%)	Drove Alone (16%)	Bus (13%)	Bus (9%)
	Carpooled (5%)	Carpooled (5%)	Carpooled (10%)	Bus (11%)	Taxi/Uber/Car Service (7%)	Taxi/Uber/Car Service (8%)
	Bus (4%)	Bus (4%)	Taxi/Uber/Car Service (6%)	Taxi/Uber/Car Service (4%)	Drove Alone (2%)	Drove Alone & Carpooled (8%)
Inbound Egress Mode (>2%)	Walked (63%)	Walked (59%)	Subway (44%)	Walked (54%)	Walked (37%)	Walked (36%)
	Subway (33%)	Subway (35%)	Walk (39%)	(Bus (18%))	Subway (33%)	Subway (35%)
	Taxi/Uber/Car Service (2%)	Bus & Taxi/Uber/Car Service (2%)	Taxi/Uber/Car Service (10%)	Taxi/Uber/Car Service (9%)	Bus (17%)	Taxi/Uber/Car Service (11%)
			Bus (4%)	Subway (7%)	Taxi/Uber/Car Service (6%)	Bus (9%)
				Picked Up (5%)	Picked Up (3%)	Picked Up (5%)



Customer Insights: East of Hudson Weekday vs. Weekend

	Weekday	Weekend
Number of Travelers	142,700	120,800
% with Car Available	70.3%	50.3%
Ticket Type <i>(Top 2)</i>	Monthly (64.3%) Round Trip (11.3%)	Round Trip (37.7%) One Way (30.2%)
Trip Frequency <i>(# Trips in Last 7 Days)</i>	5 Trips (45.3%)	1 trip (47%)
Median Household Income	\$161,600	\$91,600
Median Age	41.6	32.2

Note: Weekend includes Saturday and Sunday



Customer Insights: East of Hudson Weekday vs. Weekend (continued)

	Weekday	Weekend
Inbound Access Mode (≥ 2%)	Drive Alone (37%)	Walked (32%)
	Walked (32%)	Dropped Off (27%)
	Dropped Off (17%)	Carpooled (15%)
	Carpooled & Bus (5%)	Taxi/Uber/Car Service (8%)
	Taxi/Uber/Car Service (3%)	Bus (4%)
Inbound Egress Mode (≥ 2%)	Walked (59%)	Walked (42%)
	Subway (34%)	Subway (41%)
	Bus (6%)	Taxi/Uber/Car Service (15%)
	Taxi/Uber/Car Service (5%)	Bus (7%)
	Picked Up (2%)	Picked Up (2%)



Customer Insights: West of Hudson Weekday Characteristics by Line

	Weekday Port Jervis	Weekday Pascack Valley	Weekday Total
Number of Travelers	1,900	1,200	3,100
% with Car Available	86%	77%	83%
Ticket Type (Top 2)	Monthly (58%) One Way (18%)	Monthly (54%) One Way (24%)	Monthly (56%) One Way (21%)
Trip Frequency (# Trips in Last 7 Days)	5 Trips (51%)	5 Trips (50%)	5 trips (50%)
Median Household Income	\$136,700	\$144,900	\$139,300
Median Age	50.2	39.4	47.7

Note: West of Hudson NYS stations only



Customer Insights: West of Hudson Weekday Characteristics by Line (continued)

	Weekday Port Jervis	Weekday Pascack Valley	Weekday Total
Inbound Access Mode (≥ 2%)	Drove Alone (69%)	Drove Alone (61%)	Drove Alone (66%)
	Dropped Off (16%)	Dropped Off (19%)	Dropped Off (17%)
	Carpooled (8%)	Walked (17%)	Walked (10%)
	Walked (6%)	Carpooled (3%)	Carpooled (6%)
Inbound Egress Mode (≥ 2%)	PATH (46%)	PATH (42%)	PATH (44%)
	Walked (33%)	Walked (41%)	Walked (37%)
	Subway (18%)	Subway (10%)	Subway (15%)
	Hudson-Bergen Light Rail (7%)	Hudson-Bergen Light Rail (8%)	Hudson-Bergen Light Rail (7%)
	Ferry (4%)	Ferry (4%)	Ferry (4%)
	Taxi/Uber/Car Service (3%)		Taxi/Uber/Car Service (2%)
	Bus (3%)		Bus (2%)

Note: West of Hudson NYS stations only



Ridership: Train On/Off Counts

- ❑ In addition to the survey data, on/off counts are conducted for every train at every Metro-North station
- ❑ Used for:
 - ❑ Expanding/weighting survey results
 - ❑ Equipment and Service Planning – estimating maximum load for every train; identify standees
 - ❑ Long Term Comparisons – analyzing ridership trends at station or line segment level over multi-year periods
 - ❑ Station Ridership Estimates – estimating station ridership, boardings, and intermediate travel
 - ❑ OD counts used as a baseline to determine future year ridership changes using ticket sales data



Ridership: AM Peak Period Growth

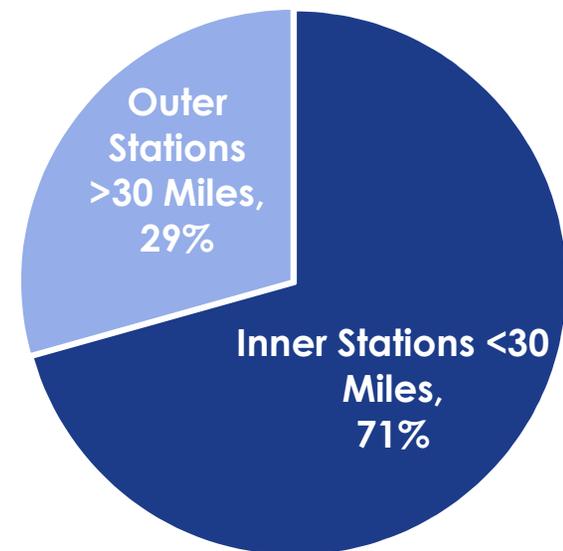
Inner Stations (< 30 Miles from GCT)

- Majority of ridership growth since last O&D survey in 2007
- Accounted for 71% of AM Peak Period and 68% of Weekday ridership growth over past 9 years.
- Ridership growth likely due to population growth and demographic changes

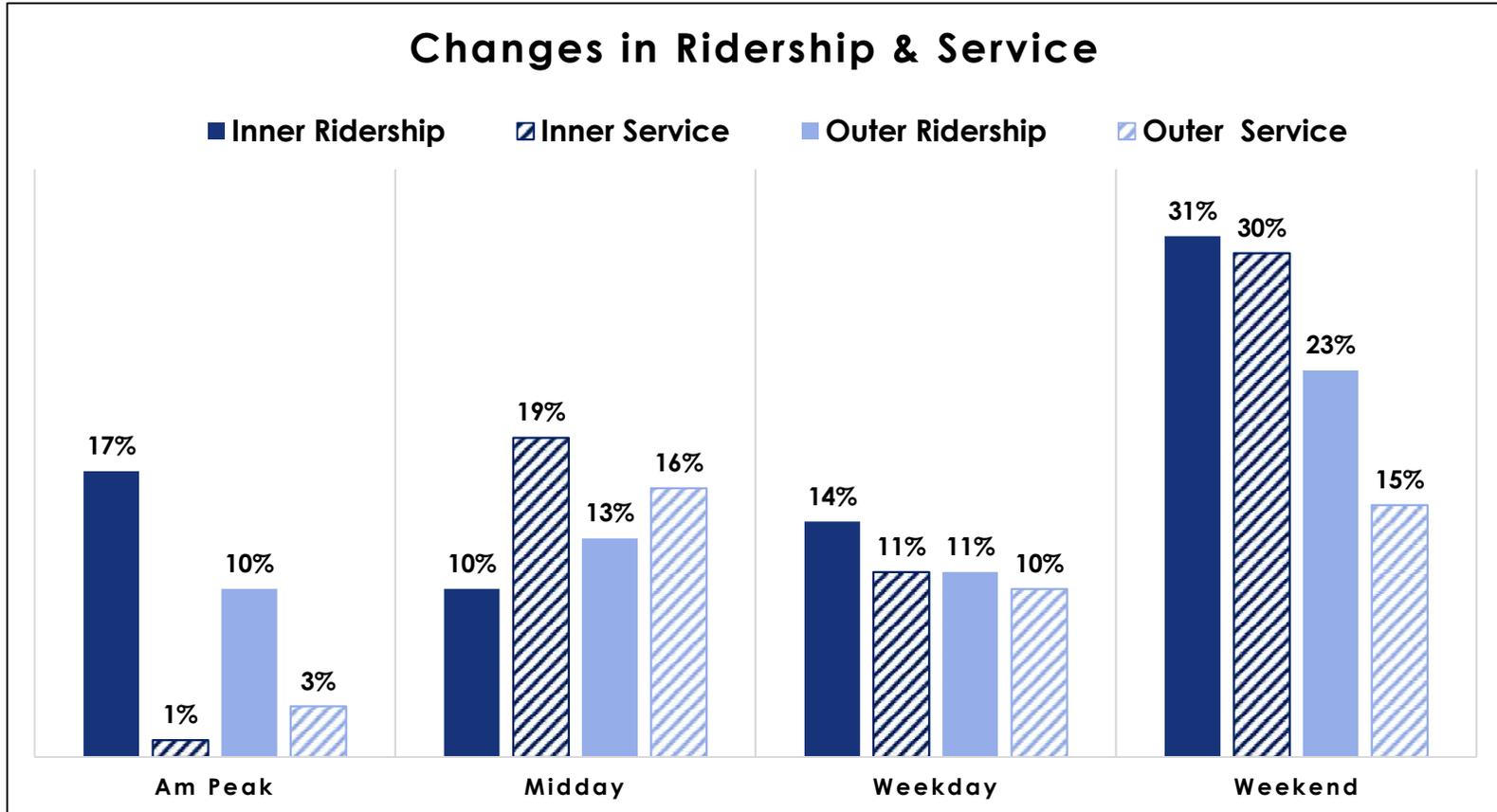
Outer Stations (>30 Miles from GCT)

- Upper Harlem and Hudson stations accounted for only 8% of AM Peak and 3% of Weekday ridership growth
- Only Outer New Haven had significant share of ridership growth with 19% of AM Peak, and 27% of Weekday

AM Peak Ridership Growth
2007 vs. 2017



Ridership: Ridership & Service Changes by Line Segment & Time Period



Ridership: Service Changes from 2007 to 2017

Time of Day	Type	Lower/Inner	Upper/Outer
AM Peak	Ridership	+17%	+10%
	Train Service	+1%	+3%
Midday Off-Peak	Ridership	+10%	+13%
	Train Service	+19%	+16%
Weekday Total	Ridership	+14%	+11%
	Train Service	+11%	+10%
Weekend	Ridership	+31%	+23%
	Train Service	+30%	+15%



LONG ISLAND RAIL ROAD

PROCUREMENTS

FOR

BOARD ACTION

December 18, 2019

METROPOLITAN TRANSPORTATION AUTHORITY

WHEREAS, in accordance with Section 1265-a and Section 1209 of the Public Authorities law and the All Agency Procurement Guidelines, the Board authorizes the award of certain non-competitive purchase and public work contracts, and the solicitation and award of request for proposals in regard to purchase and public work contracts; and

WHEREAS, in accordance with the All Agency Procurement Guidelines, the Board authorizes the award of certain non-competitive miscellaneous procurement contracts, and certain change orders to procurement, public work, and miscellaneous procurement contracts; and

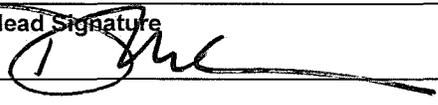
WHEREAS, in accordance with Section 2879 of the Public Authorities Law and the All Agency Guidelines for Procurement of Services, the Board authorizes the award of certain service contracts and certain change orders to service contracts.

NOW, the Board resolves as follows:

1. As to each purchase and public work contract set forth in the annexed Schedule A, the Board declares competitive bidding to be impractical or inappropriate for the reasons specified therein and authorizes the execution of each such contract.
2. As to each request for proposals (for purchase and public work contracts) set forth in Schedule B for which it is deemed in the public interest to obtain authorization to solicit competitive proposals through a publicly advertised RFP for the reasons specified therein the Board declares it to be impractical or inappropriate to utilize a procurement process inviting sealed bids with award to the lowest responsive/responsible bidder.
3. As to each request for proposals (for purchase and public work contracts) set forth in Schedule C for which a recommendation is made to award the contract, the Board authorizes the execution of said contract.
4. The Board ratifies each action taken set forth in Schedule D for which ratification is requested.
5. The Board authorizes the execution of each of the following for which Board authorization is required: i) the miscellaneous procurement contracts set forth in Schedule E; ii) the personal service contracts set forth in Schedule F; iii) the miscellaneous service contracts set forth in Schedule G; iv) the modifications to personal/miscellaneous service contracts set forth in Schedule H; v) the contract modifications to purchase and public work contracts set forth in Schedule I; and vi) the modifications to miscellaneous procurement contracts set forth in Schedule J.
6. The Board ratifies each action taken set forth in Schedule K for which ratification is requested.



Staff Summary

Subject: Request for Authorization to Award Various Procurements						Date December 18, 2019				
Department Procurement and Logistics										
Department Head Name Dennis L. Mahon, Chief Procurement and Logistics Officer										
Department Head Signature 										
Board Action						Internal Approvals				
Order	To	Date	Approval	Info	Other	Order	Approval		Order	Approval
1	LI Committee	12.16.19				X	President			
2	MTA Board	12.18.19								

PURPOSE:

To obtain approval of the Board to award various contracts and purchase orders, and to inform the Long Island Rail Road Committee of these procurement actions.

DISCUSSION:

LIRR proposes to award Non-Competitive Procurements in the following	<u># of Actions</u>	<u>\$ Amount</u>
	None	

LIRR proposes to award Competitive Procurements in the following	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote</u>		
Schedule C: Competitive RFPs (Award of Purchase and Public Work Contracts)	1	\$2,300,000,000
SUBTOTAL:	1	\$2,300,000,000

LIRR proposes to award Ratifications in the following categories:	<u># of Actions</u>	<u>\$ Amount</u>
	None	
TOTAL:	<u>1</u>	<u>\$2,300,000,000</u>

BUDGET IMPACT:

The purchases/contracts will result in obligating LIRR operating and capital funds in the amounts listed. Funds are available in the current operating budget for this purpose.

RECOMMENDATION:

That the purchases/contracts be approved as proposed. (Items are included in the resolution of approval at the beginning of the Procurement Section.)

DECEMBER 2019

MTA LONG ISLAND RAIL ROAD

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote

Schedule C: Competitive Requests for Proposals (Award of Purchase and Public Work Contracts) (Staff Summaries required for items estimated to be greater than \$1,000,000.)

- | | | | |
|----|---|--|--------------------------------------|
| 1. | Various (GEC Contractors)
Competitive RFP
Contract No. N/A | \$2,300,000,000
Not-to-Exceed | <i><u>Staff Summary Attached</u></i> |
|----|---|--|--------------------------------------|

Long Island Rail Road (“LIRR”) requests Metropolitan Transportation Authority (“MTA”) Board approval to retain the consultants listed in the Attachment who propose to perform personal services for design, engineering, construction supervision and inspection services, and miscellaneous construction-related professional services to support both the 2020 – 2024 Capital Program and the 2020 – 2024 needs of MTA Operating Divisions.

In conjunction with ongoing Transformation efforts, the Long Island Rail Road initiated a joint procurement, on behalf of itself, Metro-North Railroad, MTA Capital Construction, MTA Headquarters, MTA Bridges and Tunnels, New York City Transit (including MTABC), and the Construction and Development (C&D) organization that is being created (hereinafter “the Agencies”) to identify and retain qualified engineering, design and construction management consultant firms (“General Engineering Consultants”—GECs) who will be available to the Agencies for future service assignments. It is anticipated that the C&D organization will be the primary user of the GEC pool in support of the proposed \$51.4 Billion 2020-2024 Capital program. The GEC pre-qualification and procurement approach has been used successfully for the past 20 years. It has been proven by the Agencies to streamline the request for proposal process and reduce procurement lead time and overall project time, as well as lower administrative costs, while ensuring appropriate on-going competition and best value in making GEC project assignments.

Staff Summary



Item Number: 1					
Dept & Dept Head Name: Procurement & Logistics, Dennis L. Mahon					
Department Head Signature & Date					
Division & Division Head Name:					
Division Head Signature & Date					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	12.16.19			
2	MTA Board	12.18.19			
Internal Approvals					
Order	Approval	Order	Approval		
4	President	1	SVP Operations		
3	VP General Counsel & Sec'y				
2	VP & CFO				

SUMMARY INFORMATION	
Vendor Name	Contract Number
Various	N/A
Description	
2020 – 2024 General Engineering Consultant Engagements	
Total Amount	
\$2,300,000,000 (estimated)	
Contract Term (including Options, if any)	
Five Years	
Options(s) included in Total Amount:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Renewal?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Procurement Type	
<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-Competitive	
Solicitation Type	
<input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input checked="" type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

I. PURPOSE/RECOMMENDATION

Long Island Rail Road (“LIRR”) requests Metropolitan Transportation Authority (“MTA”) Board approval to retain the consultants listed in the Attachment who propose to perform personal services for design, engineering, construction supervision and inspection services, and miscellaneous construction-related professional services to support both the 2020 – 2024 Capital Program and the 2020 – 2024 needs of MTA Operating Divisions.

II. DISCUSSION

In conjunction with ongoing Transformation efforts, the Long Island Rail Road initiated a joint procurement, on behalf of itself, Metro-North Railroad, MTA Capital Construction, MTA Headquarters, MTA Bridges and Tunnels, New York City Transit (including MTABC), and the Construction and Development (C&D) organization that is being created (hereinafter “the Agencies”) to identify and retain qualified engineering, design and construction management consultant firms (“General Engineering Consultants”—GECs) who will be available to the Agencies for future service assignments. It is anticipated that the C&D organization will be the primary user of the GEC pool in support of the proposed \$51.4 Billion 2020-2024 Capital program. The GEC pre-qualification and procurement approach has been used successfully for the past 20 years. It has been proven by the Agencies to streamline the request for proposal process and reduce procurement lead time and overall project time, as well as lower administrative costs, while ensuring appropriate on-going competition and best value in making GEC project assignments.

Firms previously prequalified and placed into work categories on the existing active GEC lists were given the opportunity to recertify their qualifications for inclusion in the same work categories of the new contract, and 66 firms did so. (See below for work categories for which consultant services may be sought under this new GEC.) Simultaneously, a Request for Qualifications (RFQ) was developed and publicly advertised on the MTA website and in multiple publications, in accordance with the MTA All-Agency Guidelines. This RFQ provided an opportunity for new firms to become qualified for the new GEC list, as well as an opportunity for current firms to prequalify for additional new work categories that will be added to the new GEC lists (specifically, categories B8, C11, C12, and C13; see below.) Qualifications submissions in response to the RFQ were received from 62 firms (some had recertified their qualifications for existing work categories, and were seeking prequalification for new work categories) during the solicitation period for the 3 major types of services to be performed and the 32 separate categories of work. Technical evaluation committees (TECs) were established for each category of work and the TECs evaluated the qualifications statements using the selection criteria set forth in the RFQ:

1. Experience of the Consultant in the execution of work of similar nature

Staff Summary

2. Expertise and experience of key personnel proposed to be assigned to perform the work
3. Approach to organize, direct, administer, and manage the work (Project Management Plan)
4. Knowledge of, and experience with, railroad operations, or demonstrated ability to adapt to railroad operations.

The TECs prequalified consultants for specific work categories based on the merits of the responding firms' qualifications with respect to the established selection criteria. There were no restraints as to size of the final consultant pool for any work category. Prequalification of any firm was based upon a pass/fail method.

All told, 105 firms were deemed qualified to participate in this new GEC contract.

For this prequalification process, a limited responsibility review was performed to confirm that none of the recommended firms have circumstances which would likely preclude contract awards to any such firm. However, it should be noted that of the prequalified firms that have performed work under the current and prior GEC contracts, the following have had prior Significant Adverse Information (SAI) that has been investigated and adjudicated by having waivers approved at either the MTA Chairman, MTA Managing Director, or where appropriate, the Agency head level, declaring the firms responsible notwithstanding the SAI.

- AECOM USA, Inc
- Greenman Pedersen
- Jacobs Civil Consultants, Inc
- WSP USA
- CH2M Hill, Inc.
- Atkins P.A.
- Louis Berger

Prior to the award of any task assignment to any of the full complement of 105 firms, a full responsibility review will be performed in accordance with the MTA guidelines.

The categories of work included are listed below:

A. Design and Engineering Services

- Category 1: Line Structures
- Category 2: Buildings, Passenger Station, Shops & Yards, and Parking Facilities
- Category 3: Power
- Category 4: Track
- Category 5: Signals & Communications
- Category 6: Rolling Stock
- Category 7: Value Engineering
- Category 8: Security Engineering
- Category 9: Environmental Engineering
- Category 10: Forensic Engineering / Laboratory Testing Services
- Category 11: Soils / Foundation Engineering

B. Construction Supervision & Inspection Services

- Category 1: Line Structures
- Category 2: Buildings, Passenger Station, Shops & Yards, and Parking Facilities
- Category 3: Power
- Category 4: Track
- Category 5: Signals & Communications

Staff Summary

- Category 6: Rolling Stock
- Category 7: Environmental Engineering
- Category 8: Occupational Hazard Mitigation and Elimination Related Services

C. Misc. Professional Services

- Category 1: Scheduling
- Category 2: Cost Estimating
- Category 3: Claims Support
- Category 4: Constructability

- Category 5: Test and Evaluation
- Category 6: Useful Life Analysis
- Category 7: Design Reviews
- Category 8: Technical Writer
- Category 9: Quality Management
- Category 10: Operational Studies & Simulation Models
- Category 11: Occupational Safety and Health
- Category 12: Program Management
- Category 13: Risk Assessment Services

When a specific workscope requiring GEC services is identified and approved, the responsible Agency will solicit technical and level of effort proposals from all consultants listed in the category to which the workscope belongs. (When required by exigent circumstances, and consistent with the MTA All-Agency Guidelines, less than the full pool of firms in any given category may be identified to propose on a given assignment.) For New York State funded task assignments, a consultant's receipt of a task assignment will usually involve a two-phase selection process, taking into account costs and technical aspects of a consultant's proposal. All Federally-funded task assignments will utilize the "Federal Brooks Method" of selection, a qualifications-based selection process for federally-funded engineering contracts, as well as being publicly advertised in compliance with 2 CFR Section 200.319 "Competition." Under either scenario, each specific proposal received will be evaluated in accordance with specific evaluation criteria established at the time the task assignments are solicited.

The Attachment lists the firms prequalified for each work category. The firms on the Attachment will be eligible for task assignments for a period of 5 years. Based on the needs of the Agencies and to promote fairness and competition, firms that missed this prequalification may seek admittance by requesting a qualification review periodically throughout the course of this contract.

III. D/M/WBE & SDVOB INFORMATION

Diversity participation goals will be sought from MTA Department of Diversity & Civil Rights on a task assignment basis.

IV. IMPACT ON FUNDING

The total period of performance for this arrangement is 5 years and is estimated at a total value not-to-exceed \$2,300,000,000 for all the Agencies. Funding for work under these contracts will come from the 2020 – 2024 Capital Program and other funding sources as deemed necessary.

V. ALTERNATIVES

The Agencies will continue to require consultant assistance to provide essential design, construction supervision/inspection, and specialty engineering services to support both the Capital Programs and respective Operating Divisions. The alternative is to use an individual, publicly-advertised Request for Proposals process for each individual project requirement. The GEC approach described herein is strongly recommended instead as a means to significantly lessen the procurement lead-time for a task award, thus reducing overall project time and costs.

Staff Summary



ATTACHMENT: Firms Recommended for \$0 Award—General Engineering Consultant Contract

A Design and Engineering Services

A1 Line Structures

- 1 A. DiCesare Associates, P.C.
- 2 AECOM USA, Inc.
- 3 AI Engineers, Inc., P.C.
- 4 AKRF Engineering, P.C.
- 5 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 6 B. Thayer
- 7 CHA Consulting, Inc.
- 8 D & B Engineering and Architecture
- 9 Dewberry Engineers, Inc.
- 10 Erdman Anthony
- 11 Gannett Fleming Engineers and Architects, P.C.
- 12 Garg Consulting Services, Inc.
- 13 Greenman-Pedersen, Inc.
- 14 Hardesty and Hanover, LLC
- 15 HATCH Consulting Engineers
- 16 Henningson, Durham and Richardson
- 17 HNTB New York Engineering and Architecture, PC
- 18 HVEA Engineers
- 19 Info Tran Engineers
- 20 Jacobs Civil Consultants, Inc.
- 21 KB Group of New York dba Prime AE Group of New York
- 22 KS Engineers, P.C.
- 23 LiRo Engineers, Inc.
- 24 Lochner Engineering, P.C.
- 25 Maser Consulting
- 26 McMillen Jacobs Associates
- 27 McLaren Engineering Group
- 28 Michael Baker Engineering, Inc.
- 29 Mott McDonald
- 30 MP Engineers and Architects
- 31 Mueser Rutledge Consulting Engineers
- 32 Naik Consulting Group
- 33 NV5
- 34 Ove Arup and Partners, PC
- 35 Parsons Transportation Group of NY, Inc.
- 36 Popli Design Group

- 37 Rail Pros Inc.
- 38 SI Engineering
- 39 SJH Engineering, P.C.
- 40 Stantec Consulting Services, Inc.
- 41 STV, Inc.
- 42 SYSTRA
- 43 Tectonic Engineering and Surveying Consultants, P.C.
- 44 TranSystems Architect and Engineer, P.C.
- 45 T. Y. Lin International
- 46 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.
- 47 WSP USA Inc.

A2 Buildings/Yards

- 1 A.G. Consulting Engineers
- 2 AECOM USA, Inc.
- 3 AI Engineers, Inc., P.C.
- 4 B. Thayer
- 5 Beyer Blinder Belle Architects & Planners
- 6 Building Conservation Associates
- 7 Cameron Engineering and Associates, LLP
- 8 CHA Consulting, Inc.
- 9 CSA Group NY Architects and Engineers, P.C.
- 10 D & B Engineering and Architecture
- 11 Dattner Architects
- 12 Dewberry Engineers, Inc.
- 13 DHK Architects, Inc.
- 14 di Domenico + Partners, LLP
- 15 Gannett Fleming Engineers and Architects, P.C.
- 16 Garg Consulting Services, Inc.
- 17 Greenman-Pedersen, Inc.
- 18 H2M Architects + Engineers
- 19 Hardesty and Hanover, LLC
- 20 HATCH Consulting Engineers
- 21 Henningson, Durham and Richardson
- 22 HNTB New York Engineering and Architecture, PC
- 23 HVEA Engineers
- 24 IBI Group
- 25 Info Tran Engineers
- 26 KS Engineers, P.C.

Staff Summary



- 27 Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.
- 28 LHP Architects
- 29 LiRo Engineers, Inc.
- 30 Lochner Engineering, P.C.
- 31 McElroy Architecture
- 32 McLaren Engineering Group
- 33 Michael Baker Engineering, Inc.
- 34 Mott McDonald
- 35 MP Engineers and Architects
- 36 Naik Consulting Group
- 37 NV5
- 38 Ove Arup and Partners, PC
- 39 Parsons Transportation Group of NY, Inc.
- 40 Pennoni Associates Inc.
- 41 Rail Pros Inc.
- 42 SAM SCHWARTZ / GPO Group, JV
- 43 SIMCO Engineering, PC
- 44 SJH Engineering, P.C.
- 45 Stantec Consulting Services, Inc.
- 46 Studio V Architecture, PLLC
- 47 STV, Inc.
- 48 SUPERSTRUCTURES Engineering + Architecture, PLLC
- 49 SYSTRA
- 50 TranSystems Architect and Engineer, P.C.
- 51 T. Y. Lin International
- 52 Urban Architects, PLLC
- 53 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.
- 54 WSP USA Inc.
- 10 Ove Arup and Partners, PC
- 11 Parsons Transportation Group of NY, Inc.
- 12 STV, Inc.
- 13 SYSTRA

A4 Track

- 1 AECOM USA, Inc.
- 2 CHA Consulting, Inc.
- 3 Gannett Fleming Engineers and Architects, P.C.
- 4 HATCH Consulting Engineers
- 5 Henningson, Durham and Richardson
- 6 HNTB New York Engineering and Architecture, PC
- 7 Lochner Engineering, P.C.
- 8 Michael Baker Engineering, Inc.
- 9 Mott McDonald
- 10 Ove Arup and Partners, PC
- 11 Parsons Transportation Group of NY, Inc.
- 12 Rail Pros Inc.
- 13 SAM SCHWARTZ / GPO Group, JV
- 14 Stantec Consulting Services, Inc.
- 15 STV, Inc.
- 16 SYSTRA
- 17 TranSystems Architect and Engineer, P.C.
- 18 T. Y. Lin International
- 19 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.
- 20 WSP USA Inc.

A5 Signals & Communications

- 1 AECOM USA, Inc.
- 2 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 3 Gannett Fleming Engineers and Architects, P.C.
- 4 Garg Consulting Services, Inc.
- 5 HATCH Consulting Engineers
- 6 Henningson, Durham and Richardson
- 7 HNTB New York Engineering and Architecture, PC
- 8 Louis T. Klauder and Associates
- 9 Mott McDonald
- 10 Naik Consulting Group
- 11 Ove Arup and Partners, PC

A3 Power

- 1 A.G. Consulting Engineers
- 2 AECOM USA, Inc.
- 3 Gannett Fleming Engineers and Architects, P.C.
- 4 Garg Consulting Services, Inc.
- 5 HATCH Consulting Engineers
- 6 Henningson, Durham and Richardson
- 7 HNTB New York Engineering and Architecture, PC
- 8 Louis T. Klauder and Associates
- 9 Naik Consulting Group

Staff Summary



- 12 Parsons Transportation Group of NY, Inc.
- 13 Rail Pros Inc.
- 14 SAM SCHWARTZ / GPO Group, JV
- 15 Stantec Consulting Services, Inc.
- 16 STV, Inc.
- 17 SYSTRA

- 11 Parsons Transportation Group of NY, Inc.
- 12 TRC Engineers, Inc.

- 18 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.

A6 Rolling Stock

- 1 CH2M HILL New York, Inc.
- 2 JBA Corporation
- 3 Louis T. Klauder and Associates
- 4 Parsons Transportation Group of NY, Inc.
- 5 STV, Inc.

A7 Value Engineering

- 1 AECOM USA, Inc.
- 2 ARCADIS
- 3 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 4 Greenman-Pedersen, Inc.
- 5 Henningson, Durham and Richardson
- 6 HNTB New York Engineering and Architecture, PC
- 7 KB Group of New York dba Prime AE Group of New York
- 8 LiRo Engineers, Inc.
- 9 Mott McDonald
- 10 PMA Consultants

A8 Security Engineering

- 1 A.G. Consulting Engineers
- 2 AECOM USA, Inc.
- 3 Gannett Fleming Engineers and Architects, P.C.
- 4 HATCH Consulting Engineers
- 5 HNTB New York Engineering and Architecture, PC
- 6 Lucius Pitkin
- 7 M&J Engineering, P.C.
- 8 Naik Consulting Group
- 9 NV5
- 10 Ove Arup and Partners, PC

A9 Environmental Engineering

- 1 AECOM USA, Inc.
- 2 AKRF Engineering, P.C.
- 3 ARCADIS
- 4 ATC Group Services
- 5 Cashin Associates
- 6 CORE Environmental Consultants, Inc.
- 7 D & B Engineering and Architecture
- 8 Dewberry Engineers, Inc.
- 9 FPM Group, Ltd.
- 10 Gannett Fleming Engineers and Architects, P.C.
- 11 GEI Consultants Inc.
- 12 GZA GeoEnvironmental of New York
- 13 Henningson, Durham and Richardson
- 14 HNTB New York Engineering and Architecture, PC
- 15 Infrastructure Engineering
- 16 Jacobs Civil Consultants, Inc.
- 17 KB Group of New York dba Prime AE Group of New York
- 18 Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C
- 19 Lexcel Management Services LLC
- 20 LiRo Engineers, Inc.
- 21 Lochner Engineering, P.C.
- 22 Matrix New World Engineering, Land Surveying and Landscape Architecture, PC
- 23 Mott McDonald
- 24 NV5
- 25 STV, Inc.
- 26 Tectonic Engineering and Surveying Consultants, P.C.
- 27 TRC Engineers, Inc.
- 28 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.
- 29 YU and Associates Engineers, PC

A10 Forensic/Testing

Staff Summary



- 1 HNTB New York Engineering and Architecture, PC
- 2 HVEA Engineers
- 3 Lucius Pitkin
- 4 McLaren Engineering Group
- 5 Tectonic Engineering and Surveying Consultants, P.C.
- 6 Thornton Tomasetti, Inc.
- 7 WSP USA Inc.

- 7 Cameron Engineering and Associates, LLP
- 8 CHA Consulting, Inc.
- 9 D & B Engineering and Architecture
- 10 Dewberry Engineers, Inc.
- 11 Gannett Fleming Engineers and Architects, P.C.
- 12 Garg Consulting Services, Inc.
- 13 Greenman-Pedersen, Inc.
- 14 Hardesty and Hanover Construction Services, LLC

A11 Soils/Foundations

- 1 AECOM USA, Inc.
- 2 AKRF Engineering, P.C.
- 3 Dewberry Engineers, Inc.
- 4 Gannett Fleming Engineers and Architects, P.C.
- 5 GEI Consultants Inc.
- 6 GeoDesign, Inc., P.C.
- 7 GZA GeoEnvironmental of New York
- 8 Hardesty and Hanover, LLC
- 9 HNTB New York Engineering and Architecture, PC
- 10 KS Engineers, P.C.

- 15 Henningson, Durham and Richardson
- 16 Hill International, Inc.
- 17 Hirani Engineering and Land Surveying, P.C.
- 18 HNTB New York Engineering and Architecture, PC
- 19 HVEA Engineers
- 20 Info Tran Engineers
- 21 Infrastructure Engineering
- 22 Jacobs Civil Consultants, Inc.
- 23 JED Engineering, P.C.
- 24 KS Engineers, P.C.
- 25 LiRo Engineers, Inc.
- 26 Lochner Engineering, P.C.
- 27 M&J Engineering, P.C.

- 11 Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.
- 12 Matrix New World Engineering, Land Surveying and Landscape Architecture, PC
- 13 McMillen Jacobs Associates
- 14 Mott McDonald
- 15 Mueser Rutledge Consulting Engineers
- 16 Ove Arup and Partners, PC
- 17 Stantec Consulting Services, Inc.
- 18 STV, Inc.
- 19 Tectonic Engineering and Surveying Consultants, P.C.
- 20 YU and Associates Engineers, PC

- 28 McMillen Jacobs Associates
- 29 MCSS Inc.
- 30 Michael Baker Engineering, Inc.
- 31 Mott McDonald
- 32 Naik Consulting Group
- 33 NV5
- 34 Parsons Transportation Group of NY, Inc.
- 35 Popli Design Group
- 36 Rail Pros Inc.
- SI Engineering
- 37

B Construction Supervision & Inspection Services

B1 Line Structures

- 1 A. DiCesare Associates, P.C.
- 2 AECOM USA, Inc.
- 3 AI Engineers, Inc., P.C.
- 4 AKRF Engineering, P.C.
- 5 ARCADIS
- 6 B&H Engineering, P.C.

- 38 SIMCO Engineering PC
- 39 STV, Inc.
- 40 SYSTRA
- 41 Tectonic Engineering and Surveying Consultants, P.C.
- 42 TRC Engineers, Inc.
- 43 T. Y. Lin International
- 44 WSP USA Inc.

Staff Summary



B2 Buildings/Yards

- 1 A.G. Consulting Engineers
- 2 AECOM USA, Inc.
- 3 AI Engineers, Inc., P.C.
- 4 ARCADIS
- 5 Armand Corporation
- 6 Building Conservation Associates
- 7 Cameron Engineering and Associates, LLP
- 8 Cashin Associates
- 9 CHA Consulting, Inc.
- 10 D & B Engineering and Architecture
- 11 Gannett Fleming Engineers and Architects, P.C.
- 12 Garg Consulting Services, Inc.
- 13 Greenman-Pedersen, Inc.
- 14 Henningson, Durham and Richardson
- 15 Hill International, Inc.
- 16 HNTB New York Engineering and Architecture, PC
- 17 HVEA Engineers
- 18 Info Tran Engineers
- 19 JBA Corporation
- 20 JMT of New York Inc.
- 21 Jois Construction Management Systems, Inc.
- 22 KS Engineers, P.C.

- 39 Tectonic Engineering and Surveying Consultants, P.C.
- 40 T. Y. Lin International
- 41 WSP USA Inc.

B3 Power

- 1 AECOM USA, Inc.
- 2 AI Engineers, Inc., P.C.
- 3 Gannett Fleming Engineers and Architects, P.C.
- 4 Garg Consulting Services, Inc.
- 5 Henningson, Durham and Richardson
- 6 HNTB New York Engineering and Architecture, PC
- 7 Info Tran Engineers
- 8 LiRo Engineers, Inc.
- 9 Louis T. Klauder and Associates
- 10 MCSS Inc.
- 11 Mott McDonald
- 12 Naik Consulting Group
- 13 STV, Inc.
- 14 SYSTRA
- 15 T. Y. Lin International
- 16 WSP USA Inc.

B4 Track

- 23 Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C.
- 24 LiRo Engineers, Inc.
- 25 Lochner Engineering, P.C.
- 26 M&J Engineering, P.C.
- 27 MCSS Inc.
- 28 Michael Baker Engineering, Inc.
- 29 Mott McDonald
- 30 MP Engineers and Architects
- 31 Naik Consulting Group
- 32 Parsons Transportation Group of NY, Inc.
- 33 Pennoni Associates Inc.
- 34 Rail Pros Inc.
- 35 SI Engineering
- 36 SIMCO Engineering PC
- 37 STV
- 38 SYSTRA
- 1 AECOM USA, Inc.
- 2 AI Engineers, Inc., P.C.
- 3 ARCADIS
- 4 CHA Consulting, Inc.
- 5 Gannett Fleming Engineers and Architects, P.C.
- 6 Garg Consulting Services, Inc.
- 7 Henningson, Durham and Richardson
- 8 Hill International, Inc.
- 9 HNTB New York Engineering and Architecture, PC
- 10 Info Tran Engineers
- 11 JBA Corporation
- 12 Jois Construction Management Systems, Inc.
- 13 LiRo Engineers, Inc.
- 14 MCSS Inc.
- 15 Michael Baker Engineering, Inc.
- 16 Mott McDonald
- 17 Naik Consulting Group

Staff Summary



- 18 Network Rail Consulting, Inc.
- 19 Rail Pros Inc.
- 20 STV, Inc.
- 21 SYSTRA
- 22 T. Y. Lin International
- 23 WSP USA Inc.

- 7 FPM Group, Ltd.
- 8 Gannett Fleming Engineers and Architects, P.C.
- 9 GZA GeoEnvironmental of New York
- 10 Henningson, Durham and Richardson
- 11 HNTB New York Engineering and Architecture, PC

- 12 Langan Engineering, Environmental, Surveying and Landscape Architecture, D.P.C
- 13 Lexcel Management Services LLC
- 14 LiRo Engineers, Inc.
- 15 Mott McDonald
- 16 STV, Inc.
- 17 Tectonic Engineering and Surveying Consultants, P.C.
- 18 TRC Engineers, Inc.

B5 Signals & Communications

- 1 AECOM USA, Inc.
- 2 Gannett Fleming Engineers and Architects, P.C.
- 3 Garg Consulting Services, Inc.
- 4 Hill International, Inc.
- 5 HNTB New York Engineering and Architecture, PC
- 6 Info Tran Engineers
- 7 JBA Corporation
- 8 Louis T. Klauder and Associates
- 9 M&J Engineering, P.C.
- 10 MCSS Inc.
- 11 Mott McDonald
- 12 Naik Consulting Group
- 13 Rail Pros Inc.
- 14 STV, Inc.
- 15 SYSTRA
- 16 T. Y. Lin International
- 17 WSP USA Inc.

B8 Hazard Mitigation

- 1 ATC Group Services
- 2 Lexcel Management Services LLC
- 3 Pennoni Associates Inc.
- 4 TRC Engineers, Inc.
- 5 WSP USA Inc.

C Miscellaneous Professional Services

C1 Scheduling

- 1 ARCADIS
- 2 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 3 HATCH Consulting Engineers
- 4 Henningson, Durham and Richardson
- 5 Hill International, Inc.
- 6 HNTB New York Engineering and Architecture, PC
- 7 Info Tran Engineers
- 8 JBA Corporation
- 9 Jois Construction Management Systems, Inc.
- 10 Lexcel Management Services LLC
- 11 LiRo Engineers, Inc.
- 12 M&J Engineering, P.C.
- 13 MCSS Inc.
- 14 MDS Construction Management
- 15 PMA Consultants

B6 Rolling Stock

- 1 CH2M HILL New York, Inc.
- 2 JBA Corporation
- 3 Louis T. Klauder and Associates
- 4 STV, Inc.

B7 Environmental Engineering

- 1 ARCADIS
- 2 ATC Group Services
- 3 Cashin Associates
- 4 CH2M HILL New York, Inc.
- 5 D & B Engineering and Architecture
- 6 Dewberry Engineers, Inc.

Staff Summary



- 16 SJH Engineering, P.C.
- 17 STV, Inc.
- 18 The Tonik Group
- 19 Toscano Clements Taylor, LLC

- 4 Henningson, Durham and Richardson
- 5 Hill International, Inc.
- 6 HNTB New York Engineering and Architecture, PC
- 7 Info Tran Engineers
- 8 LiRo Engineers, Inc.
- 9 Michael Baker Engineering, Inc.
- 10 Mott McDonald
- 11 Naik Consulting Group
- 12 PMA Consultants
- 13 Rail Pros Inc.
- 14 Stantec Consulting Services, Inc.
- 15 STV, Inc.
- 16 SYSTRA
- 17 T. Y. Lin International

C2 Estimating

- 1 Accu-Cost Construction Consultants, Inc.
- 2 ARCADIS
- 3 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 4 Henningson, Durham and Richardson
- 5 Hill International, Inc.
- 6 HNTB New York Engineering and Architecture, PC
- 7 Jois Construction Management Systems, Inc.
- 8 LiRo Engineers, Inc.
- 9 MCSS Inc.
- 10 Ove Arup and Partners, PC
- 11 PMA Consultants
- 12 STV, Inc.
- 13 Toscano Clements Taylor, LLC

C5 Testing & Evaluation

- 1 JBA Corporation
- 2 Louis T. Klauder and Associates
- 3 Lucius Pitkin
- 4 The Tonik Group
- 5 WSP USA Inc.

C3 Claims

- 1 AECOM USA, Inc.
- 2 ARCADIS
- 3 Henningson, Durham and Richardson
- 4 HNTB New York Engineering and Architecture, PC
- 5 JBA Corporation
- 6 Jois Construction Management Systems, Inc.
- 7 Lexcel Management Services LLC
- 8 Louis Berger
- 9 McMillen Jacobs Associates
- 10 MCSS Inc.
- 11 MDC Systems
- 12 PMA Consultants
- 13 SYSTRA

C6 Useful Life Analysis

- 1 Henningson, Durham and Richardson
- 2 Info Tran Engineers
- 3 Louis T. Klauder and Associates
- 4 Lucius Pitkin
- 5 Network Rail Consulting, Inc.
- 6 SAM SCHWARTZ / GPO Group, JV

C7 Design Reviews

- 1 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 2 Building Conservation Associates
- 3 Greenman-Pedersen, Inc.
- 4 HATCH Consulting Engineers
- 5 Henningson, Durham and Richardson
- 6 Hill International, Inc.
- 7 HNTB New York Engineering and Architecture, PC
- 8 Info Tran Engineers

C4 Constructability

- 1 ARCADIS
- 2 Greenman-Pedersen, Inc.
- 3 HATCH Consulting Engineers

Staff Summary



- 9 Jacobs Civil Consultants, Inc.
- 10 LiRo Engineers, Inc.
- 11 Louis T. Klauder and Associates
- 12 Michael Baker Engineering, Inc.
- 13 Mott McDonald
- 14 Naik Consulting Group
- 15 Ove Arup and Partners, PC
- 16 Rail Pros Inc.
- 17 Stantec Consulting Services, Inc.
- 18 STV, Inc.
- 19 T. Y. Lin International

- 7 Info Tran Engineers
- 8 LiRo Engineers, Inc.
- 9 Louis T. Klauder and Associates
- 10 M. J. Bradley
- 11 Mott McDonald
- 12 Ove Arup and Partners, PC
- 13 SAM SCHWARTZ / GPO Group, JV
- 14 STV, Inc.
- 15 SYSTRA
- 16 T. Y. Lin International

- 17 VHB Engineering, Surveying and Landscape Architecture and Geology, P.C.

C8 Technical Writer

- 1 Building Conservation Associates
- 2 Henningson, Durham and Richardson
- 3 HNTB New York Engineering and Architecture, PC
- 4 Louis T. Klauder and Associates
- 5 Rail Pros Inc.
- 6 SJH Engineering, P.C.

C11 Occupational Safety & Health

- 1 ATC Group Services
- 2 LiRo Engineers, Inc.
- 3 TRC Engineers, Inc.
- 4 WSP USA Inc.

C9 Quality Management

- 1 AECOM USA, Inc.
- 2 Greenman-Pedersen, Inc.
- 3 HNTB New York Engineering and Architecture, PC
- 4 Info Tran Engineers
- 5 JBA Corporation
- 6 KS Engineers, P.C.
- 7 Louis T. Klauder and Associates
- 8 SYSTRA
- 9 The Tonik Group

C12 Program Management

- 1 AECOM USA, Inc.
- 2 ARCADIS
- 3 Building Conservation Associates
- 4 CTE (Center for Transportation and the Environment)
- 5 Henningson, Durham and Richardson
- 6 Hill International, Inc.
- 7 HNTB New York Engineering and Architecture, PC
- 8 Info Tran Engineers
- 9 Jacobs Civil Consultants, Inc.
- 10 Mott McDonald
- 11 Naik Consulting Group
- 12 Network Rail Consulting, Inc.
- 13 Ove Arup and Partners, PC
- 14 PMA Consultants
- 15 Rail Pros Inc.
- 16 SAM SCHWARTZ / GPO Group, JV
- 17 STV, Inc.
- 18 WSP USA Inc.

C10 Operational Studies & Simulations

- 1 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 2 CH2M HILL New York, Inc.
- 3 CTE (Center for Transportation and the Environment)
- 4 Gannett Fleming Engineers and Architects, P.C.
- 5 Henningson, Durham and Richardson
- 6 HNTB New York Engineering and Architecture, PC

Staff Summary

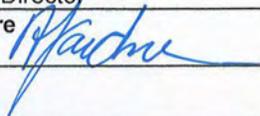
C13 Risk Assessment

- 1 AECOM USA, Inc.
- 2 ARCADIS
- 3 Atkins, P.A. d/b/a Atkins Architecture & Engineering
- 4 Henningson, Durham and Richardson
- 5 HNTB New York Engineering and Architecture, PC
- 6 Jacobs Civil Consultants, Inc.
- 7 JBA Corporation
- 8 Ove Arup and Partners, PC
- 9 PMA Consultants



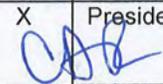
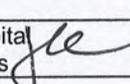
Metro-North Railroad

Procurements

Subject	Request for Authorization to Award Various Procurements
Department	Procurement and Material Management
Department Head Name	Anthony Gardner, Acting Sr Director
Department Head Signature	
Project Manager Name	

Date	December 9, 2019
Vendor Name	Various
Contract Number	Various
Contract Manager Name	Various
Table of Contents Ref #	

Board Action					
Order	To	Date	Approval	Info	Other
1	MNR Comm. Mtg.	12-16-19	x		
2	MTA Board Mtg.	12-18-19	x		

Internal Approvals			
	Approval		Approval
X	President 	X	Executive Director Management & Budget 
X	Executive Vice President	X	V.P. Capital Programs 
X	Sr. V.P. Operations 		
X	V.P. & General Counsel 		

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval

PURPOSE:

To obtain approval of the Board to award various contracts/contract modifications and purchase orders, and to inform the MTA Metro-North Railroad Committee of these procurement actions.

DISCUSSION:

MNR proposes to award non-competitive procurements in the following categories:

	# of Actions	\$ Amount
<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	NONE	
<u>Schedules Requiring Majority Vote</u>	NONE	
SUB TOTAL:		

MNR proposes to award competitive procurements in the following categories:

<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	<u># of Actions</u>	<u>\$ Amount</u>
Schedule C: (Solicitation of Purchase and Public Work Contracts) Competitive Requests for Proposals (Award of Purchase and Public Work Contracts)	1	\$10,417,500
<ul style="list-style-type: none"> • John Civetta & Sons Inc. \$10,417,500 (not-to-exceed) 		

Schedules Requiring Majority Vote NONE

SUB TOTAL: _____

MNR presents the following procurement actions for Ratification:

Schedules Requiring Two-Thirds Vote (or more, where noted) NONE

Schedules Requiring Majority Vote NONE

SUB TOTAL: _____

TOTAL: 1 \$10,417,500

The contractors noted above and on the following Staff Summary Sheets have been found in all respects responsive and responsible, and are in compliance with State laws and regulations concerning procurements.

BUDGET IMPACT: The purchases/contracts will result in obligating MNR operating and capital funds in the amount listed. Funds are available in the current MNR operating/capital budgets for this purpose.

RECOMMENDATION: That the purchases/contracts be approved as proposed. (Items are included in the resolution of approval at the beginning of the Procurement Section.)

METROPOLITAN TRANSPORTATION AUTHORITY

WHEREAS, in accordance with Section 1265-a and Section 1209 of the Public Authorities law and the All Agency Procurement Guidelines, the Board authorizes the award of certain non-competitive purchase and public work contracts, and the solicitation and award of request for proposals in regard to purchase and public work contracts; and

WHEREAS, in accordance with the All Agency Procurement Guidelines, the Board authorizes the award of certain non-competitive miscellaneous procurement contracts, and certain change orders to procurement, public work, and miscellaneous procurement contracts; and

WHEREAS, in accordance with Section 2879 of the Public Authorities Law and the All Agency Guidelines for Procurement of Services, the Board authorizes the award of certain service contracts and certain change orders to service contracts.

NOW, the Board resolves as follows:

1. As to each purchase and public work contract set forth in the annexed Schedule A, the Board declares competitive bidding to be impractical or inappropriate for the reasons specified therein and authorizes the execution of each such contract.

2. As to each request for proposals (for purchase and public work contracts) set forth in Schedule B for which it is deemed in the public interest to obtain authorization to solicit competitive proposals through a publicly advertised RFP for the reasons specified therein the Board declares it to be impractical or inappropriate to utilize a procurement process inviting sealed bids with award to the lowest responsive/responsible bidder.

3. As to each request for proposals (for purchase and public work contracts) set forth in Schedule C for which a recommendation is made to award the contract, the Board authorizes the execution of said contract.

4. The Board ratifies each action taken set forth in Schedule D for which ratification is requested.

5. The Board authorizes the execution of each of the following for which Board authorization is required: i) the miscellaneous procurement contracts set forth in Schedule E; ii) the personal service contracts set forth in Schedule F; iii) the miscellaneous service contracts set forth in Schedule G; iv) the modifications to personal/miscellaneous service contracts set forth in Schedule H; v) the contract modifications to purchase and public work contracts set forth in Schedule I; and vi) the modifications to miscellaneous procurement contracts set forth in Schedule J.

6. The Board ratifies each action taken set forth in Schedule K for which ratification is requested.

DECEMBER 2019

METRO-NORTH RAILROAD

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Schedules Requiring Two-Thirds Vote:

**C. Competitive Requests for Proposals (Award of Purchase and Public Work Contracts)
(Staff Summaries required for items requiring Board approval)**

**1. John Civetta & Sons Inc \$10,417,500 (not-to-exceed) Staff Summary Attached
Replacement of the 3rd Avenue Bridge, Mt. Vernon, NY**

Approval is requested to award an 18-month competitively solicited federally funded design-build (DB) contract (RFP process, eight proposals received; four shortlisted) in the not-to-exceed amount of \$10,417,500 to the firm John Civetta & Sons Inc. (J. Civetta) for the design and construction of the 3rd Ave. Bridge located over the New Haven Line in Mount Vernon, New York.

In December 2018, the Board approved the use of the RFP process for this design-build project. An RFP dated July 3, 2019, was prepared and advertised in the New York State Contract Reporter, New York Post, El Dario, Daily Challenge and posted on Metro-North's website.

In accordance with the criteria for selection, the Selection Committee unanimously recommended a contract award to John Civetta & Sons Inc. J. Civetta not only offered the lowest proposal price within 10% of the engineers estimate but proposed viable design alternatives and construction concepts that were deemed to be well engineered, time/labor efficient, and compliant with the intent of the preliminary design.

Board approval is requested in the not-to-exceed amount of \$10,417,500. This procurement is to be federally funded and is part of the MTA 2015-2019 Capital Program.

Staff Summary

Item Number C					
Dept & Dept Head Name: Procurement and Material Management, Anthony Gardner, Acting Sr. Director <i>AG</i>					
Division & Division Head Name: Executive Vice President, Susan Doering <i>SD</i>					
Board Reviews					
Order	To	Date	Approv	Info	Other
1	M-N Comm.Mtg.	12-16-19	x		
2	MTA Board Mtg.	12-18-19	x		
Internal Approvals					
Order	Approval	Order	Approval		
x	President	x	V.P. Capital Programs		
x	Sr. V.P. Operations	x	Executive Director Mgmt. & Budget		
x	V.P. & General Counsel				

SUMMARY INFORMATION	
Vendor Name John Civetta & Sons Inc.	Contract Number 1000098425
Description Replacement of the 3 rd Ave Bridge in Mt. Vernon, NY	
Total Amount \$10,417,500 (not-to-exceed)	
Contract Term (including Options, if any) 18 months	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative

I. PURPOSE/RECOMMENDATION:

Approval is requested to award an 18-month competitively solicited federally funded design-build (DB) contract (RFP process, eight proposals received; four shortlisted) in the not-to-exceed amount of \$10,417,500 to the firm John Civetta & Sons Inc. (J. Civetta) for the design and construction of the 3rd Ave. Bridge located over the New Haven Line in Mount Vernon, New York.

II. DISCUSSION:

The existing 3rd Avenue Bridge is 119 years old and spans approximately 82 feet over the four track New Haven Line between CP 212 and CP 215. The area surrounding the bridge is residential on the south end and commercial on the north end. This project includes the removal and replacement of the existing single span two lane roadway bridge (with pedestrian sidewalks on both sides).

The Work Scope includes the following:

- Design to completion and assume the responsibility of Designer of Record;
- Provide project oversight, engineering, site preparation, construction related work (including construction inspection and support), project, safety (safety barriers, signage, lights etc.) and quality control management;
- Demolition and removal of the existing bridge, partial abutments, roadway approaches including clearing and grubbing;
- Construction of new Bridge superstructure including, the construction and installation of bridge superstructure, rehabilitation of abutment tops, relocating and/or installing water and utilities including communications, signals, and power;
- Install new roadway approaches, sidewalk, striping, signage, guide rails, fencing, retaining walls, grading and drainage;

Staff Summary

- Site restoration.

In December 2018, the Board approved the use of the RFP process for this design-build project. An RFP dated July 3, 2019, was prepared and advertised in the New York State Contract Reporter, New York Post, El Dario, Daily Challenge and posted on Metro-North's website.

The established criteria for selection outlined in the RFP was as follows:

Phase 1

1. Past experience and performance on similar design-build projects;
2. Qualifications and experience of the design-build team, including key personnel and Subcontractor/Subconsultant resources, with an emphasis on the demonstrated commitment of the Proposer to provide such resources for the entire life of the project;
3. Proposer's demonstrated capability and financial resources to perform the work in the time projected.

On August 5, 2019, Metro-North received Phase 1 proposals from eight design-build teams. The Selection Committee was comprised of members representing Metro-North's Procurement and Material Management, Capital Engineering and Maintenance of Way Track & Structures Departments. The Committee evaluated all eight proposals in accordance with the above criteria of the RFP and Metro-North's procedures. Four firms were shortlisted as a result of the Selection Committee meeting as follows: Ecco III Enterprises, Inc.; John Civetta & Sons, Inc.; EE Cruz & Company Inc. and Posillico Civil, Inc. All four shortlisted firms participated in Phase 2 of the selection process.

Phase 2

The following criteria, listed in relative order of importance, was used to evaluate Phase 2 Proposals:

1. Cost;
2. Confidence level, commitment of relevant resources to the project including the qualifications and experience of key personnel, team qualifications and reliability to perform the Services including Subcontractor Services;
3. Demonstrated understanding of the Work Scope requirements, including but not limited to the quality and completeness of the Work Plan and any required submissions;
4. Proposed Staging Plan and Schedule;
5. Quality and Innovativeness of design.

The Phase 2 technical proposals which included cost, were received October 11, 2019 as follows: 1) Ecco III Enterprises Inc. at \$13,657,000.; 2) John Civetta & Sons Inc. at \$10,417,500.; 3) EE Cruz & Company Inc. at \$13,796,800.; and 4) Posillico Civil, Inc. at \$12,582,480. In accordance with the criteria for selection, the Selection Committee unanimously recommended a contract award to John Civetta & Sons Inc. J. Civetta not only offered the lowest proposal price within 10% of the engineers estimate but proposed viable design alternatives and construction concepts that were deemed to be well engineered, time/labor efficient, and compliant with the intent of the preliminary design.

J. Civetta recently successfully completed the 14th Avenue Bridge replacement located over the New Haven Line in Mount Vernon, New York. Currently, J. Civetta is satisfactorily performing two rock slope remediation projects for Metro-North, East and West of Hudson and is also the prime contractor for the Grand Central Terminal Security Bollard Project.

MNR completed a responsibility review of John Civetta & Sons, Inc. as defined in the All Agency Responsibility Guidelines in connection with this award recommendation, which yielded no significant adverse information (SAI).

III. D/M/WBE INFORMATION:

The MTA Department of Diversity and Civil Rights (DDCR) established 20% DBE goal for this project. Civetta's pre-award DBE submittal package is currently under review by DDCR and the contract will not be awarded until DDCR requirements have been satisfied.

IV. IMPACT ON FUNDING:

Board approval is requested in the not-to-exceed amount of \$10,417,500. This procurement is to be federally funded and is part of the MTA 2015-2019 Capital Program.

V. ALTERNATIVES:

Metro-North does not have the expertise and capability to perform the required design and construction services, as specified



Long Island Rail Road

November 2019 Performance Summary

Rod Brooks, Senior Vice President – Operations



North Main and Acabonac Road Bridge: The replacement of two (2) LIRR Bridges over North Main Street and Accabonac Road in East Hampton concluded as scheduled, on November 10, 2019. Service was fully restored on November 11, 2019.



Long Island Rail Road

November 2019 Performance Summary

Highlights

On-Time Performance (OTP) was at **90.7%** in November, which is below the monthly goal of 94%. The AM Peak period OTP registered at **88.0%**, with the PM Peak closing at **91.2%**. Year to Date OTP is **92.4%**, which is a **2.2%** increase compared to same period last year.

Branch Performances

Throughout the month of November **5.7%** of all scheduled trains arrived between 6 and 10 minutes late at their final terminal. The average delay per late train was **11.4** minutes for the month. There were **80** cancelled or terminated trains in November, which accounts for **0.4%** of all scheduled trains for the month.

Consist Compliance

97.8% of our trains met established consist requirements during the Peak periods for the month of November.

Equipment Performance

MDBF continued to perform above expectations YTD through October, and exceeded the yearly targets. The year-to-date MDBF also exceeded the same period last year by 4.4%.

Performance Summary			2019 Data			2018 Data	
			Annual	YTD thru		YTD thru	
			Goal	Nov	Nov	Nov	Nov
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	94.0%	90.7%	92.4%	86.9%	90.2%
		AM Peak		88.0%	91.1%	84.4%	88.2%
		PM Peak		91.2%	90.8%	81.5%	86.4%
		Total Peak		89.5%	91.0%	83.0%	87.4%
		Off Peak Weekday		89.9%	92.2%	87.7%	90.4%
		Weekend		93.4%	94.3%	89.7%	93.1%
	Babylon Branch	Overall	93.9%	91.1%	92.8%	84.4%	89.8%
		AM Peak		88.0%	92.3%	84.2%	88.6%
		PM Peak		92.1%	90.9%	81.3%	86.1%
		Total Peak		89.9%	91.7%	82.9%	87.4%
	Off Peak Weekday		90.5%	93.0%	85.6%	90.2%	
	Weekend		93.9%	94.3%	84.1%	92.5%	
Far Rockaway Branch	Overall	96.6%	95.7%	96.6%	91.2%	94.6%	
	AM Peak		92.7%	92.1%	81.4%	88.2%	
	PM Peak		97.2%	97.3%	89.9%	93.9%	
	Total Peak		94.8%	94.5%	85.2%	90.8%	
	Off Peak Weekday		95.2%	96.7%	94.0%	95.4%	
	Weekend		97.3%	98.6%	91.1%	96.7%	
Huntington Branch	Overall	92.5%	86.8%	89.8%	85.3%	88.8%	
	AM Peak		87.3%	90.5%	83.8%	87.7%	
	PM Peak		85.4%	85.5%	76.5%	84.1%	
	Total Peak		86.4%	88.1%	80.3%	86.0%	
	Off Peak Weekday		84.0%	88.3%	85.2%	87.8%	
	Weekend		90.8%	93.6%	90.4%	92.7%	
Hempstead Branch	Overall	96.5%	90.4%	93.0%	90.2%	92.4%	
	AM Peak		88.0%	92.8%	88.1%	89.8%	
	PM Peak		88.9%	89.7%	83.6%	88.6%	
	Total Peak		88.4%	91.3%	86.0%	89.2%	
	Off Peak Weekday		89.3%	92.9%	90.5%	92.7%	
	Weekend		93.6%	94.8%	94.0%	94.8%	
Long Beach Branch	Overall	95.9%	93.2%	94.8%	88.9%	92.3%	
	AM Peak		91.2%	93.2%	87.3%	90.1%	
	PM Peak		92.3%	95.0%	88.3%	90.0%	
	Total Peak		91.7%	94.1%	87.8%	90.1%	
	Off Peak Weekday		92.2%	95.0%	90.2%	93.2%	
	Weekend		96.7%	95.0%	87.3%	93.2%	
Montauk Branch	Overall	90.8%	87.5%	87.7%	85.8%	88.4%	
	AM Peak		83.8%	88.2%	81.5%	86.8%	
	PM Peak		88.4%	86.8%	72.5%	82.5%	
	Total Peak		85.9%	87.5%	77.3%	84.8%	
	Off Peak Weekday		91.1%	89.1%	89.2%	89.9%	
	Weekend		83.2%	85.5%	87.1%	88.8%	
Oyster Bay Branch	Overall	94.1%	92.4%	92.9%	83.3%	89.8%	
	AM Peak		88.6%	91.8%	81.6%	89.7%	
	PM Peak		92.5%	88.8%	69.8%	78.7%	
	Total Peak		90.4%	90.4%	76.2%	84.6%	
	Off Peak Weekday		92.7%	92.9%	83.1%	90.9%	
	Weekend		94.5%	96.2%	93.4%	94.2%	

Performance Summary		2019 Data			2018 Data	
		Annual	YTD thru		YTD thru	
		Goal	Nov	Nov	Nov	Nov
Port Jefferson Branch	Overall	90.9%	81.7%	87.4%	80.0%	87.7%
	AM Peak		82.5%	87.2%	83.3%	87.3%
	PM Peak		83.6%	86.0%	74.1%	83.0%
	Total Peak		83.0%	86.6%	79.0%	85.3%
	Off Peak Weekday		76.2%	85.3%	79.0%	86.2%
	Weekend		90.2%	93.1%	83.2%	94.3%
Port Washington Branch	Overall	95.3%	94.4%	93.9%	88.9%	90.4%
	AM Peak		94.2%	94.0%	88.4%	90.6%
	PM Peak		93.4%	92.2%	83.7%	86.3%
	Total Peak		93.8%	93.1%	86.0%	88.5%
	Off Peak Weekday		92.7%	92.9%	87.3%	90.2%
	Weekend		98.3%	97.0%	95.5%	93.2%
Ronkonkoma Branch	Overall	91.6%	88.6%	90.2%	86.7%	86.2%
	AM Peak		82.4%	87.0%	81.2%	83.7%
	PM Peak		91.7%	91.1%	82.5%	86.5%
	Total Peak		86.5%	88.8%	81.8%	84.9%
	Off Peak Weekday		87.8%	89.6%	87.3%	85.0%
	Weekend		92.8%	93.8%	92.5%	91.4%
West Hempstead Branch	Overall	95.8%	94.2%	96.3%	90.5%	93.9%
	AM Peak		86.0%	90.4%	87.6%	88.7%
	PM Peak		96.7%	95.1%	86.5%	88.8%
	Total Peak		91.8%	92.9%	87.0%	88.7%
	Off Peak Weekday		94.4%	97.4%	94.7%	96.4%
	Weekend		96.7%	98.4%	85.2%	94.9%
Operating Statistics	Trains Scheduled		20,306	228,225	20,306	225,583
	Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>		-11.4	-11.8	-13.1	-13.0
	Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>		281	2,705	490	3,904
	Trains Canceled		45	727	175	1,385
	Trains Terminated		35	509	72	813
	Percent of Scheduled Trips Completed		99.6%	99.5%	98.8%	99.0%
	Consist Compliance <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>					
	AM Peak		98.1%			
	PM Peak		97.5%			
	Total Peak		97.8%			

System Categories Of Delay	% Total	2019	2019 Data		2018 Data		YTD 2019 Vs 2018
		Oct	Nov	YTD Thru Nov	Nov	YTD Thru Nov	
Engineering (Scheduled)	3.5%	71	66	559	37	404	155
Engineering (Unscheduled)	13.9%	278	262	2,529	244	2,681	(152)
Maintenance of Equipment	12.7%	226	238	1,722	161	2,134	(412)
Transportation	1.5%	15	28	436	32	454	(18)
Capital Projects	7.8%	102	147	1,188	41	1,697	(509)
Weather and Environmental	18.2%	211	343	1,405	903	4,005	(2,600)
Police	8.0%	192	150	2,113	127	1,917	196
Customers	22.4%	450	421	4,087	403	4,025	62
Special Events	4.7%	15	89	987	116	1,072	(85)
Other	4.5%	159	84	1,266	214	1,918	(652)
3rd Party Operations	2.8%	40	52	1,150	389	1,890	(740)
Total	100.0%	1,759	1,880	17,442	2,667	22,197	(4,755)

EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) OR TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	AM Peak			PM Peak			Off Peak			TOTAL		
			L	C	T	L	C	T	L	C	T	Late	Cxld	Term
1-Nov	Fri	Extreme wind conditions system wide	6			1			26	1		33	1	
1-Nov	Fri	Low adhesion system wide	28		1	3			16			47		1
1-Nov	Fri	Track circuit failure on the Long Beach branch				8			5			13		
1-Nov	Fri	Special Instruction 100W in effect							10			10		
2-Nov	Sat	Switch trouble west of Carle Place Station							18			18		
2-Nov	Sat	Low adhesion system wide							10			10		
4-Nov	Mon	Smoke condition at the old Woodhaven Station	12	1	3				25			37	1	3
4-Nov	Mon	Trespasser strike at Baldwin Station	11	5	1				5	1	2	16	6	6
5-Nov	Tue	Low adhesion system wide	4						8			12		
7-Nov	Thu	Weather loading system wide				13			5			18		
11-Nov	Mon	Low adhesion system wide				2	1		11			13	1	
11-Nov	Mon	Switch trouble east of Hicksville Station	10						1			11		
12-Nov	Tue	Low adhesion system wide	14						9			23		
12-Nov	Tue	Weather loading system wide							13			13		
13-Nov	Wed	Track condition west of Jamaica Station	49	11					6			55	11	
13-Nov	Wed	Train 658 with equipment trouble in West Side Yard				13			2			15		
13-Nov	Wed	Motor vehicle on tracks at New Hyde Park Road				6			10	1		16	1	
14-Nov	Thu	Trespasser strike at Lynbrook Station							13	3	1	13	3	1
16-Nov	Sat	Main Line Expansion							23			23		
17-Nov	Sun	Main Line Expansion							20			20		
18-Nov	Mon	Low adhesion system wide	7						8			15		
18-Nov	Mon	Slow loading system wide	4						8			12		
20-Nov	Wed	Train 2054 with equipment trouble at Mineola Station				23	1		27	2	1	49	3	1
20-Nov	Wed	Slow loading system wide	2						8			10		
22-Nov	Fri	Track condition east of Jamaica Station							24	2		24	2	
23-Nov	Sat	Low adhesion system wide							13			13		
25-Nov	Mon	Low adhesion system wide	6		2	1			3			10		2
26-Nov	Tue	Heavy loading system wide							11			11		
27-Nov	Wed	Heavy holiday loading system wide				8		1	36			44		1
27-Nov	Wed	Low adhesion system wide							15			15		
27-Nov	Wed	Special Instruction 100W in effect				5			7			12		
28-Nov	Thu	Heavy holiday loading system wide							13			13		
29-Nov	Fri	Heavy holiday loading system wide							11			11		
TOTAL FOR MONTH			153	17	7	83	2	1	420	10	4	655	29	15
												699		

Long Island Rail Road

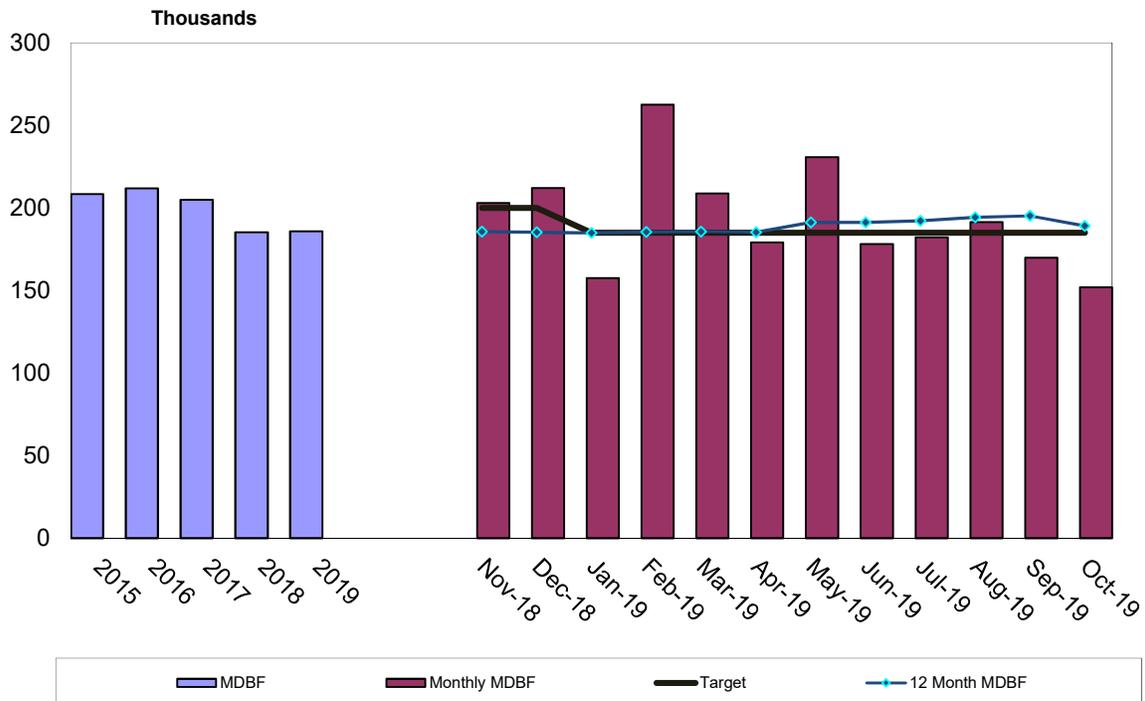
MEAN DISTANCE BETWEEN FAILURES - OCTOBER 2019

			2019 Data					2018 Data		
	Equip-ment Type	Total Fleet Owned	MDBF Goal (miles)	October MDBF (miles)	October No. of Primary Failures	YTD MDBF thru October (miles)	12 month MDBF Rolling Avg (miles)	October MDBF (miles)	October No. of Primary Failures	YTD MDBF thru October (miles)
Mean Distance Between Failures	M-3	142	60,000	91,811	7	64,526	66,491	100,491	6	73,685
	M-7	836	378,000	291,288	18	394,862	416,589	537,275	10	468,308
	M-9	18	135,000	64,863	0	64,863	64,863	-	-	-
	C-3	134	103,000	89,956	8	120,780	118,918	71,562	10	106,910
	DE	24	19,000	11,564	9	22,265	19,805	22,199	4	18,062
	DM	21	19,000	21,092	3	21,245	21,807	39,736	2	13,727
	Diesel	179	51,000	44,350	20	66,022	63,579	55,243	16	51,464
	Fleet	1,175	185,000	151,950	45	185,921	189,131	214,362	32	181,331

Mean Distance Between Failures (MDBF) is the average number of miles a railcar or locomotive travels before breaking down and causing a delay. The higher the MDBF, the more reliable the equipment and the service.

Note: Since M-9 fleet had no primary failures in October 2019, actual miles are shown on the chart above.

ALL FLEETS Mean Distance Between Failure 2015 - 2019





Standee Report

East Of Jamaica		2019 Data		
		October		
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	29	12
		Total Standees	29	12
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	10
		Total Standees	0	10
	Huntington Branch	Program Standees	60	0
		Add'l Standees	134	1
		Total Standees	194	1
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	2	0
		Total Standees	2	0
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	3	3
		Total Standees	3	3
	Montauk Branch	Program Standees	0	0
		Add'l Standees	3	0
		Total Standees	3	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	5	1
		Total Standees	5	1
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	7	146
		Total Standees	7	146
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	38	61
		Total Standees	38	61
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
		System Wide PEAK	281	234

Definitions

Weekday standees are calculated based on the most recent average weekday customer counts

"Program Standees" is the average number of customers in excess of programmed seating capacity.

"Additional Standees" reflect the impact of reduced train car consists (as reported in the weekday equipment reports).

Note: These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains.

Holidays and Special Events for which there are special equipment programs are not included.



Standee Report

West Of Jamaica

		2019 Data		
		AM Peak	PM Peak	
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	23	17
		Total Standees	23	17
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	4	10
		Total Standees	4	10
	Huntington Branch	Program Standees	30	0
		Add'l Standees	18	39
		Total Standees	48	39
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	10	36
		Total Standees	10	36
	Long Beach Branch	Program Standees	28	0
		Add'l Standees	27	0
		Total Standees	55	0
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	5	0
		Total Standees	5	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	7	146
		Total Standees	7	146
	Ronkonkoma Branch	Program Standees	0	0
		Add'l Standees	11	37
		Total Standees	11	37
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	7	0
		Total Standees	7	0
		System Wide PEAK	168	285

Definitions

Weekday standees are calculated based on the most recent average weekday customer counts

"Program Standees" is the average number of customers in excess of programmed seating capacity.

"Additional Standees" reflect the impact of reduced train car consists (as reported in the weekday equipment reports).

Note: These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains.

Holidays and Special Events for which there are special equipment programs are not included.

**ELEVATOR AND ESCALATOR OPERATING REPORT
FOR THE MONTH OF NOVEMBER 2019**

Elevator Availability		2019		2018	
		November	Year to Date	November	Year to Date
Branch	Babylon Branch	99.5%	99.2%	98.6%	98.4%
	Far Rockaway Branch	99.5%	98.9%	99.8%	99.5%
	Hempstead Branch	99.7%	99.4%	99.8%	99.6%
	Long Beach Branch	99.6%	99.5%	99.7%	99.5%
	Port Jefferson Branch	99.0%	98.8%	99.4%	98.6%
	Port Washington Branch	99.2%	99.0%	99.7%	99.3%
	Ronkonkoma Branch	99.5%	99.2%	99.5%	99.2%
	City Terminal Branch	99.7%	97.5%	99.3%	99.5%
	Overall Average	99.5%	98.8%	99.3%	99.1%

Escalator Availability		2019		2018	
		November	Year to Date	November	Year to Date
Branch	Babylon Branch	97.0%	97.3%	98.3%	96.8%
	Far Rockaway Branch	91.2%	97.9%	99.5%	97.2%
	Hempstead Branch	99.1%	98.4%	99.3%	97.8%
	Long Beach Branch	95.2%	96.2%	91.8%	97.2%
	Port Jefferson Branch	98.0%	97.7%	99.6%	99.2%
	City Terminal Branch	90.5%	96.0%	99.5%	96.7%
	Overall Average	94.4%	96.8%	98.8%	96.9%

Long Island Rail Road Performance Metrics Report

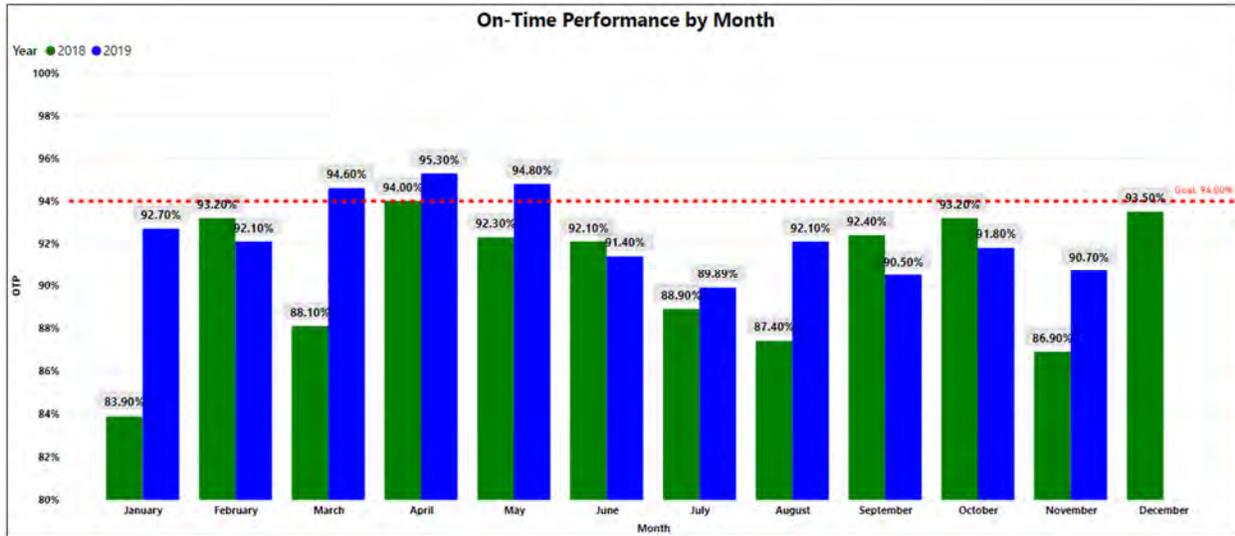


Through November, the LIRR has shown significant improvement in all three operational metrics and both on-board fare collection metrics.

On Time Performance

The percentage of trains that arrive at their final destination within 5 minutes and 59 seconds of their scheduled arrival time.

	2019		2018	
Goal	November	YTD	November	YTD
94.0%	90.7%	92.4%	86.9%	90.2%

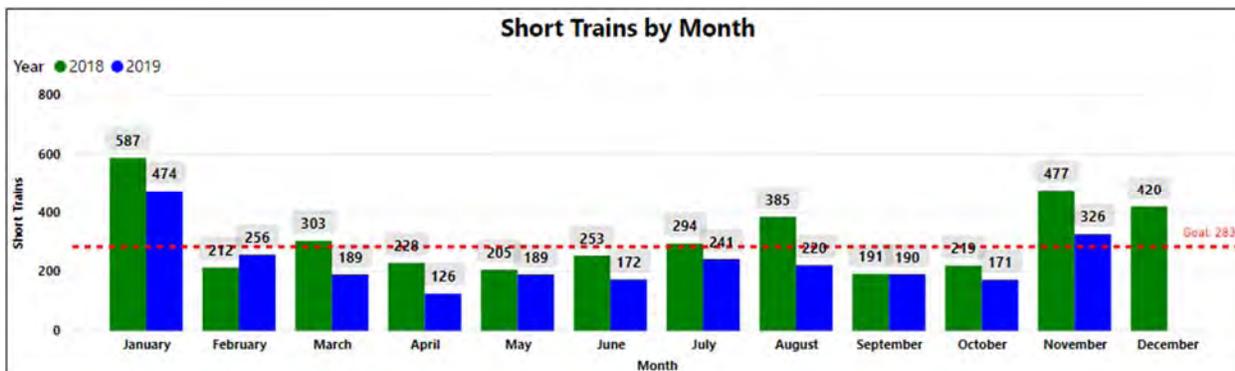


- OTP for November 2019 was 90.7%, which was an improvement from November 2018’s OTP of 86.9%. This increase is largely due to the reduction in weather related delays, which totaled 903 in November 2018 versus 343 in November 2019.

Number of Short Trains

The total number of AM and PM peak trains that operate with fewer cars than planned.

	2019		2018	
Goal	November	YTD	November	YTD
3,397 annually	326	2,554	477	3,354



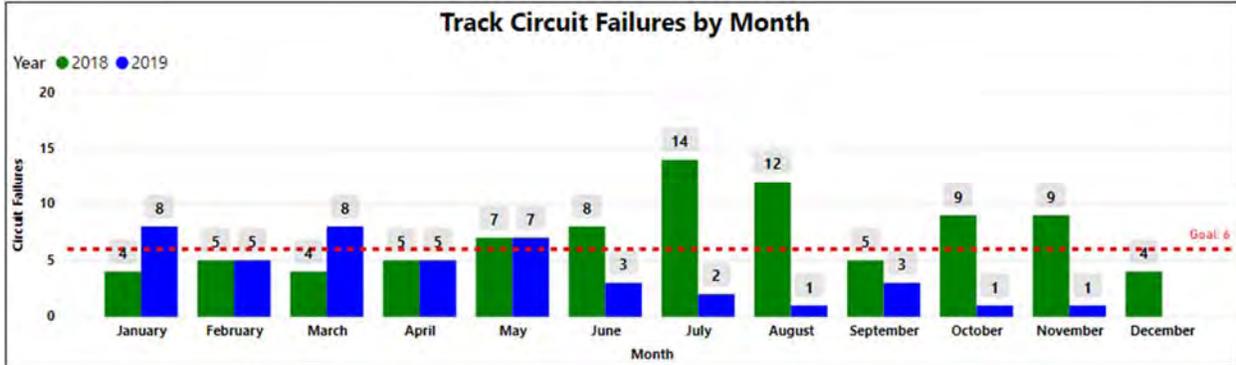
- YTD, the LIRR has reduced the number of short trains by almost 24%. Key factors have been increased wheel truing capacity and aggressive vegetation management.



Number of Track Circuit Failures

The number of track circuit malfunctions that result in at least one train delay.

Goal	2019		2018	
	November	YTD	November	YTD
72	1	44	9	82

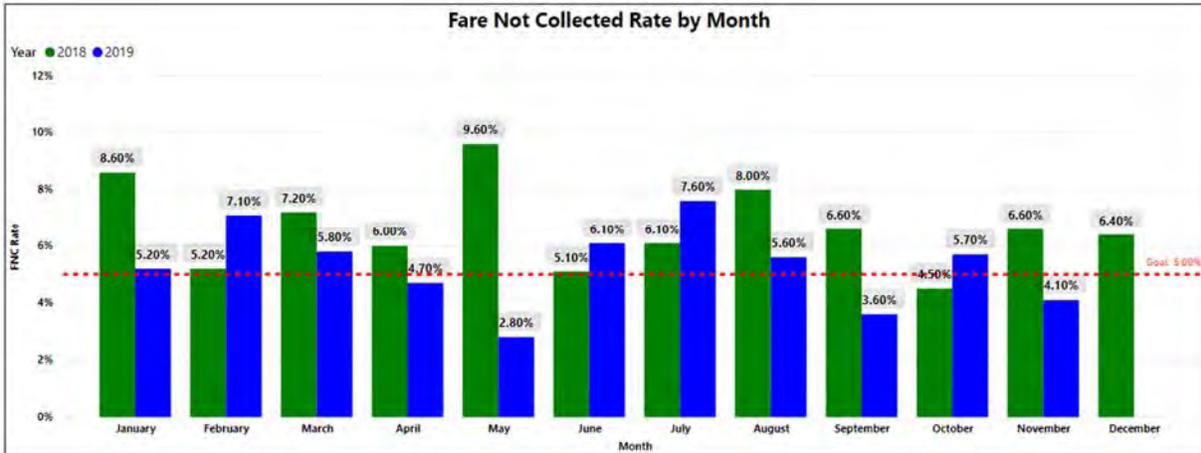


- Through November, the LIRR had experienced 44 track circuit failures causing at least one delay, which was a 46% reduction from the same period in 2018.

Fare Not Collected Rate

The percent of instances that an MTA Auditor's ticket was not collected.

	2019		2018	
Goal	November	YTD	November	YTD
5.0%	4.1%	5.2%	6.6%	6.9%

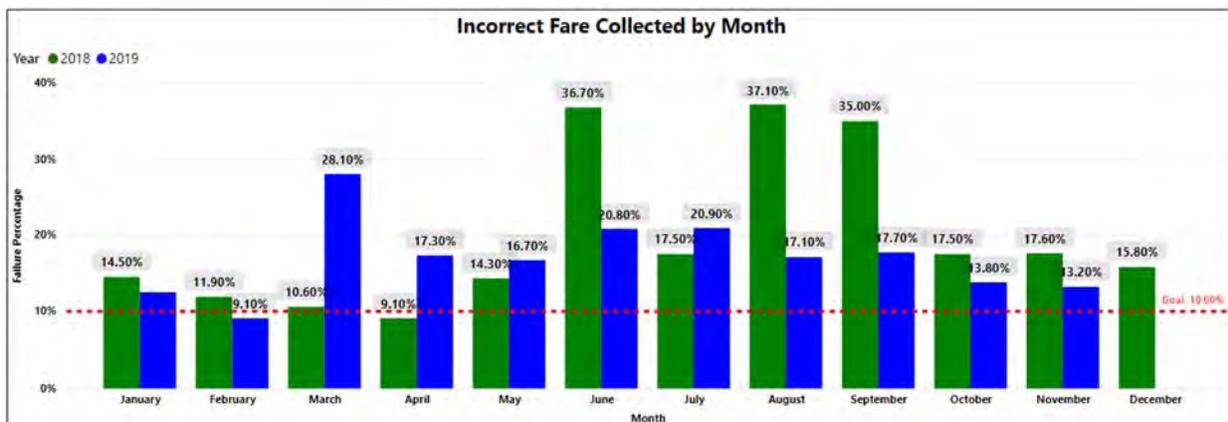


- The Fare Not Collected Rate was down compared to November 2018. YTD, the Fare Not Collected Rate is a significant improvement over 2018's numbers. The LIRR continues to employ enhanced management oversight and is strategically deploying train crews to address challenging trains.

Incorrect Fare Collected Rate

The percent of instances that an MTA Auditor was encountered by a conductor who either sold an incorrect type of ticket or accepted the incorrect type of ticket.

	2019		2018	
Goal	November	YTD	November	YTD
10.0%	13.2%	16.8%	17.6%	19.2%

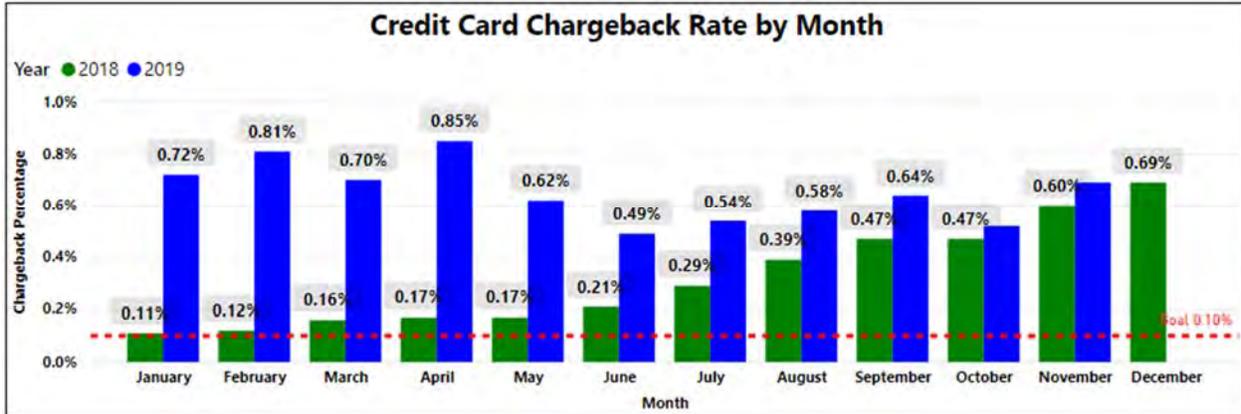


- In November 2019, the LIRR recorded one of its lowest Incorrect Fare Collected Rates this year at 13.2%. YTD, the IFC rate is also lower than through the same period in 2018.

Credit Card Chargeback Rate

The percent of instances that a credit card transaction is disputed by the card holder including fraud.

	2019		2018	
Goal	November	YTD	November	YTD
0.10%	0.69%	0.64%	0.60%	0.29%

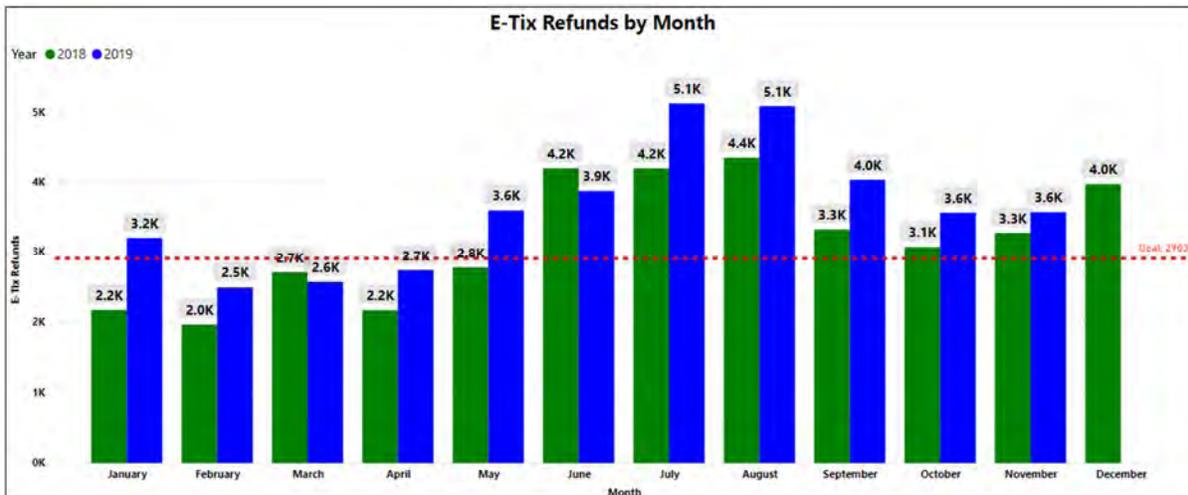


- The deployment of chip readers on ticket vending machines is expected to dramatically reduce the frequency of chargebacks.

e-Tix Refunds Processed

The total number of e-Tix Refunds processed by the LIRR.

	2019		2018	
Goal	November	YTD	November	YTD
34,480 annually	3,573	39,858	3,275	34,194



- The increase in MTA e-Tix sales, now more than one third of all ticket sales, has been the main factor in the growth of refunds.



Long Island Rail Road

Financial Report Highlights

October 2019



For the second year in a row, the LIRR offered fare discounts to customers in October as part of the Autumn Adventures program.



Long Island Rail Road

Financial Report Highlights

The Long Island Rail Road's Monthly Financial Report provides year-to-date fiscal information comparing actual revenues, expenses and staffing levels to the Mid-Year Forecast and key financial performance indicators.

October YTD 2019 Highlights

- Total revenue of \$1,075.2 million was \$65.4 million higher than Forecast. This was primarily due to the timing of reimbursements for capital activity.
- Through October 2019 ridership was 76.2 million, which was 2.0% above 2018 (adjusted for the same number of work days) and 0.4% above Mid-Year Forecast. Commutation ridership of 42.6 million was (0.3)% lower than 2018 and (0.8)% below the Mid-Year Forecast. Non-Commutation ridership of 33.6 million was 5.1% above 2018 and 1.8% above the Forecast. Farebox revenue of \$639.4 million was \$(0.1) lower than the Forecast as a result of lower yields, partially offset by higher ridership.
- Total expenses before non-cash liability adjustments of \$1,645.3 million were \$9.3 million or 0.6% favorable to Forecast. The primary drivers of this favorable variance are vacant positions and associated fringe costs, the timing of maintenance services and claims, and lower OPEB current, bad debt and electric expenses, partially offset by the timing of materials & supplies, higher capital project overtime and FELA indemnity reserves.

Financial results for Year-to-Date (YTD) October 2019 are presented in the table below and compared to the Forecast.

<u>Category (\$ in Millions)</u>	<u>Forecast</u>	<u>Actual</u>	<u>Variance</u>
Total Revenue	\$1,009.8	\$1,075.2	\$65.4
Total Expenses Before Non-Cash Liabilities	1,654.5	1,645.3	9.3
Net Surplus/(Deficit) Before Non-Cash Liabilities	(\$644.8)	(\$570.1)	\$74.7
Other Non-Cash Liabilities	333.6	335.0	(1.4)
Net Surplus/(Deficit) After Non-Cash Liabilities	(\$978.3)	(\$905.1)	\$73.3
Cash Adjustments	294.1	231.7	(62.3)
Net Cash Surplus/(Deficit)	(\$684.3)	(\$673.3)	\$10.9

Mark Young

Vice President, Management and Finance



Long Island Rail Road

Financial Report Highlights

NON-REIMBURSABLE SUMMARY

October YTD operating results were favorable by \$73.3 or 7.5% lower than the forecast.

Non-Reimbursable revenues through October were \$(1.6) unfavorable to the Forecast. Farebox Revenue was unfavorable as a result of lower yields which were partially offset by higher ridership. Other Operating Revenues were unfavorable to Forecast primarily due to timing. Total Non-Reimbursable expenses were \$74.8 favorable due to lower labor expenses as a result of vacant positions and associated fringe costs, timing of maintenance services, material & supplies, claims and professional services, lower overtime, OPEB current expenses, bad debt and electric expense, partially offset by higher FELA indemnity reserves.

YTD capital and other reimbursable expenditures (and reimbursements) were \$67.0 higher than the Forecast due to timing of capital and other reimbursements.

REVENUE/RIDERSHIP

Year-to-date October **Total Revenues** (including Capital and Other Reimbursements) of \$1,075.2 were \$65.4 or 6.5% favorable to the Mid-Year Forecast.

- **Y-T-D Farebox Revenues** were \$(0.1) unfavorable to Forecast due to lower yields, partially offset by higher ridership. Ridership through October was 76.2 million. This was 2.0% higher than 2018 (adjusted for same number of calendar work days) and 0.4% higher than the Forecast.
- **Y-T-D Other Operating Revenues** were \$(1.4) unfavorable to Forecast primarily due to timing.
- **Y-T-D Capital and Other Reimbursements** were \$67.0 favorable due to the timing of capital activity and interagency reimbursements.

EXPENSES

Year-to-date October **Total Expenses** (including depreciation and other) of \$1,980.2 were favorable to the Forecast by \$7.9.

Labor Expenses, \$17.8 favorable Y-T-D.

- **Payroll**, \$18.1 favorable Y-T-D (primarily vacant positions).
- **Overtime**, \$(9.2) unfavorable Y-T-D (primarily higher capital project activity and vacancy/absentee coverage, partially offset by lower maintenance, scheduled/unscheduled service and weather-related overtime).
- **Health & Welfare**, \$2.5 favorable Y-T-D (vacant positions).
- **OPEB Current Payment**, \$4.7 favorable Y-T-D (fewer retirees/beneficiaries than projected).
- **Other Fringe**, \$1.7 favorable Y-T-D (primarily lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves).



Long Island Rail Road

Financial Report Highlights

Non-Labor Expenses, \$(8.5) unfavorable Y-T-D.

- **Electric Power**, \$2.0 favorable Y-T-D (lower consumption and a meter settlement, partially offset by higher rates).
- **Fuel**, \$1.1 favorable Y-T-D (lower consumption and rates).
- **Insurance**, \$1.4 favorable Y-T-D (primarily lower force account insurance).
- **Claims**, \$5.4 favorable Y-T-D (timing of claim settlements).
- **Maintenance and Other Operating Contracts**, \$7.1 favorable Y-T-D (timing of leases, biometric expenses, security system, elevator/escalator, joint facility, TVM door installation and other maintenance services, partially offset by higher bussing and vegetation management services).
- **Professional Services**, \$1.0 favorable Y-T-D (primarily timing of EAM and MTA chargeback payments, GCT/ESA signage installation and technical scope of work for future ESA maintenance contracts, rolling stock decommissioning and other professional services, partially offset by increased rail testing and higher outside counsel legal services).
- **Materials and Supplies**, \$(29.8) unfavorable Y-T-D (primarily timing of capital project material and higher right of way material, partially offset by timing of modifications and Reliability Centered Maintenance activity for revenue fleet).
- **Other Business Expenses**, \$3.5 favorable Y-T-D (lower bad debt and other business expenses).

Depreciation and Other, \$(1.4) unfavorable Y-T-D.

CASH DEFICIT SUMMARY

The Cash Deficit through October of \$673.3 was \$10.9 favorable to the Forecast due to lower labor expenses and higher capital & other reimbursements, partially offset by higher material expenditures and the timing of professional services and insurance payments.

FINANCIAL PERFORMANCE MEASURES

- The year-to-date Farebox Operating Ratio was 50.9%, 3.0 percentage points above the Forecast resulting from lower expenses.
- Through October Adjusted Farebox Operating Ratio was 57.4%, 3.3 percentage points above the Forecast due to lower expenses.
- Through October Adjusted Cost per Passenger was \$15.35, which is lower than the Forecast due to lower expenses.
- Through October Revenue per Passenger was \$8.39, which was \$0.03 below the Forecast.

TABLE 1

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
OCTOBER 2019
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Forecast	Actual	Favorable (Unfavorable)		Forecast	Actual	Favorable (Unfavorable)		Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
Revenue												
Farebox Revenue	\$65.793	\$65.684	(\$0.109)	(0.2)	\$0.000	\$0.000	\$0.000	-	\$65.793	\$65.684	(\$0.109)	(0.2)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	2.845	1.784	(1.061)	(37.3)	0.000	0.000	0.000	-	2.845	1.784	(1.061)	(37.3)
Capital & Other Reimbursements	0.000	0.000	0.000	-	37.734	55.327	17.593	46.6	37.734	55.327	17.593	46.6
Total Revenue	\$68.638	\$67.468	(\$1.169)	(1.7)	\$37.734	\$55.327	\$17.593	46.6	\$106.372	\$122.795	\$16.423	15.4
Expenses												
<i>Labor:</i>												
Payroll	\$47.113	\$45.921	\$1.192	2.5	\$12.984	\$12.904	\$0.080	0.6	\$60.097	\$58.825	\$1.272	2.1
Overtime	14.068	14.415	(0.347)	(2.5)	3.142	6.634	(3.492)	*	17.210	21.049	(3.838)	(22.3)
Health and Welfare	9.564	8.309	1.255	13.1	2.679	3.484	(0.804)	(30.0)	12.244	11.793	0.451	3.7
OPEB Current Payment	5.710	5.217	0.493	8.6	0.000	0.000	0.000	-	5.710	5.217	0.493	8.6
Pensions	10.420	9.927	0.493	4.7	4.353	4.846	(0.493)	(11.3)	14.773	14.773	0.000	0.0
Other Fringe Benefits	10.436	9.232	1.204	11.5	2.740	3.567	(0.827)	(30.2)	13.176	12.799	0.377	2.9
Reimbursable Overhead	(2.502)	(4.664)	2.162	86.4	2.502	4.664	(2.162)	(86.4)	0.000	0.000	0.000	-
Total Labor Expenses	\$94.810	\$88.358	\$6.452	6.8	\$28.401	\$36.098	(\$7.698)	(27.1)	\$123.210	\$124.456	(\$1.246)	(1.0)
<i>Non-Labor:</i>												
Electric Power	\$5.234	\$5.728	(\$0.494)	(9.4)	\$0.021	\$0.072	(\$0.050)	*	\$5.255	\$5.800	(\$0.544)	(10.4)
Fuel	1.790	1.662	0.129	7.2	0.000	0.000	0.000	-	1.790	1.662	0.129	7.2
Insurance	1.717	1.682	0.034	2.0	0.861	0.751	0.109	12.7	2.577	2.434	0.144	5.6
Claims	0.412	0.214	0.198	48.0	0.000	0.000	0.000	-	0.412	0.214	0.198	48.0
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	9.087	5.294	3.793	41.7	2.222	3.684	(1.462)	(65.8)	11.309	8.979	2.331	20.6
Professional Service Contracts	3.456	1.253	2.203	63.7	0.058	0.641	(0.582)	*	3.515	1.894	1.621	46.1
Materials & Supplies	15.939	14.590	1.350	8.5	6.134	13.964	(7.830)	*	22.074	28.554	(6.480)	(29.4)
Other Business Expenses	1.667	1.536	0.131	7.9	0.037	0.117	(0.080)	*	1.704	1.653	0.051	3.0
Total Non-Labor Expenses	\$39.303	\$31.959	\$7.344	18.7	\$9.334	\$19.229	(\$9.895)	*	\$48.637	\$51.188	(\$2.551)	(5.2)
<i>Other Expense Adjustments:</i>												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$134.113	\$120.317	\$13.796	10.3	\$37.734	\$55.327	(\$17.593)	(46.6)	\$171.847	\$175.644	(\$3.797)	(2.2)
Depreciation	\$32.539	\$32.604	(\$0.065)	(0.2)	\$0.000	\$0.000	\$0.000	-	\$32.539	\$32.604	(\$0.065)	(0.2)
GASB 75 OPEB Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB 68 Pension Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.145	0.167	(0.022)	(15.0)	0.000	0.000	0.000	-	0.145	0.167	(0.022)	(15.0)
Total Expenses	\$166.796	\$153.088	\$13.709	8.2	\$37.734	\$55.327	(\$17.593)	(46.6)	\$204.531	\$208.415	(\$3.884)	(1.9)
Net Surplus/(Deficit)	(\$98.159)	(\$85.619)	\$12.539	12.8	\$0.000	\$0.000	\$0.000	-	(\$98.159)	(\$85.619)	\$12.539	12.8
<i>Cash Conversion Adjustments</i>												
Depreciation	\$32.539	\$32.604	\$0.065	0.2	\$0.000	\$0.000	\$0.000	-	32.539	\$32.604	\$0.065	0.2
Operating/Capital	(3.639)	(0.328)	3.312	91.0	0.000	0.000	0.000	-	(3.639)	(0.328)	3.312	91.0
Other Cash Adjustments	8.547	(3.065)	(11.612)	*	0.000	0.000	0.000	-	8.547	(3.065)	(11.612)	*
Total Cash Conversion Adjustments	\$37.447	\$29.212	(\$8.235)	(22.0)	0.000	\$0.000	\$0.000	-	\$37.447	\$29.212	(\$8.235)	(22.0)
Net Cash Surplus/(Deficit)	(\$60.712)	(\$56.408)	\$4.304	7.1	\$0.000	\$0.000	\$0.000	-	(\$60.712)	(\$56.408)	\$4.304	7.1

Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

TABLE 2

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
OCTOBER Year-To-Date
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Forecast	Actual	Favorable (Unfavorable)		Forecast	Actual	Favorable (Unfavorable)		Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
Revenue												
Farebox Revenue	\$639.577	\$639.439	(\$0.138)	(0.0)	\$0.000	\$0.000	\$0.000	-	\$639.577	\$639.439	(\$0.138)	(0.0)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	33.859	32.436	(1.423)	(4.2)	0.000	0.000	0.000	-	33.859	32.436	(1.423)	(4.2)
Capital & Other Reimbursements	0.000	0.000	0.000	-	336.333	403.289	66.955	19.9	336.333	403.289	66.955	19.9
Total Revenue	\$673.436	\$671.875	(\$1.561)	(0.2)	\$336.333	\$403.289	\$66.955	19.9	\$1,009.769	\$1,075.164	\$65.394	6.5
Expenses												
<i>Labor:</i>												
Payroll	\$476.875	\$466.543	\$10.332	2.2	\$115.532	\$107.747	\$7.785	6.7	\$592.407	\$574.290	\$18.117	3.1
Overtime	122.815	118.738	4.077	3.3	34.146	47.395	(13.249)	(38.8)	156.961	166.133	(9.172)	(5.8)
Health and Welfare	96.994	91.788	5.206	5.4	25.747	28.497	(2.750)	(10.7)	122.741	120.285	2.456	2.0
OPEB Current Payment	54.948	50.265	4.684	8.5	0.000	0.000	0.000	-	54.948	50.265	4.684	8.5
Pensions	107.709	107.788	(0.079)	(0.1)	40.023	39.944	0.079	0.2	147.732	147.732	0.000	0.0
Other Fringe Benefits	133.425	128.760	4.664	3.5	26.350	29.300	(2.950)	(11.2)	159.775	158.060	1.715	1.1
Reimbursable Overhead	(28.181)	(39.487)	11.307	40.1	28.181	39.487	(11.307)	(40.1)	0.000	0.000	0.000	-
Total Labor Expenses	\$964.587	\$924.395	\$40.191	4.2	\$269.978	\$292.369	(\$22.391)	(8.3)	\$1,234.565	\$1,216.765	\$17.800	1.4
<i>Non-Labor:</i>												
Electric Power	\$69.433	\$67.156	\$2.277	3.3	\$0.394	\$0.699	(\$0.305)	(77.5)	\$69.827	\$67.855	\$1.972	2.8
Fuel	18.034	16.983	1.051	5.8	0.000	0.000	0.000	-	18.034	16.983	1.051	5.8
Insurance	16.836	16.706	0.130	0.8	7.629	6.404	1.225	16.1	24.465	23.110	1.355	5.5
Claims	5.516	0.147	5.370	97.3	0.000	0.000	0.000	-	5.516	0.147	5.370	97.3
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	62.370	49.611	12.759	20.5	17.584	23.279	(5.696)	(32.4)	79.954	72.890	7.063	8.8
Professional Service Contracts	31.441	28.544	2.898	9.2	1.017	2.905	(1.888)	*	32.458	31.448	1.010	3.1
Materials & Supplies	134.143	126.597	7.547	5.6	39.332	76.697	(37.365)	(95.0)	173.475	203.293	(29.818)	(17.2)
Other Business Expenses	15.839	11.834	4.005	25.3	0.400	0.935	(0.535)	*	16.239	12.769	3.470	21.4
Total Non-Labor Expenses	\$353.613	\$317.577	\$36.037	10.2	\$66.355	\$110.919	(\$44.564)	(67.2)	\$419.968	\$428.496	(\$8.527)	(2.0)
Other Expense Adjustments												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$1,318.200	\$1,241.972	\$76.228	5.8	\$336.333	\$403.289	(\$66.955)	(19.9)	\$1,654.533	\$1,645.260	\$9.273	0.6
Depreciation	\$331.872	\$332.661	(0.788)	(0.2)	\$0.000	\$0.000	\$0.000	-	\$331.872	\$332.661	(\$0.788)	(0.2)
GASB 75 OPEB Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB 68 Pension Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	1.710	2.302	(0.592)	(34.6)	0.000	0.000	0.000	-	1.710	2.302	(0.592)	(34.6)
Total Expenses	\$1,651.782	\$1,576.934	\$74.848	4.5	\$336.333	\$403.289	(\$66.955)	(19.9)	\$1,988.116	\$1,980.223	\$7.893	0.4
Net Surplus/(Deficit)	(\$978.346)	(\$905.059)	\$73.287	7.5	\$0.000	\$0.000	(\$0.000)	-	(\$978.346)	(\$905.059)	\$73.287	7.5
<i>Cash Conversion Adjustments</i>												
Depreciation	\$331.872	\$332.661	\$0.788	0.2	\$0.000	\$0.000	\$0.000	-	331.872	\$332.661	\$0.788	0.2
Operating/Capital	(17.070)	(14.382)	2.688	15.7	0.000	0.000	0.000	-	(17.070)	(14.382)	2.688	15.7
Other Cash Adjustments	(20.741)	(86.563)	(65.821)	*	0.000	0.000	0.000	-	(20.741)	(86.563)	(65.821)	*
Total Cash Conversion Adjustments	\$294.060	\$231.716	(\$62.345)	(21.2)	\$0.000	\$0.000	\$0.000	-	\$294.060	\$231.716	(\$62.345)	(21.2)
Net Cash Surplus/(Deficit)	(\$684.286)	(\$673.344)	\$10.942	1.6	\$0.000	\$0.000	\$0.000	0.0	(\$684.286)	(\$673.344)	\$10.942	1.6

Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
(\$ in millions)**

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	October 2019		Reason for Variance	Year-to-Date October 2019		Reason for Variance
		Favorable/ (Unfavorable) Variance			Favorable/ (Unfavorable) Variance		
		\$	%		\$	%	
Revenue							
Farebox Revenue	Non Reimb.	(0.109)	(0.2)	Lower yield per passenger \$(0.027) and ridership \$(0.082).	(0.138)	(0.0)	Lower yield per passenger \$(2.387), partially offset by higher ridership of \$2.249.
Other Operating Revenue	Non Reimb.	(1.061)	(37.3)	Primarily due to timing of advertising revenue.	(1.423)	(4.2)	Primarily due to timing of advertising revenue, partially offset by the timing of miscellaneous and rental revenue.
Capital & Other Reimbursements	Reimb.	17.593	46.6	Timing of capital project activity and interagency reimbursements.	66.955	19.9	Timing of capital project activity and interagency reimbursements.
Expenses							
Payroll	Non Reimb.	1.192	2.5	Primarily due to vacant positions and higher sick pay law claim credits, partially offset by the reclassification of Atlantic-Terminal, Atlantic-Tunnel and Jamaica (AAJ) wireless project reimbursements and the timing of retiree sick/vacation buyouts.	10.332	2.2	Primarily vacant positions, higher sick pay law claim credits and the timing of AAJ wireless project reimbursements, partially offset by the timing of retiree sick/vacation buyouts and wage claim accruals.
	Reimb.	0.080	0.6	Primarily due to timing of project activity.	7.785	6.7	Primarily due to timing of project activity.
Overtime	Non Reimb.	(0.347)	(2.5)	Primarily due to higher vacancy/absentee coverage and scheduled/unscheduled service, partially offset by lower maintenance and weather related overtime.	4.077	3.3	Primarily due to lower maintenance, scheduled/unscheduled service and weather related overtime, partially offset by higher vacancy/absentee coverage.
	Reimb.	(3.492)	*	Over-run attributed to East Side Access, Main Line Third Track Expansion, Annual Track Program, PTC efforts, East Rail Yard, Long Beach Branch-System Restoration, Jamaica Capacity Improvement and Jamaica Capacity-Phase 2.	(13.249)	(38.8)	Over-run attributed to Annual Track Program, Main Line Third Track Expansion, East Side Access, East Rail Yard, Signal Replacement, PTC efforts, Jamaica Capacity Improvements, NYCDOT Atlantic Ave Drainage Improvements, Main Line Double Track, Station Enhancement Initiatives, Jamaica Capacity Improvements-Phase 2.
Health and Welfare	Non Reimb.	1.255	13.1	Vacant positions.	5.206	5.4	Vacant positions.
	Reimb.	(0.804)	(30.0)	Primarily due to timing of project activity.	(2.750)	(10.7)	Primarily due to timing of project activity.
OPEB Current Payment	Non Reimb.	0.493	8.6	Fewer retirees/beneficiaries.	4.684	8.5	Fewer retirees/beneficiaries.

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
(\$ in millions)**

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	October 2019		Reason for Variance	Year-to-Date October 2019		Reason for Variance
		Favorable/ (Unfavorable) Variance			Favorable/ (Unfavorable) Variance		
		\$	%		\$	%	
Pensions	Non Reimb.	0.493	4.7	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.	(0.079)	(0.1)	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was over-estimated.
	Reimb.	(0.493)	(11.3)	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was under-estimated.	0.079	0.2	Total pension is on plan. However the estimated percentage of pension allocated to reimbursable was over-estimated.
Other Fringe Benefits	Non Reimb.	1.204	11.5	Lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves.	4.664	3.5	Lower Railroad Retirement Taxes, partially offset by higher FELA indemnity reserves.
	Reimb.	(0.827)	(30.2)	Primarily due to timing of project activity.	(2.950)	(11.2)	Primarily due to timing of project activity.
Reimbursable Overhead	Non Reimb.	2.162	86.4	Primarily due to timing of project activity.	11.307	40.1	Primarily due to timing of project activity.
	Reimb.	(2.162)	(86.4)	Primarily due to timing of project activity.	(11.307)	(40.1)	Primarily due to timing of project activity.
Electric Power	Non Reimb.	(0.494)	(9.4)	Primarily due to higher rates and consumption.	2.277	3.3	Lower consumption and a NYPA meter settlement, partially offset by higher rates.
	Reimb.	(0.050)	*	VD Yard	(0.305)	(77.5)	YD Yard
Fuel	Non Reimb.	0.129	7.2	Lower consumption, lower rates and the timing of accruals.	1.051	5.8	Lower consumption and rates, partially offset by the timing of accruals.
	Reimb.	0.000	-		0.000	-	
Insurance	Non Reimb.	0.034	2.0		0.130	0.8	Lower liability insurance.
	Reimb.	0.109	12.7	Force Account Insurance associated with project activity.	1.225	16.1	Force Account Insurance associated with project activity.
Claims	Non Reimb.	0.198	48.0	Timing of claim payments.	5.370	97.3	Timing of claim payments.

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL: ACCRUAL BASIS
(\$ in millions)**

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	October 2019		Reason for Variance	Year-to-Date October 2019		Reason for Variance
		Favorable/ (Unfavorable) Variance			Favorable/ (Unfavorable) Variance		
		\$	%		\$	%	
Maintenance & Other Operating Contracts	Non Reimb.	3.793	41.7	Primarily timing of platform investments, leases, security system maintenance, biometrics, HVAC maintenance and other maintenance expenses, partially offset by higher bussing services and joint facility expenses.	12.759	20.5	Primarily timing of leases, biometric expenses, security systems maintenance, elevator/escalator, joint facility, TVM door installations, non-revenue vehicle repairs and other maintenance services, partially offset by higher bussing services and vegetation management expenses.
	Reimb.	(1.462)	(65.8)	Primarily due to timing of project activity.	(5.696)	(32.4)	Primarily due to timing of project activity.
Professional Service Contracts	Non Reimb.	2.203	63.7	Primarily timing of Atlantic-Tunnel and Jamaica (AAJ) wireless project installation expense reimbursements, EAM, rolling stock decommissioning and other outside services, partially offset by the timing of MTA Chargeback payments.	2.898	9.2	Primarily due to the timing of EAM, GCT/ESA signage installations and technical scope of work for future ESA maintenance contracts, rolling stock decommissioning, consultant contracts, MTA Chargeback payments, DE/DM locomotive enhancements and equipment testing and other outside services, partially offset by increased rail testing and higher outside Counsel consultant fees.
	Reimb.	(0.582)	*	Primarily due to timing of project activity.	(1.888)	*	Primarily due to timing of project activity.
Materials & Supplies	Non Reimb.	1.350	8.5	Timing of modifications and Reliability Centered Maintenance (RCM) activity for revenue fleet, partially offset by higher right of way material.	7.547	5.6	Primarily timing of modifications and RCM activity for revenue fleet, partially offset by higher right of way material.
	Reimb.	(7.830)	*	Primarily due to timing of project activity.	(37.365)	(95.0)	Primarily due to timing of project activity.
Other Business Expenses	Non Reimb.	0.131	7.9	Lower print and stationary supplies, travel meetings and convention expenses, office supplies and other miscellaneous expenses, partially offset by higher credit/debit card fees.	4.005	25.3	Primarily lower bad debt, office supplies, print and stationary supplies and other miscellaneous expenses, partially offset by higher credit/debit card fees.
	Reimb.	(0.080)	*	Primarily due to timing of project activity.	(0.535)	*	Primarily due to timing of project activity.
Depreciation	Non Reimb.	(0.065)	(0.2)	Based on certain capital assets being fully depreciated.	(0.788)	(0.2)	Based on certain capital assets being fully depreciated.
Environmental Remediation	Non Reimb.	(0.022)	(15.0)	Reserve adjustments	(0.592)	(34.6)	Reserve adjustments

Table 4

MTA LONG ISLAND RAIL ROAD								
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST								
CASH RECEIPTS and EXPENDITURES								
October 2019								
	Month				Year-to-Date			
	Forecast	Actual	Favorable (Unfavorable)		Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Revenue	\$66.827	\$65.250	(\$1.577)	(2.4)	\$654.352	\$658.681	\$4.329	0.7
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	1.253	0.501	(0.752)	(60.0)	28.889	26.702	(2.187)	(7.6)
Capital & Other Reimbursements	37.136	51.174	14.038	37.8	318.534	332.672	14.138	4.4
Total Receipts	\$105.216	\$116.925	\$11.709	11.1	\$1,001.775	\$1,018.055	\$16.280	1.6
Expenditures								
<i>Labor:</i>								
Payroll	\$65.140	\$60.641	\$4.499	6.9	\$586.565	\$563.867	\$22.698	3.9
Overtime	16.381	20.292	(3.911)	(23.9)	159.055	162.639	(3.584)	(2.3)
Health and Welfare	12.244	11.074	1.170	9.6	122.065	116.392	5.673	4.6
OPEB Current Payment	5.710	4.924	0.786	13.8	55.677	50.332	5.345	9.6
Pensions	14.773	14.070	0.703	4.8	146.705	144.135	2.570	1.8
Other Fringe Benefits	12.073	11.469	0.604	5.0	160.802	152.022	8.780	5.5
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor Expenditures	\$126.321	\$122.469	\$3.852	3.0	\$1,230.869	\$1,189.387	\$41.482	3.4
<i>Non-Labor:</i>								
Electric Power	\$5.255	\$7.631	(\$2.376)	(45.2)	\$69.827	\$67.884	\$1.943	2.8
Fuel	1.790	1.534	0.256	14.3	18.308	17.104	1.204	6.6
Insurance	0.439	0.000	0.439	100.0	21.973	25.841	(3.868)	(17.6)
Claims	0.129	0.178	(0.049)	(37.8)	6.421	4.829	1.592	24.8
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	9.113	11.199	(2.086)	(22.9)	100.782	101.690	(0.908)	(0.9)
Professional Service Contracts	1.855	3.076	(1.221)	(65.8)	31.339	36.388	(5.049)	(16.1)
Materials & Supplies	17.710	21.737	(4.027)	(22.7)	176.480	209.785	(33.305)	(18.9)
Other Business Expenses	1.987	(1.031)	3.018	*	19.859	17.207	2.652	13.4
Total Non-Labor Expenditures	\$38.278	\$44.323	(\$6.045)	(15.8)	\$444.989	\$480.727	(\$35.738)	(8.0)
<i>Other Expenditure Adjustments:</i>								
Other	\$1.329	\$1.336	(\$0.007)	(0.5)	\$13.342	\$13.259	\$0.083	0.6
Total Other Expenditure Adjustments	\$1.329	\$1.336	(\$0.007)	(0.5)	\$13.342	\$13.259	\$0.083	0.6
Total Expenditures	\$165.928	\$168.128	(\$2.200)	(1.3)	\$1,689.200	\$1,683.374	\$5.826	0.3
Cash Timing and Availability Adjustment	0.000	(5.204)	(5.204)	-	3.139	(8.024)	(11.163)	*
Net Cash Deficit (excludes opening balance)	(\$60.712)	(\$56.408)	\$4.304	7.1	(\$684.286)	(\$673.344)	\$10.942	1.6
Subsidies								
MTA	60.712	55.145	(5.567)	(9.2)	684.286	673.344	(10.942)	(1.6)

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS

Table 5

Generic Revenue or Expense Category	October 2019			Year-to-Date as of October 31, 2019		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Receipts						
Farebox Revenue	(1.577)	(2.4)	Lower advance sales impact \$(1.440), lower ridership \$(0.082), lower MetroCard/AirTrain sales \$(0.028) and lower yields \$(0.027).	4.329	0.7	Higher advance sales impact \$4.650 and higher ridership \$2.249, partially offset by lower yields \$(2.387) and lower MetroCard/AirTrain sales \$(0.183).
Other Operating Revenue	(0.752)	(60.0)	Primarily due to the timing of rental and miscellaneous revenue.	(2.187)	(7.6)	Primarily due to the timing of rental revenue, partially offset by the timing of miscellaneous revenue.
Capital and Other Reimbursements	14.038	37.8	Timing of activity and reimbursement for capital and other reimbursements.	14.138	4.4	Timing of activity and reimbursement for capital and other reimbursements.
Expenditures						
Labor:						
Payroll	4.499	6.9	Primarily due to vacant positions, rates, the timing of intercompany reimbursements and higher sick pay law claim credits, partially offset by the timing of retiree sick/vacation buyout payments.	22.698	3.9	Primarily due to vacant positions, rates and higher sick pay law claim credits, partially offset by the timing of intercompany reimbursements and retiree sick/vacation buyout payments.
Overtime	(3.911)	(23.9)	Primarily due to higher project overtime, vacancy/absentee coverage and scheduled/unscheduled overtime, partially offset by lower maintenance and weather-related overtime.	(3.584)	(2.3)	Primarily due to higher project overtime and vacancy/absentee coverage, partially offset by lower maintenance, scheduled/unscheduled service and weather-related overtime.
Health and Welfare	1.170	9.6	Primarily due to vacant positions and intercompany reimbursements.	5.673	4.6	Primarily due to vacant positions and intercompany reimbursements.
OPEB Current Payment	0.786	13.8	Primarily due to fewer retirees/beneficiaries.	5.345	9.6	Primarily due to fewer retirees/beneficiaries.
Pensions	0.703	4.8	Due to intercompany reimbursements.	2.570	1.8	Due to intercompany reimbursements.

**MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Table 5

Generic Revenue or Expense Category	October 2019			Year-to-Date as of October 31, 2019		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Fringe Benefits	0.604	5.0	Primarily due to lower Railroad Retirement Tax payments and the timing of FELA payments.	8.780	5.5	Primarily due to lower Railroad Retirement Tax payments which include intercompany reimbursements and the timing of FELA payments, partially offset by higher meal payments.
Non-Labor:						
Electric Power	(2.376)	(45.2)	Primarily due to the timing of payments and higher rates, partially offset by lower consumption.	1.943	2.8	Primarily due to lower consumption, a meter settlement and the timing of payments, partially offset by higher rates.
Fuel	0.256	14.3	Primarily due to lower consumption and rates.	1.204	6.6	Primarily due to lower consumption and rates.
Insurance	0.439	100.0	Primarily due to timing of insurance premium payments.	(3.868)	(17.6)	Primarily due to timing of insurance premium payments.
Claims	(0.049)	(37.8)	Timing of claim payments.	1.592	24.8	Timing of and lower claim payments.
Maintenance and Other Operating Contracts	(2.086)	(22.9)	Primarily timing of payments for joint facilities services.	(0.908)	(0.9)	Primarily timing of payments for operating services, joint facilities services and leases & rentals, partially offset by the timing of payments for construction and maintenance services.
Professional Service Contracts	(1.221)	(65.8)	Primarily the timing of an MTA Chargeback service payment.	(5.049)	(16.1)	Primarily timing of consulting service payments, partially offset by timing of MTA Chargeback service payments.
Materials and Supplies	(4.027)	(22.7)	Primarily the timing of program, production plan, and operating funded capital material and supplies.	(33.305)	(18.9)	Primarily the timing of program, production plan, and operating funded capital material and supplies.

**MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS**

Table 5

Generic Revenue or Expense Category	October 2019			Year-to-Date as of October 31, 2019		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Business Expenses	3.018	*	Primarily a year-to-date reclassification of credit card chargebacks from credit card fees to passenger revenue and lower payments for stationary, office supplies and miscellaneous expenses.	2.652	13.4	Primarily lower office, print and stationary supplies, and miscellaneous expenses, partially offset by higher credit/debit card fees.
Other Expenditure Adjustments	(0.007)	(0.5)	Higher MetroCard/AirTrain pass through payments.	0.083	0.6	Lower MetroCard/AirTrain pass through payments.

Table 6

MTA LONG ISLAND RAIL ROAD								
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST								
CASH CONVERSION (CASH FLOW ADJUSTMENTS)								
October 2019								
(\$ in millions)								
	Month				Year-to-Date			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
	Favorable (Unfavorable)				Favorable (Unfavorable)			
Receipts								
Farebox Revenue	\$1.034	(\$0.434)	(\$1.469)	*	\$14.775	\$19.242	\$4.467	30.2
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	(1.592)	(1.283)	0.309	19.4	(4.970)	(5.734)	(0.765)	(15.4)
Capital & Other Reimbursements	(0.598)	(4.153)	(3.554)	*	(17.799)	(70.617)	(52.818)	*
Total Receipts	(\$1.156)	(\$5.870)	(\$4.714)	*	(\$7.994)	(\$57.109)	(\$49.115)	*
Expenditures								
<i>Labor:</i>								
Payroll	(\$5.043)	(\$1.816)	\$3.227	64.0	\$5.842	\$10.423	\$4.581	78.4
Overtime	0.829	0.757	(0.072)	(8.7)	(2.094)	3.494	5.587	*
Health and Welfare	(0.000)	0.719	0.719	*	0.676	3.893	3.217	*
OPEB Current Payment	(0.000)	0.293	0.293	*	(0.729)	(0.067)	0.661	90.8
Pensions	0.000	0.703	0.703	*	1.027	3.597	2.570	*
Other Fringe Benefits	1.103	1.330	0.227	20.6	(1.027)	6.038	7.065	*
GASB	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor Expenditures	(\$3.111)	\$1.987	\$5.097	*	\$3.696	\$27.377	\$23.682	*
<i>Non-Labor:</i>								
Electric Power	\$0.000	(\$1.832)	(\$1.832)	*	\$0.000	(\$0.028)	(\$0.029)	*
<i>Traction Power</i>	0.000	(1.818)	(1.818)	*	0.001	(0.293)	(0.294)	*
<i>Non-Traction Power</i>	(0.000)	(0.014)	(0.014)	*	(0.000)	0.265	0.265	*
Fuel	0.000	0.128	0.127	*	(0.274)	(0.120)	0.153	56.0
<i>Revenue Vehicle Fuel</i>	0.000	0.053	0.053	*	(0.000)	0.303	0.303	*
<i>Non-Revenue Fuel</i>	0.000	0.075	0.074	*	(0.273)	(0.423)	(0.150)	(54.7)
Insurance	2.138	2.434	0.295	13.8	2.492	(2.731)	(5.223)	*
Claims	0.283	0.036	(0.247)	(87.1)	(0.905)	(4.682)	(3.777)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	2.196	(2.220)	(4.416)	*	(20.828)	(28.800)	(7.971)	(38.3)
Professional Service Contracts	1.660	(1.182)	(2.842)	*	1.119	(4.940)	(6.059)	*
Materials & Supplies	4.364	6.817	2.453	56.2	(3.005)	(6.492)	(3.487)	*
Other Business Expenses	(0.283)	2.684	2.967	*	(3.620)	(4.438)	(0.818)	(22.6)
Total Non-Labor Expenditures	\$10.359	\$6.865	(\$3.494)	(33.7)	(\$25.021)	(\$52.232)	(\$27.211)	*
<i>Other Expenditure Adjustments:</i>								
Other	(\$1.329)	(\$1.336)	(\$0.007)	(0.5)	(\$13.342)	(\$13.259)	\$0.083	0.6
Total Other Expenditure Adjustments	(\$1.329)	(\$1.336)	(\$0.007)	(0.5)	(\$13.342)	(\$13.259)	\$0.083	0.6
Total Expenditures before Depreciation	\$5.919	\$7.516	\$1.596	27.0	(\$34.667)	(\$38.113)	(\$3.447)	(9.9)
Depreciation Adjustment	\$32.539	\$32.604	\$0.065	0.2	\$331.872	\$332.661	\$0.788	0.2
Other Post Employment Benefits	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB 68 Pension Expense Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.145	0.167	0.022	15.0	1.710	2.302	0.592	34.6
Total Expenditures	\$38.603	\$40.286	\$1.684	4.4	\$298.916	\$296.849	(\$2.067)	(0.7)
Cash Timing and Availability Adjustment	0.000	(5.204)	(5.204)	-	3.139	(8.024)	(11.163)	*
Total Cash Conversion Adjustments	\$37.447	\$29.212	(\$8.235)	(22.0)	\$294.060	\$231.716	(\$62.345)	(21.2)

MTA LONG ISLAND RAIL ROAD
2019 JULY FINANCIAL PLAN - MID-YEAR FORECAST
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	October 2019						October Year-to-Date					
	Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)		Mid-Year Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u> ¹	40,792	\$2.610	43,254	\$2.781	(2,462)	(\$0.171)	335,386	\$21.578	339,470	\$21.873	(4,084)	(\$0.295)
					-6.0%	-6.5%					-1.2%	-1.4%
<u>Unscheduled Service</u>	5,514	\$0.382	5,122	\$0.342	392	\$0.040	68,965	\$4.651	49,905	\$3.312	19,060	\$1.340
					7.1%	10.5%					27.6%	28.8%
<u>Programmatic/Routine Maintenance</u>	106,302	\$6.324	95,669	\$5.649	10,633	\$0.674	797,017	\$47.962	712,264	\$42.872	84,753	\$5.090
					10.0%	10.7%					10.6%	10.6%
<u>Unscheduled Maintenance</u>	783	\$0.047	2,463	\$0.149	(1,680)	(\$0.102)	11,088	\$0.672	19,841	\$1.199	(8,753)	(\$0.527)
					*	*					-78.9%	-78.5%
<u>Vacancy/Absentee Coverage</u>	69,270	\$4.235	78,491	\$4.825	(9,221)	(\$0.590)	680,213	\$41.383	693,300	\$42.087	(13,087)	(\$0.704)
					-13.3%	-13.9%					-1.9%	-1.7%
<u>Weather Emergencies</u>	5,719	\$0.349	1,583	\$0.096	4,136	\$0.253	84,708	\$5.073	73,916	\$4.463	10,792	\$0.609
					72.3%	72.4%					12.7%	12.0%
<u>Safety/Security/Law Enforcement</u> ²	-	\$0.000	-	\$0.000	-	\$0.000	-	\$0.000	-	\$0.000	0	\$0.000
											0.0%	0.0%
<u>Other</u> ³	2,261	\$0.121	2,527	\$0.572	(266)	(\$0.451)	22,136	\$1.497	20,524	\$2.933	1,612	(\$1.436)
					-11.8%	*					7.3%	-96.0%
NON-REIMBURSABLE OVERTIME	230,641	\$14.068	229,108	\$14.415	1,533	(\$0.347)	1,999,513	\$122.815	1,909,221	\$118.738	90,292	\$4.077
					0.7%	-2.5%					4.5%	3.3%
REIMBURSABLE OVERTIME	54,603	\$3.142	100,667	\$6.634	(46,064)	(\$3.492)	567,995	\$34.146	726,740	\$47.395	(158,745)	(\$13.249)
					-84.4%	*					-27.9%	-38.8%
TOTAL OVERTIME	285,244	\$17.210	329,775	\$21.049	(44,531)	(\$3.838)	2,567,508	\$156.961	2,635,961	\$166.133	(68,453)	(\$9.172)
					-15.6%	-22.3%					-2.7%	-5.8%

¹ Includes Tour Length and Holiday overtime.

² Not Applicable

³ Reflects overtime for marketing, material management and other administrative functions.

Totals may not add due to rounding.

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

* Exceeds 100%

MTA LONG ISLAND RAIL ROAD
2019 JULY FINANCIAL PLAN - MID-YEAR FORECAST
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	October 2019			October Year-to-Date		
	Var. - Fav./(Unfav)			Var. - Fav./(Unfav)		
	Hours	\$	Explanations	Hours	\$	Explanations
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u>	(2,462)	(\$0.171)	Primarily driven by Crew Book within Transportation and higher Holiday overtime (Columbus Day) in Transportation and Engineering.	(4,084)	(\$0.295)	Primarily driven by Crew Book within Transportation and higher Holiday overtime (Columbus Day) in Transportation and Engineering.
	-6.0%	-6.5%		-1.2%	-1.4%	
<u>Unscheduled Service</u>	392	\$0.040		19,060	\$1.340	Less operational support required to achieve on time performance.
	7.1%	10.5%		27.6%	28.8%	
<u>Programmatic/Routine Maintenance</u>	10,633	\$0.674	Lower maintenance.	84,753	\$5.090	Lower rolling stock running repairs and M3 RCM within Equipment \$2.8 and lower maintenance \$2.3.
	10.0%	10.7%		10.6%	10.6%	
<u>Unscheduled Maintenance</u>	(1,680)	(\$0.102)	Due to system wide emergencies.	(8,753)	(\$0.527)	Due to system wide emergencies.
	*	*		-78.9%	-78.5%	
<u>Vacancy/Absentee Coverage</u>	(9,221)	(\$0.590)	Higher open jobs within Equipment and lower availability within the Stations, Equipment, Engineering and Transportation departments.	(13,087)	(\$0.704)	Higher open jobs within Equipment and lower availability within the Stations, Equipment, Engineering and Transportation departments.
	-13.3%	-13.9%		-1.9%	-1.7%	
<u>Weather Emergencies</u>	4,136	\$0.253	Favorable weather conditions.	10,792	\$0.609	Favorable weather conditions.
	72.3%	72.4%		12.7%	12.0%	
<u>Safety/Security/Law Enforcement</u>						
<u>Other</u>	(266)	(\$0.451)	Unfavorable due to variance between actual and forecasted rates.	1,612	(\$1.436)	Unfavorable due to variance between actual and forecasted rates.
	-11.8%	*		7.3%	-96.0%	
NON-REIMBURSABLE OVERTIME	1,533	(\$0.347)		90,292	\$4.077	
	0.7%	-2.5%		4.5%	3.3%	
REIMBURSABLE OVERTIME	(46,064)	(\$3.492)	Over-run attributed to East Side Access \$(1.0), Main Line Third Track Expansion \$(0.9), Annual Track Program \$(0.4), PTC efforts \$(0.2), East Rail Yard \$(0.2), Long Beach Branch-System (Sandy) Restoration \$(0.2), Jamaica Capacity Improvement \$(0.1) and Jamaica Capacity - Phase II \$(0.1).	(158,745)	(\$13.249)	Over-run attributed to Annual Track Program \$(2.9), Main Line Third Track Expansion \$(2.6), East Side Access \$(1.7), East Rail Yard \$(1.5), Signal Replacement \$(1.0), PTC efforts \$(0.9), Jamaica Capacity Improvements \$(0.7), NYCDOT Atlantic Ave Drainage Improvements \$(0.5), Main Line Double Track \$(0.4), Station Enhancement Initiatives \$(0.3), Jamaica Capacity Improvements Phase 2 \$(0.3), Hicksville North Siding \$(0.2) and Long Beach Branch-System (Sandy) Restoration \$(0.2).
	-84.4%	*		-27.9%	-38.8%	
TOTAL OVERTIME	(44,531)	(\$3.838)		(68,453)	(\$9.172)	
	-15.6%	-22.3%		-2.7%	-5.8%	

* Exceeds 100%
Totals may not add due to rounding.

METROPOLITAN TRANSPORTATION AUTHORITY - LONG ISLAND RAIL ROAD
2019 Overtime Reporting
Overtime Legend

OVERTIME DECOMPOSITION LEGEND DEFINITIONS

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not resulting from extraordinary events</u> , including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Includes overtime coverage for clerical, administrative positions that are eligible for overtime.
<i>Reimbursable Overtime</i>	Overtime incurred to support projects that are reimbursed from the MTA Capital Program and other funding sources.

MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 TOTAL POSITIONS BY FUNCTION AND DEPARTMENT
 NON-REIMBURSABLE/REIMBURSABLE AND FULL-TIME/FULL-TIME EQUIVALENTS
 END-of-MONTH OCTOBER 2019

	Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Executive VP	2	1	1
Enterprise Asset Management	7	6	1
Sr. Vice President - Engineering	2	2	0
Labor Relations	18	16	2
Procurement & Logistics (excl. Stores)	75	63	12
Human Resources	39	34	5
Sr VP Administration	2	2	0
Strategic Investments	15	14	1
President	10	7	3
VP & CFO	3	2	1
Information Technology	0	0	0
Controller	45	45	0
Management & Budget	18	14	4
BPM, Controls & Compliance	6	4	2
Market Dev. & Public Affairs	71	70	1
Gen. Counsel & Secretary	33	30	3
Diversity Management	3	3	0
Security	14	9	5
System Safety	42	35	7
Training	69	66	3
Service Planning	31	27	4
Rolling Stock Programs	17	9	8
Sr Vice President - Operations	2	2	0
Total Administration	524	461	63
Operations			
Transportation Services - Train Operations	2,346	2,341	5
Customer Services	306	302	4
Total Operations	2,652	2,643	9
Maintenance			
Engineering	2,022	2,012	10
Equipment	2,156	2,117	39
Procurement (Stores)	95	98	(3)
Total Maintenance	4,273	4,227	46
Engineering/Capital			
Department of Program Management	152	128	24
Special Projects/East Side Access	61	49	12
Positive Train Control	14	12	2
Total Engineering/Capital	227	189	38
Baseline Total Positions	7,676	7,520	156
<i>Non-Reimbursable</i>	6,405	6,352	53
<i>Reimbursable</i>	1,271	1,168	103
Total Full-Time	7,676	7,520	156
Total Full-Time-Equivalents			

Note: Totals may not add due to rounding

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS
NON-REIMBURSABLE and REIMBURSABLE
END-of-MONTH OCTOBER 2019**

Explanation of Variances
NON-REIMBURSABLE POSITIONS - Favorable 53 positions due to vacant positions in Train Operations, Maintenance of Equipment, Customer Service and Administrative departments, partially offset by Engineering workforce working on maintenance activity instead of capital project activity.
REIMBURSABLE POSITIONS - Favorable 103 positions primarily due to the timing of project activity in Engineering, and vacancies within Project Management, Special Projects, Procurement and Logistics and Administrative departments, partially offset by unfavorable positions in Train Operations.

**MTA LONG ISLAND RAIL ROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION
 END-of-MONTH OCTOBER 2019**

	Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Managers/Supervisors	277	241	36
Professional, Technical, Clerical	143	112	31
Operational Hourlies	104	108	(4)
Total Administration	524	461	63
Operations			
Managers/Supervisors	325	306	19
Professional, Technical, Clerical	105	96	9
Operational Hourlies	2,222	2,241	(19)
Total Operations	2,652	2,643	9
Maintenance			
Managers/Supervisors	876	775	101
Professional, Technical, Clerical	299	234	65
Operational Hourlies	3,098	3,218	(120)
Total Maintenance	4,273	4,227	46
Engineering/Capital			
Managers/Supervisors	153	137	16
Professional, Technical, Clerical	74	52	22
Operational Hourlies	0	0	0
Total Engineering/Capital	227	189	38
Total Positions			
Managers/Supervisors	1,631	1,459	172
Professional, Technical, Clerical	621	494	127
Operational Hourlies	5,424	5,567	(143)
Total Positions	7,676	7,520	156

Note: Totals may not add due to rounding

MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID YEAR
RIDERSHIP
(In Millions)

	OCTOBER 2019							OCTOBER YEAR TO DATE 2019						
	Month			Variance				YTD			Variance			
		Actual	Adjusted*			Adjusted*			Actual	Adjusted*			Adjusted*	
	Mid Year	2019	2018	Mid Year		2018		Mid Year	2019	2018	Mid Year		2018	
			#	%	#	%				#	%	#	%	
RIDERSHIP														
Monthly	4.579	4.509	4.609	(0.069)	-1.5%	(0.099)	-2.2%	40.986	40.528	40.996	(0.458)	-1.1%	(0.468)	-1.1%
Weekly	0.199	0.206	0.207	0.007	3.5%	(0.001)	-0.3%	1.972	2.095	1.739	0.123	6.2%	0.355	20.4%
Total Commutation	4.778	4.715	4.815	(0.062)	-1.3%	(0.100)	-2.1%	42.958	42.622	42.735	(0.336)	-0.8%	(0.113)	-0.3%
One-Way Full Fare	0.830	0.918	0.858	0.088	10.6%	0.060	7.0%	8.165	8.544	7.685	0.380	4.6%	0.859	11.2%
One-Way Off-Peak	1.543	1.521	1.533	(0.022)	-1.4%	(0.012)	-0.8%	15.498	15.623	15.200	0.125	0.8%	0.423	2.8%
All Other	0.968	0.954	0.967	(0.014)	-1.5%	(0.013)	-1.3%	9.335	9.433	9.084	0.098	1.1%	0.349	3.8%
Total Non-Commutation	3.341	3.393	3.357	0.052	1.6%	0.036	1.1%	32.997	33.600	31.969	0.603	1.8%	1.631	5.1%
Total	8.118	8.108	8.173	(0.010)	-0.1%	(0.064)	-0.8%	75.955	76.222	74.704	0.267	0.4%	1.518	2.0%

*Prior year adjusted to reflect current year calendar.

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS
OCTOBER 2019**

		<u>MONTH</u>			<u>VARIANCE</u>	
		<u>Actual 2019</u>	<u>Mid-Year Forecast</u>	<u>Actual 2018</u>	<u>vs. Forecast</u>	<u>vs. 2018</u>
Farebox Operating Ratio	Standard ⁽¹⁾	54.4%	47.8%	52.2%	6.6%	2.2%
	Adjusted ⁽²⁾	60.2%	53.4%	59.0%	6.8%	1.2%
Cost Per Passenger	Standard ⁽¹⁾	\$14.88	\$16.97	\$14.95	\$2.09	\$0.07
	Adjusted ⁽²⁾	\$13.83	\$15.84	\$13.94	\$2.01	\$0.11
Passenger Revenue/Passenger ⁽³⁾		\$8.10	\$8.10	\$7.81	\$0.00	\$0.29
		<u>YEAR-TO-DATE</u>			<u>VARIANCE</u>	
		<u>Actual 2019</u>	<u>Mid-Year Forecast</u>	<u>Actual 2018</u>	<u>vs. Forecast</u>	<u>vs. 2018</u>
Farebox Operating Ratio	Standard ⁽¹⁾	50.9%	47.9%	50.1%	3.0%	0.8%
	Adjusted ⁽²⁾	57.4%	54.1%	56.8%	3.3%	0.6%
Cost Per Passenger	Standard ⁽¹⁾	\$16.48	\$17.58	\$16.45	\$1.10	(\$0.03)
	Adjusted ⁽²⁾	\$15.35	\$16.38	\$15.30	\$1.03	(\$0.05)
Passenger Revenue/Passenger ⁽³⁾		\$8.39	\$8.42	\$8.23	(\$0.03)	\$0.16

(1) The Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, OPEB Expense (GASB 75), Pension Expense (GASB 68) and Environmental Remediation (GASB-49).

(2) Adjusted Fare Box Operating Ratio and Cost Per Passenger indicators have been adjusted for comparability between the Long Island Rail Road and Metro-North Railroad and are being presented only at the railroad operating committees. These adjustments are not being used MTA-wide. Adjustments have been made to reflect all operating revenue and significant financial impacts that are outside management's control. These adjustments include: Inclusion of Other Operating Revenue, Removal of OPEB Current Payment expenses for retirees, and Removal of the UAAL associated with the LIRR's closed pension plan.

(3) Passenger Revenue/Passenger includes Hampton Seat Reservations.

MTA LONG ISLAND RAIL ROAD
MID-YEAR FORECAST AND NOVEMBER FORECAST vs. ACTUAL RESULTS (NON-REIMBURSABLE)
OCTOBER 2019 YEAR-TO-DATE
(\$ in millions)

	October Year-to-Date			Favorable(Unfavorable) Variance			
	Mid-Year Forecast	November Forecast	Actual	Mid-Year Forecast		November Forecast	
	\$	\$	\$	\$	%	\$	%
Total Revenue	673.4	674.1	671.9	(1.6)	(0.2)	(2.2)	(0.3)
Total Expenses before Non-Cash Liability Adjs	1,318.2	1,262.1	1,242.0	76.2	5.8	20.2	1.6
Depreciation	331.9	332.0	332.7	(0.8)	(0.2)	(0.6)	(0.2)
OPEB Obligation	-	-	-	-	-	-	-
GASB 68 Pension Expense Adjustment	-	-	-	-	-	-	-
Environmental Remediation	1.7	1.8	2.3	(0.6)	(34.6)	(0.5)	(26.9)
Total Expenses	1,651.8	1,596.0	1,576.9	74.8	4.5	19.0	1.2
Net Surplus/(Deficit)	(978.3)	(921.9)	(905.1)	73.3	7.5	16.8	1.8

MTA LONG ISLAND RAIL ROAD
EXPLANATION OF VARIANCES BETWEEN NOVEMBER FORECAST AND ACTUAL RESULTS
NON-REIMBURSABLE
OCTOBER 2019 YEAR-TO-DATE
(\$ in millions)

	<u>Favorable/(Unfavorable)</u>		<u>Variance Explanation</u>
	<u>Variance</u>	<u>Percent</u>	
Total Revenue	(\$2.2)	(0.3)	Timing of advertising and rentals revenue, partially offset by timing of miscellaneous revenues.
Total Expenses	\$19.0	1.2	Favorable labor expenses due to vacant positions and associated fringe costs, lower non-employee claims, bad debt reserves, OPEB current, electric power and the timing of maintenance services, partially offset by higher DE/DM running repairs, right of way material costs and the timing of M7 RCM/RR thresholds.

NOTE: Mid-Year Forecast vs. Actual Variance explanations are provided in the monthly report to the Finance Committee



Long Island Rail Road

Ridership Report Highlights

November 2019 vs. 2018

- Total ridership decreased -1.3% compared to November 2018 (7,215,882 in November 2019 vs. 7,308,009 in November 2018)
- Commutation ridership decreased -1.8% compared to November 2018
- Non-Commutation ridership decreased -0.7% compared to November 2018
- Factors affecting the Non-Commutation ridership this November include:
 - The weather on Thanksgiving Day was unfavorable (very strong winds), while the prior Sunday (November 24) had the greatest amount of precipitation (0.90 inches of rainfall) in a 24-hour period for the month.

2019 vs. 2018 YTD

- Total YTD ridership is +1.7% above 2018 and +0.2% above Mid-Year Forecast
- YTD Commutation ridership is -0.4% below last year
- YTD Non-Commutation ridership is +4.6% above 2018

Mark Young
Vice President
Management & Finance and Chief Financial Officer

MTA LONG ISLAND RAIL ROAD

MONTHLY RIDERSHIP REPORT

November 2019

**November 2019 RIDERSHIP & REVENUE REPORT
MTA LONG ISLAND RAIL ROAD**

EXECUTIVE SUMMARY

November Ridership and Revenue (millions)

	November 2019	% Change vs. 2018
Total Rail Ridership	7.216	-1.3% ▼
Commutation Ridership	3.916	-1.8% ▼
Non-Commutation Ridership	3.299	-0.7% ▼
Rail Revenue	\$63.8	2.0% ▲

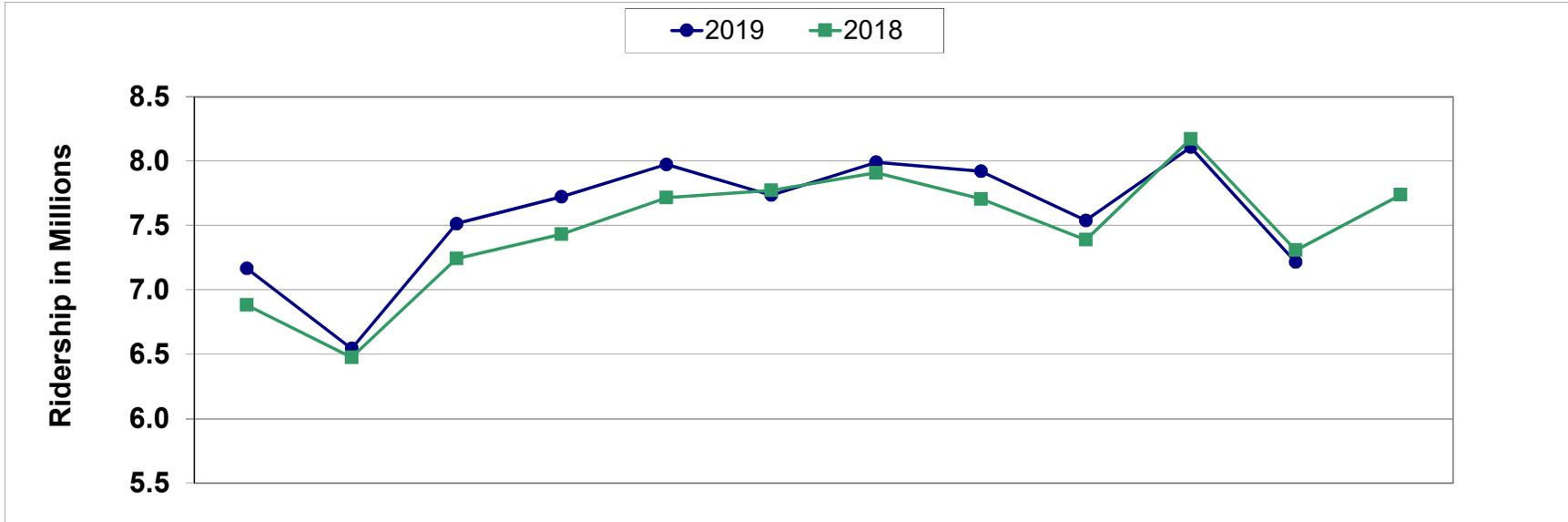
Year-to-Date through November Prelim. Ridership and Revenue (millions)

	November 2019	% Change vs. 2018	Comparison to Mid-Year Forecast
Total Rail Ridership	83.438	1.7% ▲	0.2% ▲
Commutation Ridership	46.539	-0.4% ▼	-0.9% ▼
Non-Commutation Ridership	36.899	4.6% ▲	1.6% ▲
Rail Revenue	\$703.2	3.9% ▲	-0.2% ▼

Please Note: Ridership is based on ticket sales data.

November Ridership

- November Total Ridership was -1.3% below '18 and -1.6% below 2019 Mid-Year Forecast.

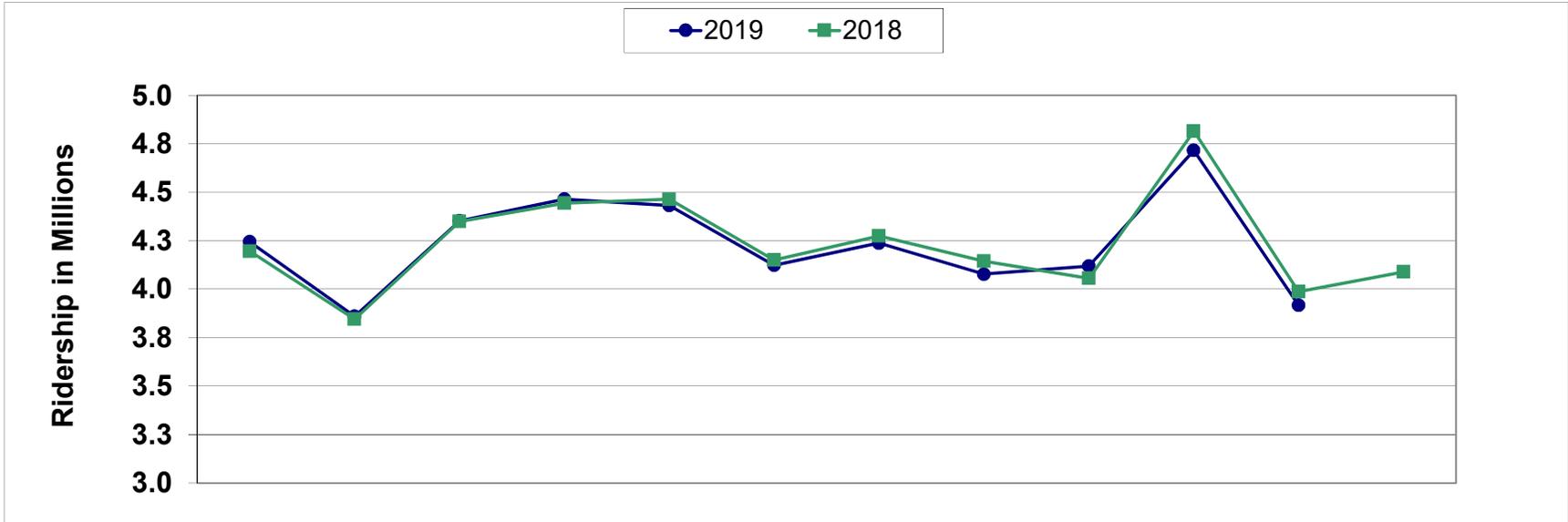


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	7.2	6.5	7.5	7.7	8.0	7.7	8.0	7.9	7.5	8.1	7.2		83.4
2018	6.9	6.5	7.2	7.4	7.7	7.8	7.9	7.7	7.4	8.2	7.3	7.7	82.0
PCT CHG.	4.1%	1.1%	3.8%	3.9%	3.4%	-0.5%	1.0%	2.8%	2.0%	-0.8%	-1.3%		1.7%

Please Note: Ridership is based on ticket sales data.

November Commutation Ridership

- November Commutation Ridership was -1.8% below '18 and -2.5% below 2019 Mid-Year Forecast.

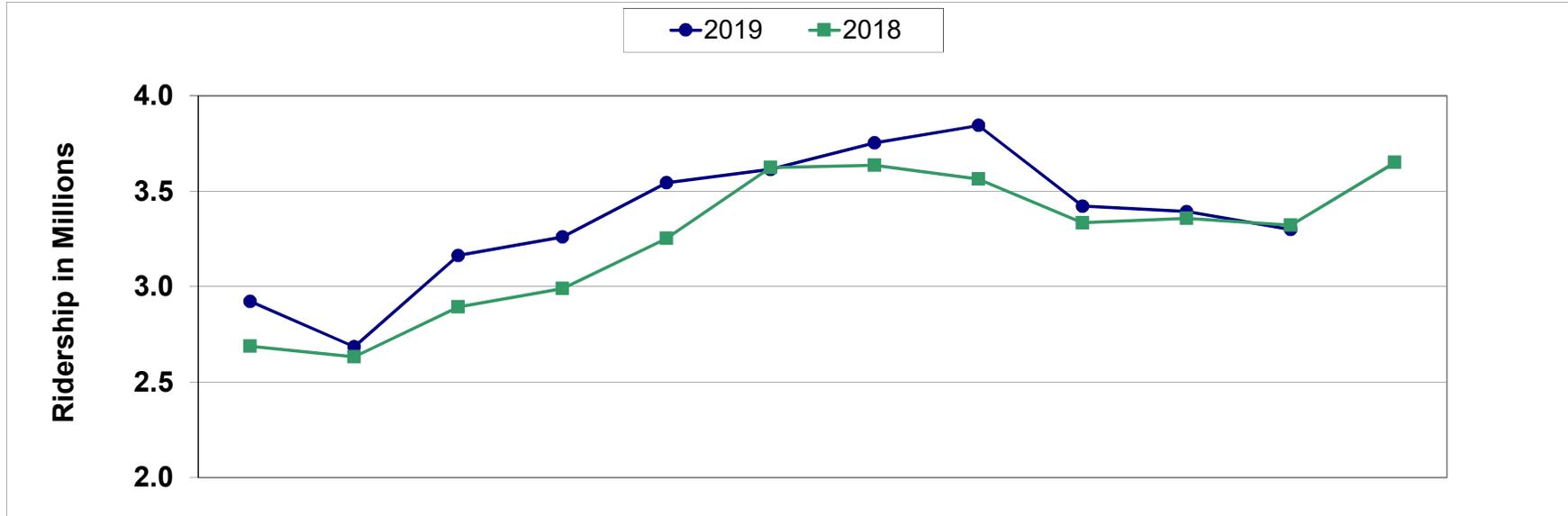


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	4.2	3.9	4.4	4.5	4.4	4.1	4.2	4.1	4.1	4.7	3.9		46.5
2018	4.2	3.8	4.3	4.4	4.5	4.2	4.3	4.1	4.1	4.8	4.0	4.1	46.7
PCT CHG.	1.2%	0.4%	0.1%	0.5%	-0.7%	-0.7%	-0.8%	-1.6%	1.5%	-2.1%	-1.8%		-0.4%

Please Note: Ridership is based on ticket sales data.

November Non-Commutation Ridership

- November Non-Commutation Ridership was -0.7% below '18 and -0.6% below 2019 Mid-Year Forecast.

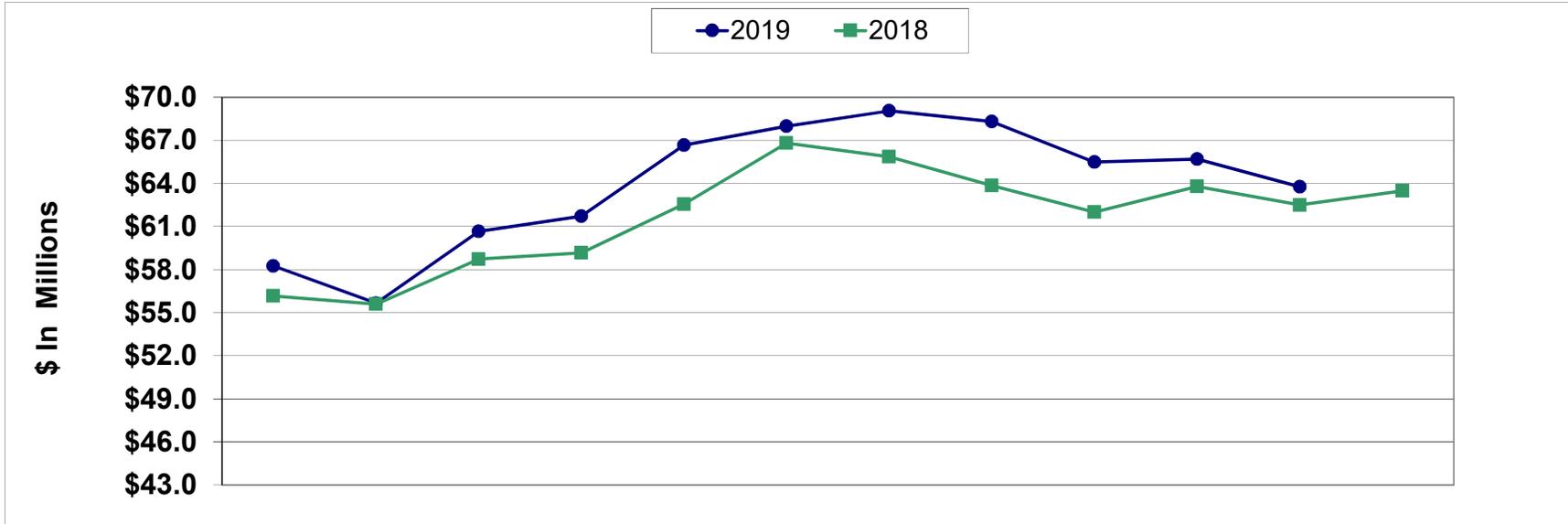


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	2.9	2.7	3.2	3.3	3.5	3.6	3.8	3.8	3.4	3.4	3.3		36.9
2018	2.7	2.6	2.9	3.0	3.3	3.6	3.6	3.6	3.3	3.4	3.3	3.7	35.3
PCT CHG.	8.8%	2.0%	9.3%	9.0%	9.0%	-0.3%	3.2%	7.9%	2.6%	1.1%	-0.7%		4.6%

Please Note: Ridership is based on ticket sales data.

November Revenue

- November Total Revenue was 2.0% above '18 and -2.2% below 2019 Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	\$58.3	\$55.7	\$60.7	\$61.7	\$66.7	\$68.0	\$69.1	\$68.3	\$65.5	\$65.7	\$63.8		\$703.2
2018	\$56.2	\$55.6	\$58.7	\$59.2	\$62.6	\$66.8	\$65.8	\$63.8	\$62.0	\$63.8	\$62.5	\$63.5	\$677.0
PCT CHG.	3.7%	0.1%	3.3%	4.3%	6.6%	1.8%	4.9%	7.0%	5.6%	3.0%	2.0%		3.9%

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
November 2019**

TICKET TYPE/SERVICE	November 2019	November 2018	CHANGE VS. 2018	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	3,916,436	3,986,511	(70,075)	-1.8%
NON-COMMUTATION RIDERSHIP	3,299,446	3,321,498	(22,052)	-0.7%
TOTAL RIDERSHIP	7,215,882	7,308,009	(92,127)	-1.3%

**MTA LONG ISLAND RAIL ROAD
RIDERSHIP SUMMARY
2019 YEAR-TO-DATE**

TICKET TYPE/SERVICE	November 2019	November 2018	CHANGE VS. 2018	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	46,538,660	46,721,656	(182,996)	-0.4%
NON-COMMUTATION RIDERSHIP	36,899,277	35,290,527	1,608,750	4.6%
TOTAL RIDERSHIP	83,437,937	82,012,183	1,425,754	1.7%

* 2018 ridership numbers were adjusted using 2019 factors.

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
November 2019**

REVENUE	November 2019	November 2018	CHANGE VS. 2018	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$32,314,210	\$31,814,258	\$499,953	1.6%
NON-COMMUTATION REVENUE	\$31,450,744	\$30,682,254	\$768,490	2.5%
TOTAL REVENUE	\$63,764,954	\$62,496,512	\$1,268,443	2.0%

**MTA LONG ISLAND RAIL ROAD
REVENUE SUMMARY
2019 YEAR-TO-DATE**

REVENUE	November 2019	November 2018	CHANGE VS. 2018	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$350,015,779	\$344,886,464	\$5,129,316	1.5%
NON-COMMUTATION REVENUE	\$353,188,424	\$332,065,740	\$21,122,684	6.4%
TOTAL REVENUE	\$703,204,203	\$676,952,204	\$26,252,000	3.9%



Long Island Rail Road

CAPITAL PROGRAM REPORT

**LONG ISLAND RAIL ROAD - CAPITAL PROGRAM HIGHLIGHTS & UPDATES
NOVEMBER 2019**

L70401BV: NORTH MAIN AND ACCABONAC BRIDGE REPLACEMENTS

Milestone: Beneficial Use

Project Budget: \$21.08M

Two Montauk Branch bridges over North Main Street and Accabonac Road in East Hampton were replaced. Each bridge carries one railroad track over two lanes of vehicular traffic. Work included new bridge structures, abutments, retaining walls, and site drainage. The two new bridges were installed at higher elevations to increase vertical roadway clearance and reduce bridge strikes. This project supports LIRR's bridge renewal and maintenance efforts to improve the railroad's infrastructure.

L70401BW: FLUSHING MAIN STREET BRIDGE RENEWAL

Milestone: Beneficial Use

Project Budget: \$3.50M

Rehabilitation of the two-track Flushing Main Street Bridge is complete. Bridge work included removal of deteriorated ornamental cladding, improvements to the drainage system, repairs to the concrete underdeck, steel girders, piers and abutments, and installation of a new security gate. The center median beneath the bridge on Main Street was reconstructed during this project. Flushing Main Street is part of the railroad's bridge renewal and maintenance program to improve the railroad's infrastructure.

SMALL BUSINESS DEVELOPMENT PROGRAM

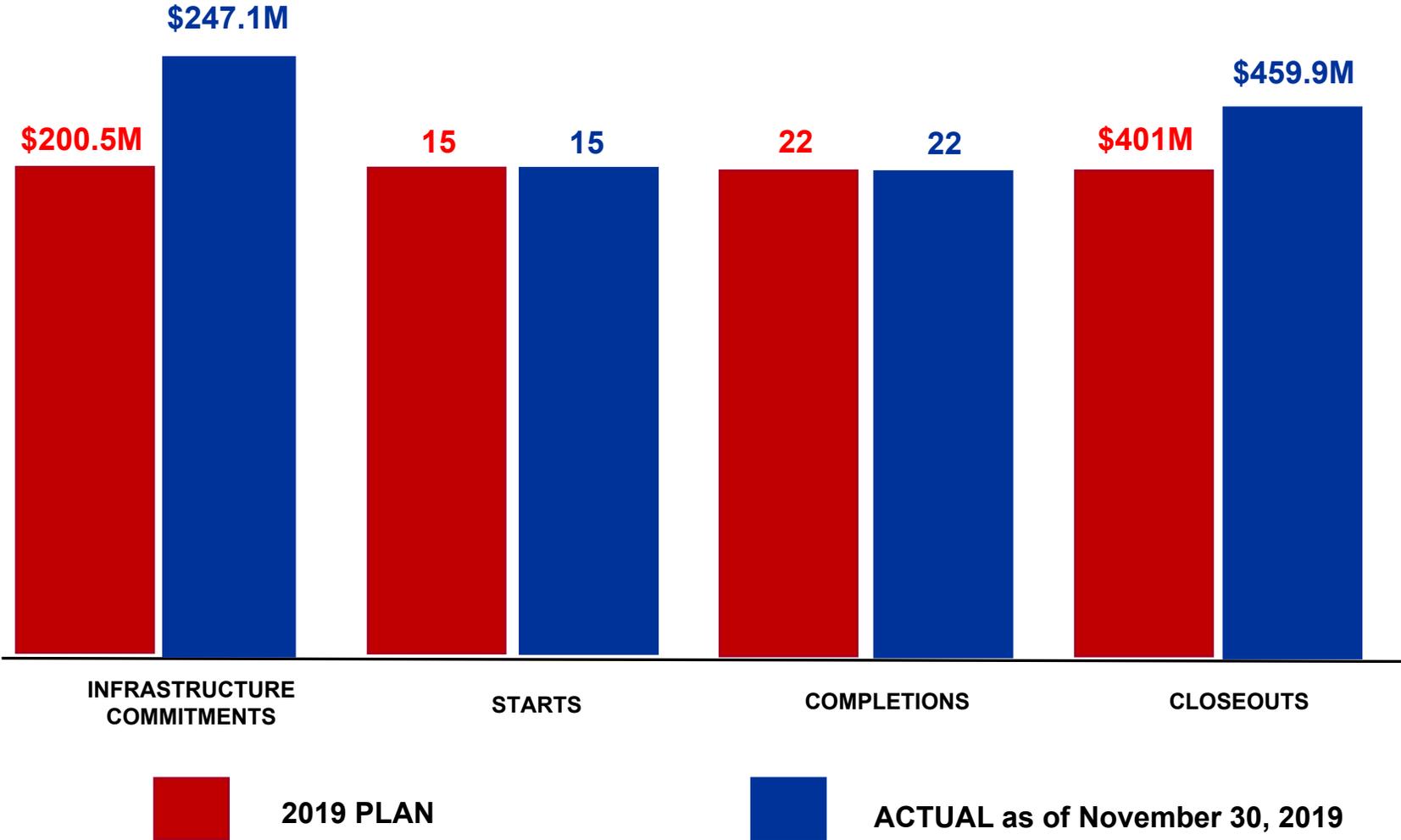
New contract/s awarded:

- Hillside Support Facility Lightning Protection awarded for \$1,180,700.

Contract/s completed:

- Station Signage Replacement at 9 Locations.

2019 LIRR Capital Program Goals



Operations Report

John Kesich

Senior Vice President, Operations



M7 EMU



M8 EMU



Comet 5 Cab Car

November 2019 Highlights: Operations Report

November service delivery operated above goal at 94.0% overall with 90.5% in peak periods. YTD OTP is 94.3% with 93.1% in peak periods. Compared to 2018 November operated 10.7% better and YTD is 4.4% better.

Hudson Line – 94.7% with 91.1% in peak

98.7% of trains arrived within 10” of schedule with 2 (0.04%) cancelled or terminated

Harlem Line – 94.0% with 90.0% in peak

97.8% of trains arrived within 10” of schedule with 8 (0.14%) cancelled or terminated

New Haven Line – 93.6% with 90.6% in peak

96.8% of trains arrived within 10” of schedule with 30 (0.21%) cancelled or terminated

In November 3.6% of trains arrived 6-10” late with 40 (0.37%) cancelled or terminated.

Overall, 97.6% of trains arrived within 10” of schedule.

Train delay minutes are reduced by 42% from last year.

Consist Compliance: 99.4% overall with 98.9% during Peak.

We continue to have additional M8 cars out of service due to on-going warranty modifications.

Due to significant ridership increases on the New Haven we have the minimum number cars to support the daily requirement. The additional 66 new M8 cars will start to be available for service early next year with delivery completion by the end of 2020.

West of Hudson Service operated below goal at 89.2% due to ongoing Port Jervis Line Infrastructure Work 54% and 44% due NJT service delivery failures. YTD is at 89.8%

Pascack Valley – 93.9% **YTD: 94.5%**

Port Jervis – 82.8% **YTD: 83.8%**

Cancelled Trains

16 (1.0%) PVL: 8, PVL: 8

12 – No NJT Crew

4 – NJT Equipment Failure

Equipment Performance

Fleet Availability was good during November.

Fleet MDBF in September operated above goal at 220,369 against the goal of 165,000 with YTD above goal at 237,869.

Our 31 Genesis locomotives are at the end of their useful life and we are proceeding with a RFP for their replacement.

Performance Summary			2019 Data			2018 Data		
			Annual Goal	November	YTD thru November	November	YTD thru November	
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	93.0%	94.0%	94.3%	83.3%	89.9%	
		AM Peak	93.0%	87.3%	92.2%	71.9%	87.4%	
		AM Reverse Peak	93.0%	91.2%	95.0%	85.3%	93.0%	
		PM Peak	93.0%	93.8%	93.3%	80.2%	89.5%	
		Total Peak	93.0%	90.5%	93.1%	77.3%	89.1%	
		Off Peak Weekday	93.0%	94.6%	93.7%	82.9%	88.1%	
		Weekend	93.0%	97.6%	97.2%	92.6%	94.6%	
		Hudson Line	Overall	93.0%	94.7%	95.0%	83.1%	89.7%
			AM Peak	93.0%	86.0%	92.0%	72.3%	85.9%
			AM Reverse Peak	93.0%	89.5%	94.4%	90.0%	95.2%
			PM Peak	93.0%	97.3%	96.2%	84.1%	92.0%
			Total Peak	93.0%	91.1%	94.0%	79.4%	89.6%
			Off Peak Weekday	93.0%	96.8%	95.1%	82.5%	87.2%
			Weekend	93.0%	96.4%	96.3%	89.3%	94.2%
		Harlem Line	Overall	93.0%	94.0%	95.2%	83.9%	91.7%
			AM Peak	93.0%	87.4%	93.1%	69.3%	88.9%
			AM Reverse Peak	93.0%	89.2%	94.4%	77.6%	92.2%
			PM Peak	93.0%	93.2%	93.1%	80.8%	89.0%
			Total Peak	93.0%	90.0%	93.3%	75.3%	89.5%
			Off Peak Weekday	93.0%	94.7%	95.3%	85.8%	91.9%
			Weekend	93.0%	98.5%	98.3%	94.5%	95.4%
		New Haven Line	Overall	93.0%	93.6%	93.2%	82.9%	88.6%
			AM Peak	93.0%	88.2%	91.6%	73.8%	87.0%
			AM Reverse Peak	93.0%	93.8%	95.9%	89.8%	92.6%
			PM Peak	93.0%	92.1%	91.7%	77.3%	88.2%
			Total Peak	93.0%	90.6%	92.3%	77.6%	88.4%
			Off Peak Weekday	93.0%	93.3%	91.9%	81.1%	85.8%
		Weekend	93.0%	97.7%	96.9%	93.1%	94.2%	
Operating Statistics	Trains Scheduled		18,525	211,561	18,800	210,825		
	Avg. Delay per Late Train (min) <small>excluding trains cancelled or terminated</small>		12.5	12.6	12.2	12.6		
	Trains Over 15 min. Late <small>excluding trains cancelled or terminated</small>		2,300	217	2,421	631		
	Trains Canceled		230	23	184	21		
	Trains Terminated		230	17	224	30		
	Percent of Scheduled Trips Completed		99.8%	99.8%	99.8%	99.7%		
Consist Compliance	System	Overall	98.5%	99.4%	99.5%	97.2%	98.5%	
<i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>		AM Peak	97.0%	98.3%	98.7%	92.9%	96.5%	
		AM Reverse Peak	99.5%	100.0%	100.0%	99.9%	99.9%	
		PM Peak	97.0%	99.2%	98.9%	92.9%	96.5%	
		Total Peak	97.0%	98.9%	99.0%	93.9%	96.9%	
		Off Peak Weekday	99.5%	99.5%	99.7%	99.1%	99.4%	
		Weekend	99.5%	99.7%	99.7%	99.2%	99.5%	
		Hudson Line	AM Peak	99.0%	99.7%	99.9%	99.6%	99.5%
			PM Peak	99.0%	100.0%	99.9%	99.3%	99.0%
		Harlem Line	AM Peak	97.0%	98.3%	99.1%	93.9%	96.0%
			PM Peak	97.0%	99.2%	99.1%	94.5%	96.9%
		New Haven Line	AM Peak	95.0%	97.4%	97.4%	87.2%	94.5%
			PM Peak	95.0%	98.7%	98.1%	87.1%	94.2%

SYSTEM Category of Delay

Delay Minutes / Delay Threshold	% Total	October	2019 Data		2018 Data		YTD 2019 Vs 2018
			November	YTD thru November	November	YTD thru November	
Engineering (Scheduled)	3.6%	118	80	2,079	311	5,714	-3,636
Engineering (Unscheduled)	16.7%	442	372	6,497	1,077	11,406	-4,909
Maintenance of Equipment	25.8%	300	575	3,855	998	6,926	-3,071
Transportation	2.3%	56	50	652	92	1,238	-586
Capital Projects	4.0%	81	88	1,319	536	2,576	-1,258
Weather and Environmental	15.8%	867	352	3,183	2,495	8,175	-4,992
Police	18.1%	731	404	2,655	471	2,680	-25
Customers	5.0%	106	112	1,215	106	1,627	-412
Other	8.8%	122	196	3,285	197	2,297	987
3rd Party Operations	0.1%	4	1	42	13	180	-138
TOTAL	100.0%	2,826	2,230	24,780	6,296	42,818	-18,038
HUDSON LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2019 Vs 2018
Engineering (Scheduled)	5.1%	32	21	588	168	1,648	-1,060
Engineering (Unscheduled)	13.7%	55	56	970	207	2,816	-1,846
Maintenance of Equipment	37.7%	93	154	986	273	1,808	-822
Transportation	2.0%	15	8	94	31	315	-221
Capital Projects	11.2%	41	46	518	192	1,005	-487
Weather and Environmental	7.1%	74	29	468	333	1,212	-744
Police	4.2%	107	17	384	103	396	-12
Customers	5.9%	37	24	320	23	572	-252
Other	13.0%	3	53	883	65	379	504
3rd Party Operations	0.2%	2	1	16	3	55	-39
TOTAL	100.0%	459	409	5,227	1,398	10,206	-4,979
HARLEM LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2019 Vs 2018
Engineering (Scheduled)	2.6%	70	17	471	51	931	-460
Engineering (Unscheduled)	13.0%	151	84	1,602	280	3,304	-1,702
Maintenance of Equipment	33.2%	79	214	1,092	323	1,698	-606
Transportation	2.0%	11	13	148	31	335	-187
Capital Projects	1.9%	8	12	124	68	281	-157
Weather and Environmental	17.5%	380	113	906	1,154	3,469	-2,563
Police	9.9%	238	64	691	164	754	-63
Customers	5.0%	21	32	292	36	428	-136
Other	14.9%	42	96	963	48	564	399
3rd Party Operations	0.0%	0	0	0	0	19	-19
TOTAL	100.0%	1,000	645	6,289	2,155	11,783	-5,494
NEW HAVEN LINE	% Total	October	November	YTD thru November	November	YTD thru November	YTD 2019 Vs 2018
Engineering (Scheduled)	3.6%	17	42	1,010	92	3,135	-2,125
Engineering (Unscheduled)	19.7%	225	232	3,905	590	5,286	-1,381
Maintenance of Equipment	17.6%	114	207	1,759	402	3,419	-1,660
Transportation	2.6%	30	30	403	30	588	-185
Capital Projects	2.6%	24	30	667	276	1,290	-623
Weather and Environmental	17.8%	412	209	1,808	1,008	3,493	-1,685
Police	27.5%	386	323	1,580	204	1,529	51
Customers	4.8%	46	57	582	47	626	-44
Other	3.9%	76	46	1,437	84	1,354	83
3rd Party Operations	0.0%	2	0	26	10	106	-80
TOTAL	100.0%	1,332	1,176	13,177	2,743	20,826	-7,649

EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains																	
			AM Peak			AM Reverse			PM Peak		Off Peak		Weekend		TOTAL					
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld	Term
11/01	Fri	Lost signal power between CP 230 and CP 274, lost traction power between Catenary 964 and Catenary 1060 due to tree in wires.	39	9	0	0	0	0	0	0	0	11	0	3	0	0	0	50	9	3
11/01	Fri	Train 1030 reports lost 3rd rail shoes on Track 3 north of CP 1. Due to same, trains are not operating on Track 3 in Park Avenue Tunnel.	40	0	0	0	0	0	0	0	0	0	0	0	0	0	0	40	0	0
11/01	Fri	The A and B signal code lines at Wassaic were down due to local power outage resulting from storm.	12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	12	0	0
11/04	Mon	Lost all signal power from CP 112 to Division Post on the New Haven Line.	0	0	0	0	0	0	0	0	0	16	2	0	0	0	0	16	2	0
11/04	Mon	Train 363 reported cab signal was operating on restricted cabs north of CP 1.	0	0	0	0	0	0	14	0	0	0	0	0	0	0	0	14	0	0
11/04	Mon	Train 614 operated as a failed train on Track 2 at Bedford Hills Station due to cab signal failure.	19	0	0	0	0	0	0	0	0	0	0	0	0	0	0	19	0	0
11/07	Thu	Rain causing slippery conditions. Due to same, LA 2 is in effect from CP 112 to CP 154.	0	0	0	0	0	0	12	0	0	13	0	0	0	0	0	25	0	0
11/11	Mon	Train 2006 departed Highbridge Yard late account unable to take power in Highbridge Yard.	0	0	0	0	0	0	0	0	0	10	0	0	0	0	0	10	0	0
11/12	Tue	MTA PD reports a local utility pole down across the tracks at Hartsdale Station.	0	0	0	0	0	0	0	0	0	7	1	2	0	0	0	7	1	2
11/12	Tue	Train 908 reports struck a deer on Track 1, CP 152.	14	0	1	0	0	0	0	0	0	0	0	0	0	0	0	14	0	1
11/13	Wed	Train 669 activated the Wild Detector on Track 1 at 86th Street and is stopped on Track 1 at Harlem-125th Street Station.	0	0	0	0	0	0	12	0	0	11	0	0	0	0	0	23	0	0
11/14	Thu	The gates were down continuously at Wilton Station Crossing, MP 7.3. Due to same, Stop & Warn is in effect.	14	0	0	0	0	0	0	0	0	0	0	0	0	0	0	14	0	0
11/15	Fri	Train 618 reported PTC Cut out light flashed and had an undesirable brake application on Track 2 at Purdys Station.	18	0	0	0	0	0	0	0	0	0	0	0	0	0	0	18	0	0
11/15	Fri	Train 818 reports unable to get a door light at 125th Street.	12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	12	0	0
11/16	Sat	Train 8840 reported struck a trespasser on Track 1 at Morris Heights Station.	0	0	0	0	0	0	0	0	0	0	0	0	12	0	1	12	0	1
11/18	Mon	Train 1375 reported struck a trespasser on Track 3 at CAT. 37.	0	0	0	0	0	0	50	4	0	20	0	1	0	0	0	70	4	1
11/18	Mon	Train 1321 requested medical assistance for a passenger that fainted in Car 9617 on Track 4 at Fordham Station.	23	0	0	0	0	0	0	0	0	0	0	0	0	0	0	23	0	0

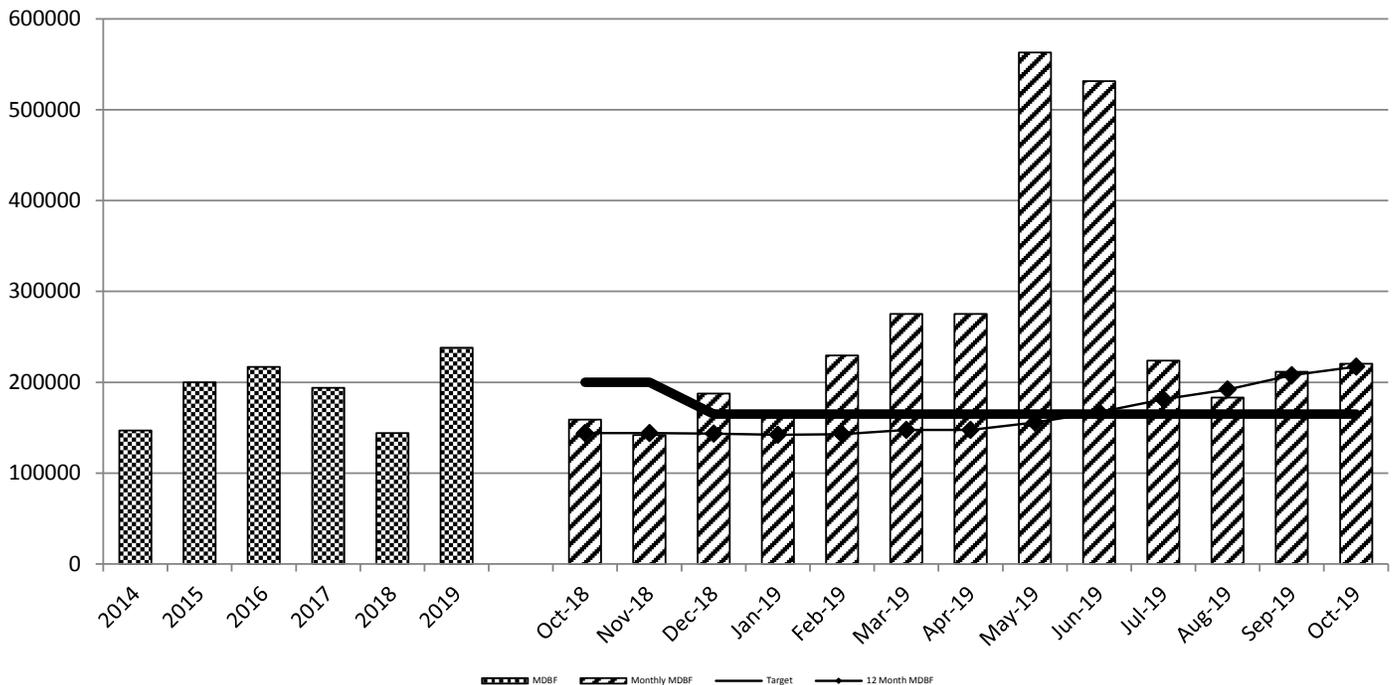
EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains									TOTAL								
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend			Late	Cxl'd	Term
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T			
11/22	Fri	The BK1471 Track Circuit was down on Track 1 at CP 113.	10	0	1	0	0	0	0	0	0	0	0	0	0	0	0	10	0	1
11/22	Fri	Train 1548 requested MTAPD assistance at Harlem 125th Street Station for a intoxicated and disorderly passenger in Car 9301.	9	0	1	0	0	0	0	0	0	0	0	0	0	0	0	9	0	1
11/25	Mon	Train 920 reported equipment was unable to take power after sustaining an undesired brake application on Track H at the HN signal in GCT.	18	0	0	0	0	0	0	0	0	0	0	0	0	0	0	18	0	0
11/27	Wed	The R1B and R2B track circuits were down. Necessary to flag Southbound Trains by CP 106 on Track 1 and Track 2.	15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	15	0	0
11/27	Wed	Train 1546 operated as a failed train at Cat. 175 on Track 2 account multiple faults.	0	0	0	0	0	0	12	0	0	18	0	0	0	0	0	30	0	0
TOTAL FOR MONTH			243	9	3	0	0	0	100	4	0	106	3	6	12	0	1	461	16	10
																	487			

	Equip-ment Type	Total Fleet Size	2019 Data						2018 Data		
			MDBF Goal (miles)	Oct MDBF (miles)	Primary Failure Goal	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)	12 month MDBF Rolling Avg (miles)	Oct MDBF (miles)	Oct No. of Primary Failures	YTD MDBF thru Oct (miles)
Mean Distance Between Failures	M8	405	280,000	391,323	9	7	337,697	318,820	162,918	16	207,740
	M3	138	80,000	90,225	4	4	96,331	89,493	40,098	8	75,097
	M7	334	330,000	292,764	6	7	356,562	355,106	228,697	9	312,031
	Coach	209	200,000	208,046	8	7	289,468	255,143	375,431	4	161,466
	P-32	31	21,000	32,549	9	6	36,726	33,544	22,117	9	17,091
	BL-20	12	13,000	30,313	4	0	43,420	27,203	36,833	0	18,179
	Fleet	1129	165,000	220,369	40	31	237,869	217,138	144,144	47	142,944
	M8		280,000	391,323	9	7	337,697	310,106	156,359	17	193,773
M3/7		229,000	219,113	10	11	257,148	250,323	139,945	17	225,233	
Diesel/Coach		80,000	129,379	21	13	151,290	131,201	133,662	13	75,206	

Mean Distance Between Failures (MDBF) is the average number of miles a railcar or locomotive travels in revenue service before breaking down and causing a delay. The higher the MDBF, the more reliable the equipment and the service.

ALL FLEETS Mean Distance Between Failures 2014 - 2019



West of Hudson Performance Summary			2019 Data			2018 Data	
			Annual Goal	November	YTD thru November	November	YTD thru November
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	West of Hudson Total	Overall	93.0%	89.2%	89.8%	84.2%	90.8%
		AM Peak	93.0%	92.8%	90.6%	79.2%	90.5%
		PM Peak	93.0%	86.1%	90.8%	87.5%	91.5%
		Total Peak	93.0%	89.5%	90.7%	83.3%	91.0%
		Off Peak Weekday	93.0%	86.7%	88.0%	83.8%	90.1%
		Weekend	93.0%	93.0%	92.0%	86.1%	91.8%
	Pascack Line	Overall	93.0%	93.9%	94.5%	87.4%	94.0%
	Valley Line	AM Peak	93.0%	97.0%	96.1%	83.8%	93.8%
		PM Peak	93.0%	91.7%	94.2%	90.5%	95.4%
		Total Peak	93.0%	94.4%	95.2%	87.1%	94.6%
		Off Peak Weekday	93.0%	92.1%	94.0%	86.5%	93.6%
		Weekend	93.0%	95.9%	94.4%	89.3%	94.1%
	Port Jervis Line	Overall	93.0%	82.8%	83.8%	79.8%	86.2%
		AM Peak	93.0%	87.7%	84.2%	73.8%	86.4%
		PM Peak	93.0%	79.5%	86.9%	84.0%	86.8%
		Total Peak	93.0%	83.6%	85.5%	78.9%	86.6%
		Off Peak Weekday	93.0%	79.3%	80.6%	80.3%	85.3%
		Weekend	93.0%	88.0%	88.3%	80.5%	87.7%
Operating Statistics	Trains Scheduled		1,590	17,386	1,635	18,257	
	Avg. Delay per Late Train (min) <small>excluding trains cancelled or terminated</small>		18.9	20.9	17.5	20.3	
	Trains Over 15 min. Late <small>excluding trains cancelled or terminated</small>	300	64	711	104	669	
	Trains Canceled	60	16	142	12	230	
	Trains Terminated	60	2	69	8	62	
	Percent of Scheduled Trips Completed	99.4%	98.9%	98.8%	98.8%	98.4%	
Consist Compliance* <i>(Percent of trains where the number of coaches provided met the scheduled requirement)</i>	System - AM		99.0%	99.9%	99.1%	98.2%	97.7%
	Pascack Valley - AM		99.0%	99.9%	99.0%	97.6%	97.3%
	Port Jervis - AM		99.0%	100.0%	99.2%	99.0%	98.1%

*Consist Compliance Reporting for West of Hudson PM Peak trains is currently unavailable.

WEST OF HUDSON
EVENTS RESULTING IN 5 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains														
			AM Peak			PM Peak			Off Peak			Weekend			TOTAL		
			L	C	T	L	C	T	L	C	T	L	C	T	Late	Cxld Term	
11/07	Thu	PJL: TRAIN 55 WAS TERMINATED AT CAMPBELL HALL WITH MECHANICAL PROBLEMS.	0	0	0	4	0	1	2	0	0	0	0	0	6	0	1
11/13	Wed	PJL: TRAINS OPERATED PER CAB SPEED ACCOUNT NEW MN SIGNAL SYSTEM.	0	0	0	3	0	0	3	0	0	0	0	0	6	0	0
11/16	Sat	PVL: TRAINS WERE CANCELLED ACCOUNT NO ENGINEER AVAILABILITY.	0	0	0	0	0	0	0	0	0	3	4	0	3	4	0
TOTAL FOR MONTH			0	0	0	7	0	1	5	0	0	3	4	0	15	4	1
20																	

NOVEMBER 2019 STANDEE REPORT
East of Hudson

			NOV 2018	YTD 2018	NOV 2019	YTD 2019
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	5	12	8	2
		Total Standees	5	12	8	2
AM Peak	Harlem Line	Program Standees	31	3	31	3
		Add'l Standees	155	103	37	19
		Total Standees	186	106	68	22
	New Haven Line	Program Standees	24	2	24	2
		Add'l Standees	354	120	72	59
		Total Standees	378	122	96	61
EAST OF HUDSON TOTAL - AM PEAK			569	240	172	85
Daily Average	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	2	6	0	1
		Total Standees	2	6	0	1
PM Peak	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	65	31	4	7
		Total Standees	65	31	4	7
	New Haven Line	Program Standees	140	13	140	13
		Add'l Standees	327	141	19	53
		Total Standees	467	154	159	66
EAST OF HUDSON TOTAL - PM PEAK			534	191	164	73

West of Hudson

			NOV 2018	YTD 2018	NOV 2019	YTD 2019
Daily Average	Port Jervis Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
AM Peak	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
WEST OF HUDSON TOTAL - AM PEAK			0	0	0	0

* Consist compliance and Standee Reporting for the West of Hudson PM Peak trains is currently unavailable .

Definitions

Weekday standees are calculated based on the most recent average weekday customer counts for the train's maximum load point. For Hudson, Harlem and most New Haven Line trains, this point occurs at GCT/125th St.. However, for certain New Haven Line trains, this maximum load point is east of Stamford.

"Program Standees" is the average number of customers in excess of programmed seating capacity.

"Additional Standees" reflect the impact of reduced train car consists reported as consist compliance less than 100%.

Note: These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains. Holidays and Special Events for which there are special equipment programs are not included.

Operations Planning and Analysis/jc

ELEVATOR AND ESCALATOR OPERATING REPORT FOR MONTH OF November 2019

Elevator Availability	2019		2018	
	November	Year to Date	November	Year to Date
Grand Central Terminal	88.56%	87.05%	87.31%	90.26%
Harlem	99.63%	99.57%	100.00%	99.86%
Hudson	99.40%	99.66%	100.00%	99.88%
New Haven	98.46%	99.71%	100.00%	99.80%
Overall Average	96.51%	96.50%	96.83%	97.45%

The T-20 Elevator (leftmost B-Hall elevator) is Out of Service for conversion for Training Center Project. The T-9 Elevator was temporarily Out of Service for parts. Was returned to service on November 22nd.

PLEASE NOTE: The NE-1 Elevator is Out of Service due to East Side Access construction. The NE-1 Elevator is excluded from this report.

Escalator Availability	2019		2018	
	November	Year to Date	November	Year to Date
Grand Central Terminal	100.00%	86.78%	81.67%	95.02%
White Plains	100.00%	100.00%	100.00%	100.00%
Overall Average	100.00%	93.39%	90.83%	97.51%

PLEASE NOTE: Escalators #3, #4, #5 and #6 (East Side near Market) are all Out of Service for scheduled service upgrade work and is excluded from this report through July of 2020.



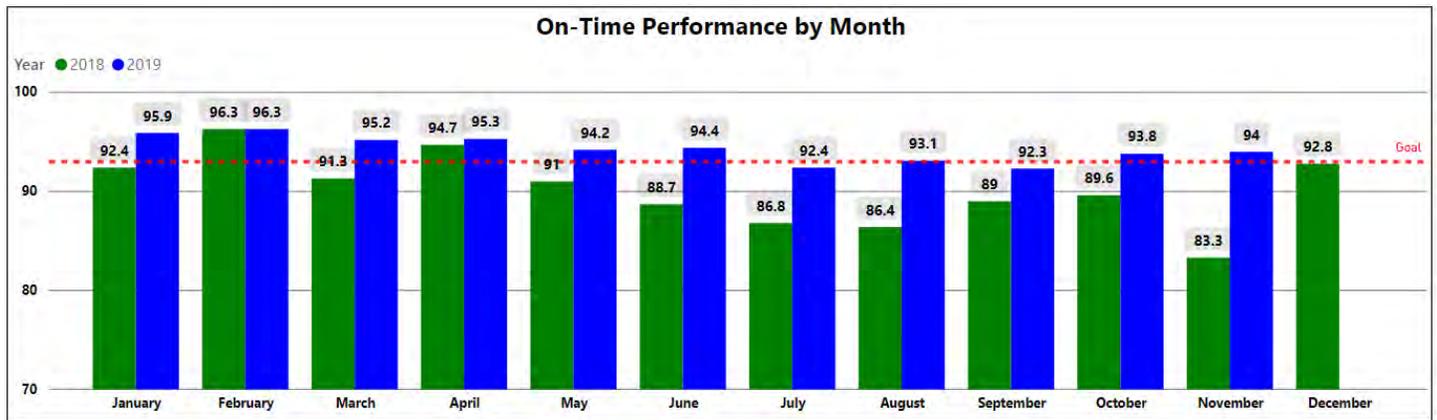
Metro-North Railroad

Performance Metrics Report

On-Time Performance

The percentage of trains that arrive at their final destination within 5'59" of schedule.

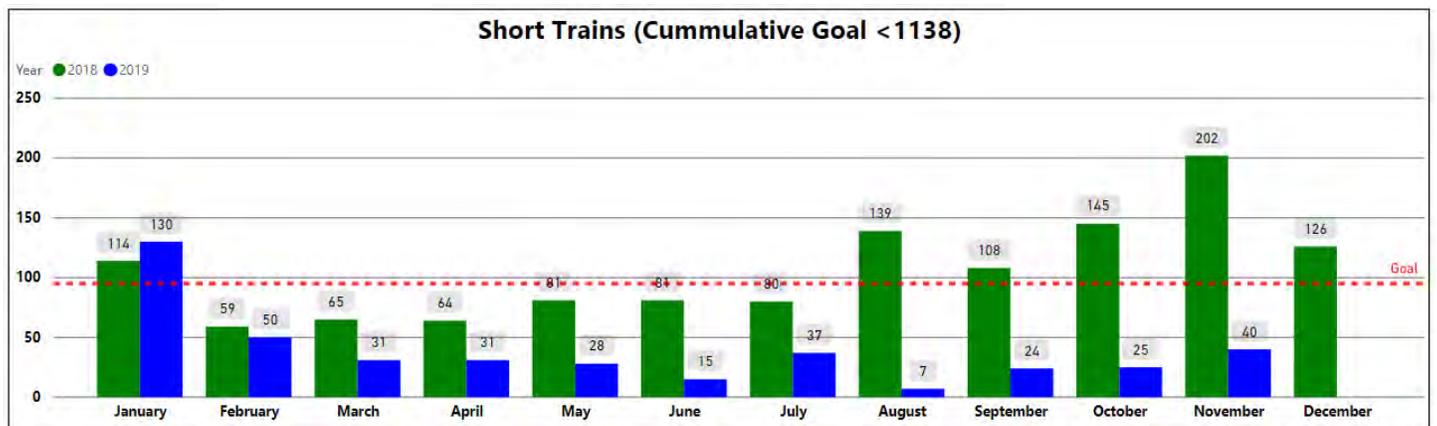
	2019		2018	
Goal	Nov	YTD	Nov	YTD
93.0%	94.0%	94.3%	83.3%	89.9%



Short Trains

The number of AM trains that operate with fewer than the scheduled number of cars.

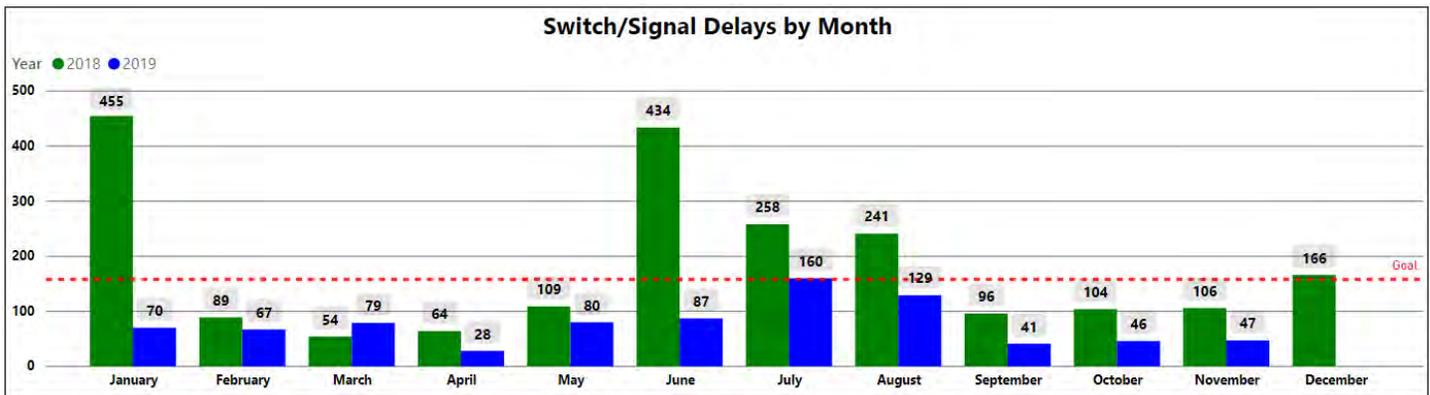
	2019		2018	
Goal	Nov	YTD	Nov	YTD
1138	40	418	202	1138



Switch/Signal Delays

The number of trains that arrive at their final destination later than 5'59" of schedule due to Switch/Signal causes.

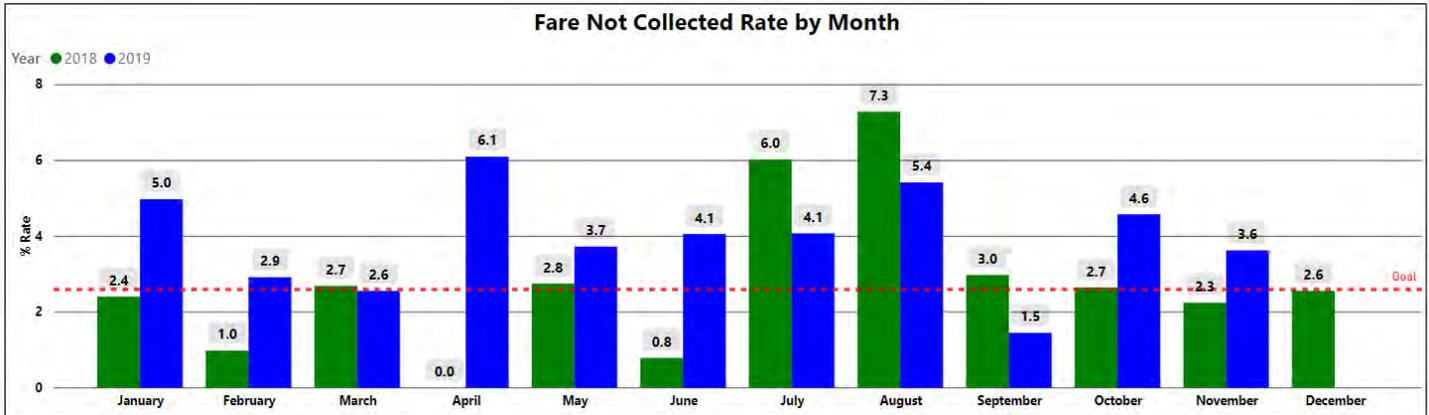
	2019		2018	
Goal	Nov	YTD	Nov	YTD
1896	47	834	106	2010



Fare Not Collected Rate

The percentage of instances an MTA Audit Operative's fare is not collected.

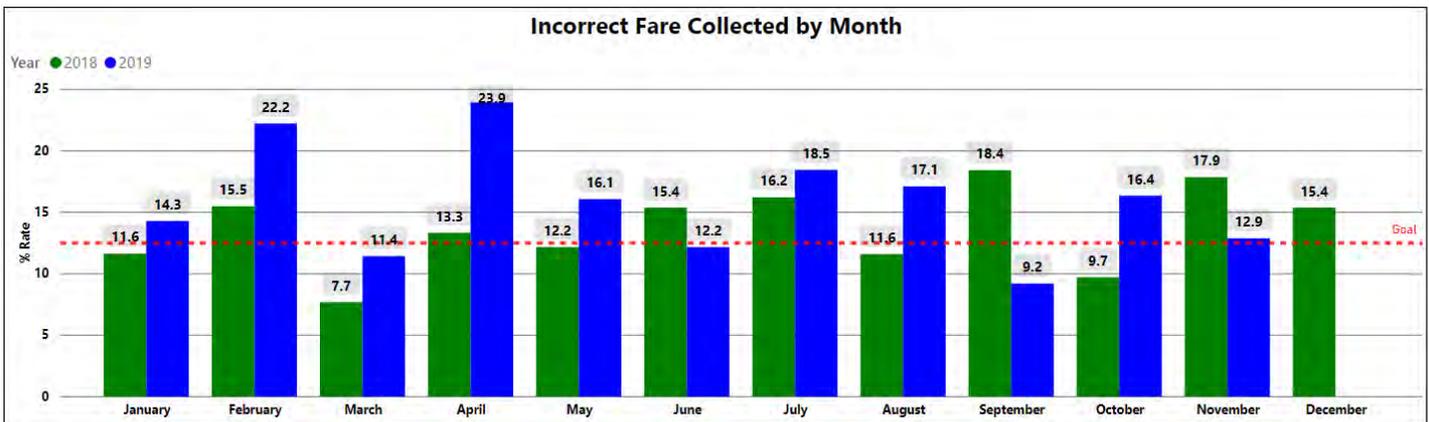
	2019		2018	
Goal	Nov	YTD	Nov	YTD
2.6%	3.6%	4.0%	2.3%	2.9%



Incorrect Fare Collected Rate

The percentage of instances an incorrect fare is sold to or accepted from an MTA Audit Operative by a conductor.

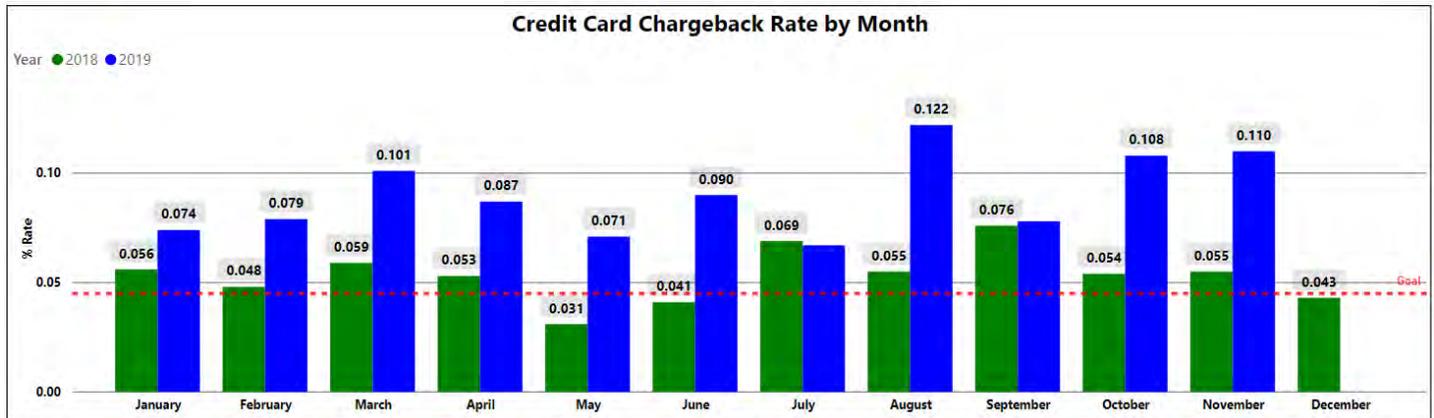
	2019		2018	
Goal	Nov	YTD	Nov	YTD
12.5%	12.9%	15.7%	17.9%	13.6%



Credit Card Chargeback Rate

The percentage of credit card sales in dollars that are rejected due to fraud.

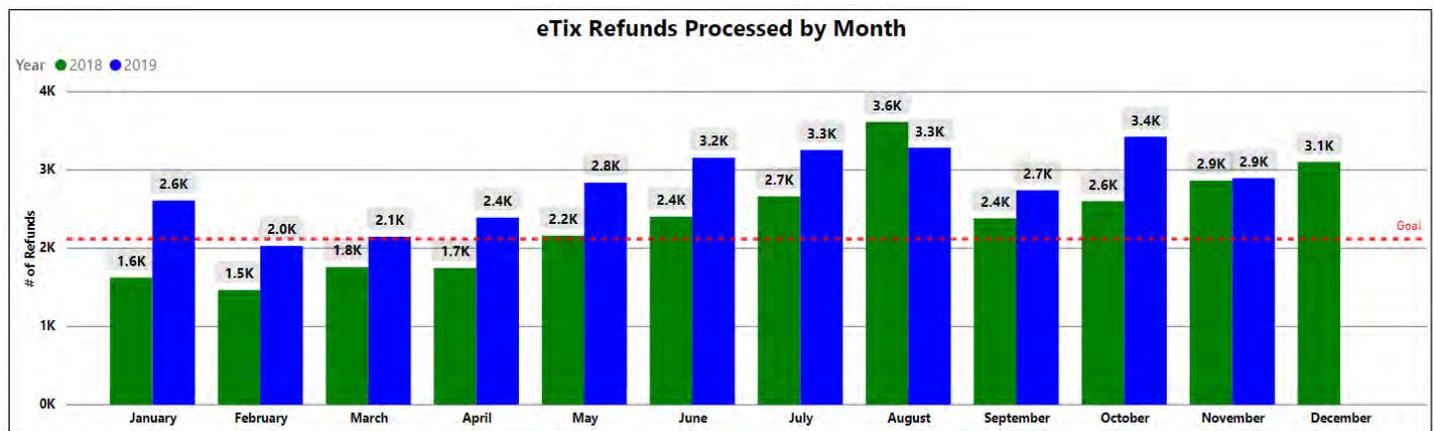
	2019		2018	
Goal	Nov	YTD	Nov	YTD
0.045%	0.110%	0.090%	0.055%	0.054%



eTix Refunds Processed

The number of eTix refunds processed.

	2019		2018	
Goal	Nov	YTD	Nov	YTD
2118	2895	30774	2864	25288



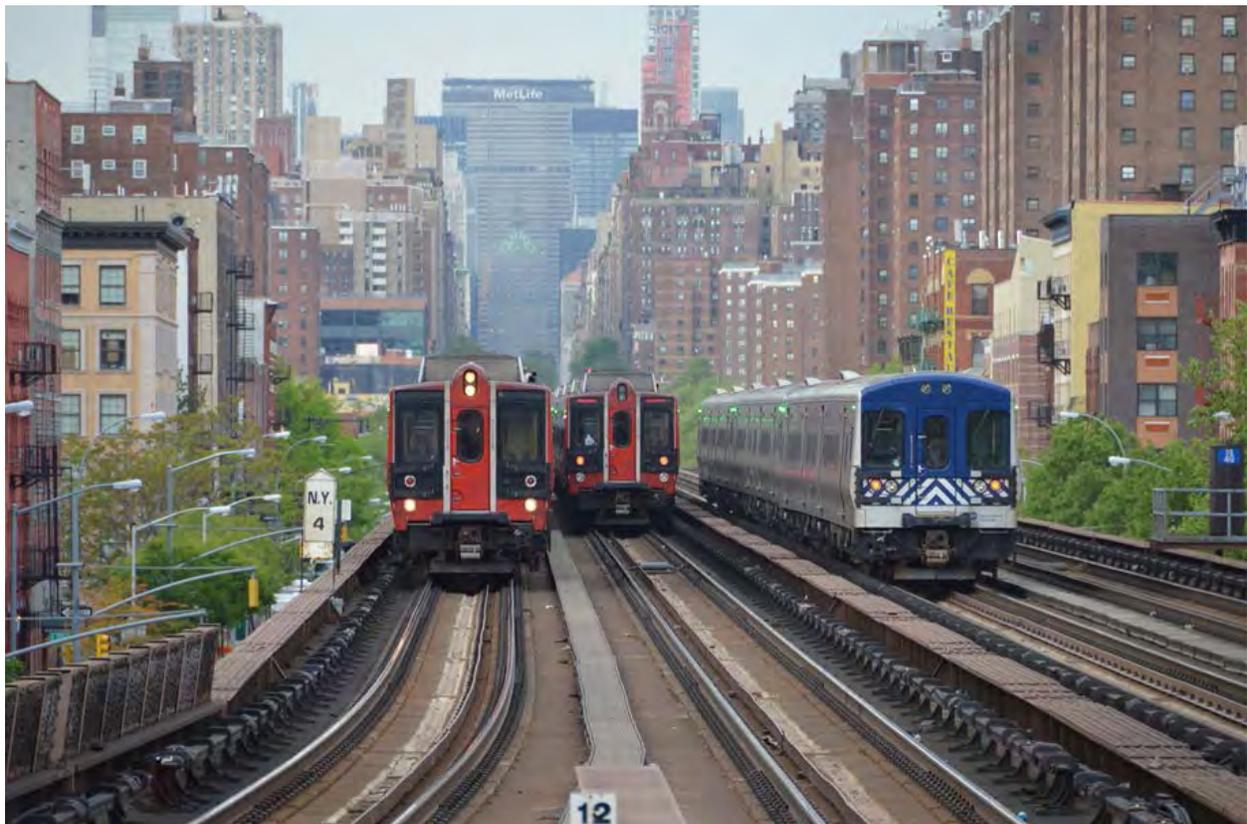


Metro-North Railroad

Finance Report

Steven Weiss

Executive Director, Management & Budget



The MTA's 2020-2024 proposed Capital Program received Board Approval in September. The program will invest a record \$51.5 billion in across-the-board modernization, now awaits final approval by New York State's Capital Program Review Board. The program will provide \$4.7 billion to Metro-North for projects in New York State.



Metro-North Railroad

October 2019 Highlights: Financial Report

The Metro-North Railroad’s Monthly Financial Report provides year-to-date fiscal information comparing actual revenues, expenses and staffing levels to the Mid-Year Forecast (forecast) and key financial performance indicators.

Summary of Non-Reimbursable Year-to-Date (YTD) October 2019 Financial Results

Ridership and accrual results, versus the forecast, are summarized as follows:

- Ridership of 72.4 million, which includes East of Hudson ridership of 71.0 million and West of Hudson ridership of 1.4 million, was 0.7% unfavorable vs. forecast. Consequently, farebox revenue of \$627.4 million was \$4.7 million lower than forecast.
- Total revenue of \$674.6 million was \$6.6 million or 1.0% lower than forecast due to lower ridership and advertising revenue as well as the timing of net GCT retail income.
- Total expenses of \$1,114.4 million were \$20.0 million or 1.8% unfavorable vs. forecast primarily due to higher labor expenses related to Retroactive Wage Adjustments (RWA), the reassignment of forces from reimbursable (capital) projects to non-reimbursable (operating) work driven by revised capital project activity assumptions, and timing of retiree payouts.

Financial results for Year-to-Date (YTD) October 2019 are presented in the table below and compared to the Mid-Year Forecast.

MTA Metro-North Railroad
October 2019 Year-to-Date Results
(\$ in Millions)

	<u>Midyear Forecast</u>	<u>Actual</u>	<u>Fav/(Unfav) \$ Var</u>	<u>Variance % Var</u>
Total Revenue	\$681.2	\$674.6	(\$6.6)	-1.0%
Total Expenses before Non-Cash Liability Adjs.	1,094.4	1,114.4	(20.0)	-1.8%
Operating Surplus/(Deficit)	(413.2)	(439.8)	(26.6)	-6.4%
<i>Other Non-Cash Liabilities</i>	205.8	190.8	15.0	7.3%
Net Surplus/(Deficit) after Non-Cash Liability Adjs.	(619.0)	(630.6)	(11.6)	-1.9%
<i>Cash Adjustments</i>	141.2	146.1	4.9	3.5%
Net Cash Surplus/(Deficit)	(\$477.8)	(\$484.5)	(\$6.7)	-1.4%

Steven Weiss

Executive Director, Management & Budget

NON-REIMBURSABLE and REIMBURSABLE SUMMARY

October 2019 YTD Net Deficit (Non-Reimbursable and Reimbursable) of \$630.6 million was \$11.6 million or 1.9% unfavorable vs. the forecast.

Major drivers of the October 2019 YTD unfavorable result of \$11.6 million include lower Non-Reimbursable Revenues of \$6.6 million, primarily driven by lower farebox revenue of \$4.7 million and lower advertising revenue of \$1.8 million. Non-Reimbursable Expenses were \$5.0 million unfavorable mainly due to higher payroll expenses partially offset by the timing of non-cash liability adjustments and lower spending in the maintenance and other operating contracts category.

October 2019 YTD Reimbursable Expenses of \$217.3 million were \$80.0 million favorable vs. the forecast primarily due to the timing of several capital projects including Connecticut Positive Train Control, Connecticut Track Program, Waterbury Branch Cab Signal, Maybrook Trailway as well as a forecast issue related to the East of Hudson Power Rehabilitation Project.

REVENUE/RIDERSHIP

- **Farebox Revenue** – YTD results were \$4.7 million lower vs. the forecast primarily due to lower ridership on the Harlem and New Haven Lines.
 - YTD Ridership of 72.4 million was 0.7% unfavorable vs. the forecast and 0.4% favorable vs. YTD 2018.
- **Other Operating Revenue** – YTD was \$1.9 million or 3.9% unfavorable vs. the forecast primarily due to lower advertising revenue and the timing of net GCT retail income.
- **Capital and Other Reimbursements** – YTD was \$80.0 million or 26.9% unfavorable vs. the forecast primarily due to scheduling and timing changes noted above.

TOTAL EXPENSES (Non-Reimbursable and Reimbursable)

Total Expenses – YTD expenses of \$1,522.5 million were \$75.0 million or 4.7% favorable vs. the forecast.

Labor Expenses (including fringes and overhead recoveries) of \$950.9 million YTD were \$14.3 million unfavorable vs. the forecast.

- **Payroll** – YTD was \$14.9 million unfavorable vs. the forecast which primarily reflects 2018 and 2019 catch-up RWA accruals for pending union agreements, higher than reserved RWA payments, and the timing of retiree payouts.
- **Overtime** – YTD was \$2.4 million unfavorable vs. the forecast primarily due to the RWA impacts noted above.

Non-Labor Expenses of \$380.8 million YTD were \$74.3 million favorable vs. the forecast.

- **Electric Power** – YTD results were \$0.9 million favorable vs. the forecast primarily due to lower rates.
- **Fuel** – YTD expenses were \$1.5 million favorable vs. the forecast primarily due to lower diesel fuel price per gallon.
- **Maintenance & Other Operating Contracts** – YTD was \$34.3 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily for the Maybrook Trailway and the Signal Replacement from Greenwich to South Norwalk Projects, and a forecast issue with the Transformer Rehabilitation Project as well as the timing of Non-Reimbursable expenses for the BL-20 Overhaul Program, milestone payments for the Bridgeport Derailment M-8 repairs, Infrastructure Maintenance and other various expenses.
- **Professional Services** – YTD was \$11.2 million favorable vs. the forecast due to the timing of Reimbursable project activity primarily for the Connecticut Positive Train Control Project

partially offset by higher than anticipated Non-Reimbursable expenses including a true-up for 2018 and 2019 MTA IT allocations.

- **Materials & Supplies** – YTD was \$25.2 million favorable vs. the forecast primarily due to the timing of the Waterbury Branch Cab Signaling Project as well as a forecast issue related to the East of Hudson Power Rehabilitation Project partially offset by increased usage for reliability centered maintenance programs as well as rolling stock and infrastructure repairs and increased obsolete material reserves.
- **Other Business Expenses** – YTD was \$1.5 million favorable vs. the forecast primarily due to increased Amtrak recoveries.

Depreciation and Other Non-Cash Liability Adjustments were \$15.0 million favorable vs. the YTD forecast primarily due to lower Depreciation expense reflecting lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.

CASH DEFICIT SUMMARY

October YTD Net Cash Deficit of \$484.5 million was \$6.7 million or 1.4% unfavorable to the forecast. This is mainly due to the revised milestone scheduling of capital projects and timing of payments in several expenditure categories.

FINANCIAL PERFORMANCE MEASURES

- Adjusted Farebox Operating Ratio of 63.1% was 0.4 percentage points unfavorable vs. the forecast.
- Adjusted Cost per Passenger of \$15.05 was \$0.05 unfavorable vs. the forecast.
- Revenue per Passenger of \$8.67 was \$0.01 unfavorable vs. the forecast.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
ACCURAL STATEMENT of OPERATIONS by CATEGORY
OCTOBER 2019
(\$ in millions)

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)		
		Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent
Revenue												
Farebox Revenue	\$67.013	\$66.208	(\$0.805)	(1.2)	\$0.000	\$0.000	\$0.000	-	\$67.013	\$66.208	(\$0.805)	(1.2)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	4.758	5.138	0.379	8.0	0.000	0.000	0.000	-	4.758	5.138	0.379	8.0
<i>Capital & Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	12.613	11.568	(1.046)	(8.3)	12.613	11.568	(1.046)	(8.3)
CDOT	0.000	0.000	0.000	-	13.701	11.803	(1.899)	(13.9)	13.701	11.803	(1.899)	(13.9)
Other	0.000	0.000	0.000	-	4.118	5.213	1.095	26.6	4.118	5.213	1.095	26.6
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	30.433	28.584	(1.850)	(6.1)	30.433	28.584	(1.850)	(6.1)
Total Revenue/Receipts	\$71.772	\$71.345	(\$0.426)	(0.6)	\$30.433	\$28.584	(\$1.850)	(6.1)	\$102.205	\$99.929	(\$2.276)	(2.2)
Expenses												
<i>Labor:</i>												
Payroll	\$45.098	\$51.415	(\$6.318)	(14.0)	\$4.838	\$4.975	(\$0.137)	(2.8)	\$49.936	\$56.390	(\$6.454)	(12.9)
Overtime	7.287	9.704	(2.417)	(33.2)	2.379	2.964	(0.585)	(24.6)	9.666	12.668	(3.002)	(31.1)
Health and Welfare	9.469	7.969	1.500	15.8	1.621	1.719	(0.098)	(6.0)	11.091	9.688	1.402	12.6
OPEB Current Payment	3.311	3.526	(0.215)	(6.5)	0.000	0.000	0.000	-	3.311	3.526	(0.215)	(6.5)
Pensions	9.523	8.978	0.545	5.7	1.157	1.252	(0.095)	(8.2)	10.680	10.230	0.450	4.2
Other Fringe Benefits	10.765	11.751	(0.986)	(9.2)	1.248	1.361	(0.112)	(9.0)	12.013	13.112	(1.098)	(9.1)
Reimbursable Overhead	(6.641)	(8.022)	1.381	20.8	6.268	7.609	(1.341)	(21.4)	(0.372)	(0.413)	0.040	10.8
Total Labor	\$78.813	\$85.323	(\$6.510)	(8.3)	\$17.512	\$19.880	(\$2.368)	(13.5)	\$96.325	\$105.202	(\$8.878)	(9.2)
<i>Non-Labor:</i>												
Electric Power	\$5.977	\$5.965	\$0.012	0.2	\$0.000	\$0.000	\$0.000	-	\$5.977	\$5.965	\$0.012	0.2
Fuel	1.804	1.531	0.273	15.2	0.000	0.001	(0.001)	-	1.804	1.531	0.273	15.1
Insurance	1.336	1.336	(0.000)	(0.0)	0.313	0.295	0.018	5.8	1.649	1.631	0.018	1.1
Claims	0.107	1.061	(0.954)	*	0.000	0.000	0.000	-	0.107	1.061	(0.954)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	9.298	8.964	0.334	3.6	6.175	2.224	3.950	64.0	15.473	11.189	4.284	27.7
Professional Service Contracts	3.397	2.855	0.542	16.0	2.649	4.130	(1.481)	(55.9)	6.046	6.985	(0.939)	(15.5)
Materials & Supplies	8.411	8.151	0.259	3.1	3.721	2.014	1.708	45.9	12.132	10.165	1.967	16.2
Other Business Expenses	2.161	2.266	(0.105)	(4.8)	0.063	0.040	0.023	36.2	2.224	2.306	(0.082)	(3.7)
Total Non-Labor	\$32.493	\$32.130	\$0.362	1.1	\$12.921	\$8.704	\$4.217	32.6	\$45.414	\$40.834	\$4.580	10.1
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$111.305	\$117.453	(\$6.148)	(5.5)	\$30.433	\$28.584	\$1.850	6.1	\$141.738	\$146.036	(\$4.298)	(3.0)
Depreciation	20.879	19.403	1.475	7.1	0.000	0.000	0.000	-	20.879	19.403	1.475	7.1
OPEB Obligation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB68 Pension Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Environmental Remediation	0.350	0.388	(0.038)	(10.9)	0.000	0.000	0.000	-	0.350	0.388	(0.038)	(10.9)
GASB75 Adjustment	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Expenses	\$132.533	\$137.244	(\$4.710)	(3.6)	\$30.433	\$28.584	\$1.850	6.1	\$162.967	\$165.827	(\$2.861)	(1.8)
Net Surplus/(Deficit)	(\$60.762)	(\$65.898)	(\$5.136)	(8.5)	\$0.000	\$0.000	\$0.000	-	(\$60.762)	(\$65.898)	(\$5.136)	(8.5)
<i>Cash Conversion Adjustments:</i>												
Depreciation	20.879	19.403	(1.475)	(7.1)	0.000	0.000	0.000	-	20.879	19.403	(1.475)	(7.1)
Operating/Capital	(5.974)	(8.576)	(2.602)	(43.6)	0.000	0.000	0.000	-	(5.974)	(8.576)	(2.602)	(43.6)
Other Cash Adjustments	(0.814)	(4.729)	(3.916)	*	0.000	0.000	0.000	-	(0.814)	(4.729)	(3.916)	*
Total Cash Conversion Adjustments	\$14.091	\$6.097	(\$7.993)	(56.7)	\$0.000	\$0.000	\$0.000	-	\$14.091	\$6.097	(\$7.993)	(56.7)
Net Cash Surplus/(Deficit)	(\$46.671)	(\$59.801)	(\$13.130)	(28.1)	\$0.000	\$0.000	\$0.000	-	(\$46.671)	(\$59.801)	(\$13.130)	(28.1)

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
OCTOBER YEAR-TO-DATE
(\$ in millions)

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)		
		Actual	Variance	Percent		Actual	Variance	Percent		Actual	Variance	Percent
Revenue												
Farebox Revenue	\$632.087	\$627.396	(\$4.691)	(0.7)	\$0.000	\$0.000	\$0.000	-	\$632.087	\$627.396	(\$4.691)	(0.7)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	49.135	47.213	(1.922)	(3.9)	0.000	0.000	0.000	-	49.135	47.213	(1.922)	(3.9)
<i>Capital & Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	143.846	114.194	(29.652)	(20.6)	143.846	114.194	(29.652)	(20.6)
CDOT	0.000	0.000	0.000	-	126.884	84.355	(42.530)	(33.5)	126.884	84.355	(42.530)	(33.5)
Other	0.000	0.000	0.000	-	26.554	18.749	(7.805)	(29.4)	26.554	18.749	(7.805)	(29.4)
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	297.284	217.298	(79.986)	(26.9)	297.284	217.298	(79.986)	(26.9)
Total Revenue/Receipts	\$681.222	\$674.609	(\$6.613)	(1.0)	\$297.284	\$217.298	(\$79.986)	(26.9)	\$978.506	\$891.907	(\$86.599)	(8.9)
Expenses												
<i>Labor:</i>												
Payroll	\$430.895	\$449.859	(\$18.963)	(4.4)	\$47.140	\$43.093	\$4.047	8.6	\$478.036	\$492.952	(\$14.916)	(3.1)
Overtime	78.749	82.341	(3.591)	(4.6)	25.691	24.537	1.153	4.5	104.440	106.878	(2.438)	(2.3)
Health and Welfare	90.161	91.283	(1.122)	(1.2)	16.173	14.560	1.613	10.0	106.334	105.843	0.492	0.5
OPEB Current Payment	32.378	31.999	0.379	1.2	0.000	0.000	0.000	-	32.378	31.999	0.379	1.2
Pensions	90.746	89.306	1.440	1.6	11.507	10.673	0.834	7.2	102.253	99.979	2.273	2.2
Other Fringe Benefits	103.928	105.394	(1.465)	(1.4)	12.526	11.544	0.982	7.8	116.455	116.938	(0.483)	(0.4)
Reimbursable Overhead	(66.635)	(64.755)	(1.881)	(2.8)	63.369	61.089	2.280	3.6	(3.266)	(3.666)	0.400	12.2
Total Labor	\$760.222	\$785.426	(\$25.204)	(3.3)	\$176.406	\$165.496	\$10.910	6.2	\$936.628	\$950.922	(\$14.294)	(1.5)
<i>Non-Labor:</i>												
Electric Power	\$60.911	\$59.663	\$1.248	2.0	\$0.002	\$0.337	(\$0.335)	*	\$60.914	\$60.001	\$0.913	1.5
Fuel	17.588	16.078	1.510	8.6	0.000	0.001	(0.001)	-	17.588	16.078	1.509	8.6
Insurance	13.376	13.465	(0.088)	(0.7)	3.161	2.567	0.594	18.8	16.537	16.031	0.506	3.1
Claims	0.937	1.873	(0.936)	(100.0)	0.000	0.000	0.000	-	0.937	1.873	(0.936)	(100.0)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	102.460	90.203	12.258	12.0	43.607	21.590	22.017	50.5	146.067	111.792	34.275	23.5
Professional Service Contracts	31.944	33.847	(1.903)	(6.0)	26.012	12.883	13.129	50.5	57.956	46.731	11.225	19.4
Materials & Supplies	83.977	92.100	(8.123)	(9.7)	47.500	14.152	33.348	70.2	131.477	106.252	25.225	19.2
Other Business Expenses	22.974	21.758	1.217	5.3	0.595	0.272	0.323	54.3	23.569	22.030	1.540	6.5
Total Non-Labor	\$334.167	\$328.986	\$5.181	1.6	\$120.878	\$51.802	\$69.077	57.1	\$455.045	\$380.787	\$74.257	16.3
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$1,094.389	\$1,114.411	(\$20.023)	(1.8)	\$297.284	\$217.298	\$79.986	26.9	\$1,391.673	\$1,331.709	\$59.964	4.3
Depreciation	204.749	192.314	12.435	6.1	0.000	0.000	0.000	-	204.749	192.314	12.435	6.1
OPEB Obligation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB68 Pension Adjustment	(2.542)	(3.390)	0.849	33.4	0.000	0.000	0.000	-	(2.542)	(3.390)	0.849	33.4
Environmental Remediation	3.301	2.890	0.411	12.4	0.000	0.000	0.000	-	3.301	2.890	0.411	12.4
GASB75 Adjustment	0.276	(1.042)	1.318	*	0.000	0.000	0.000	-	0.276	(1.042)	1.318	*
Total Expenses	\$1,300.173	\$1,305.184	(\$5.010)	(0.4)	\$297.284	\$217.298	\$79.986	26.9	\$1,597.458	\$1,522.482	\$74.976	4.7
Net Surplus/(Deficit)	(\$618.951)	(\$630.574)	(\$11.623)	(1.9)	\$0.000	\$0.000	(\$0.000)	-	(\$618.951)	(\$630.574)	(\$11.623)	(1.9)
<i>Cash Conversion Adjustments:</i>												
Depreciation	204.749	192.314	(12.435)	(6.1)	0.000	0.000	0.000	-	204.749	192.314	(12.435)	(6.1)
Operating/Capital	(61.669)	(45.860)	15.809	25.6	0.000	0.000	0.000	-	(61.669)	(45.860)	15.809	25.6
Other Cash Adjustments	(1.916)	(0.380)	1.536	80.2	0.000	0.000	0.000	-	(1.916)	(0.380)	1.536	80.2
Total Cash Conversion Adjustments	\$141.165	\$146.074	\$4.910	3.5	\$0.000	\$0.000	\$0.000	-	\$141.165	\$146.074	\$4.910	3.5
Net Cash Surplus/(Deficit)	(\$477.787)	(\$484.500)	(\$6.713)	(1.4)	\$0.000	\$0.000	(\$0.000)	-	(\$477.787)	(\$484.500)	(\$6.713)	(1.4)

Notes:

-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
October 2019
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast				Year to Date vs. Mid-Year Forecast			
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance		
		\$	%		\$	%			
OTHER OPERATING REVENUE	Non-Reimb	\$0.379	8.0%	Timing of net GCT retail income partially offset by lower advertising revenue due to a reduced MNR allocation of the overall MTA contracted advertising revenue.	(\$1.922)	(3.9%)			
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$1.850)	(6.1%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.	(\$79.986)	(26.9%)	Lower reimbursements reflect scheduling and timing changes in capital project expenditures.		
PAYROLL	Non-Reimb	(\$6.318)	(14.0%)	Catch-up for 2018 and 2019 Retroactive Wage Adjustment (RWA) accruals, the timing of retiree payouts, and temporary transfer of costs from Hurricane Sandy Infrastructure Restoration Projects to Non-Reimbursable, which will be billed back to Capital Projects as a result of the establishment of funding for the second phase of the project.	(\$18.963)	(4.4%)	Catch-up for 2018 and 2019 Retroactive Wage Adjustment (RWA) accruals for pending union agreements as well as higher than reserved RWA payments, reallocation of forces to operations coverage due to the rescheduling of capital projects and the timing of retiree payouts.		
	Reimb	(\$0.137)	(2.8%)		\$4.047	8.6%		Reflects primarily lower activity on the Connecticut Track Program and Power Infrastructure Restoration Project partially offset by increased activity on Catenary C1A & C2 Replacement and Cos Cob Bridge Mitre Rail Replacement Projects.	
OVERTIME	Non-Reimb	(\$2.417)	(33.2%)	See overtime tables.	(\$3.591)	(4.6%)	See overtime tables.		
	Reimb	(\$0.585)	(24.6%)	See overtime tables.	\$1.153	4.5%	See overtime tables.		
HEALTH AND WELFARE	Non-Reimb	\$1.500	15.8%	Primarily reflects lower than forecasted rates partially offset by higher labor costs.	(\$1.122)	(1.2%)	Reflects primarily lower activity on the Connecticut Track Program, Moodna-Woodbury Viaduct, Communications & Signal Infrastructure Restoration and Cyclical Replacement Insulated Joint Projects partially offset by increased activity on Cos Cob Bridge Mitre Rail Replacement Project.		
	Reimb	(\$0.098)	(6.0%)	Reflects primarily higher activity on the Connecticut Track Program and Catenary C1A & C2 Replacement Project.	\$1.613	10.0%			
OPEB CURRENT PAYMENT	Non-Reimb	(\$0.215)	(6.5%)	Primarily due to timing.	\$0.379	1.2%			
	Reimb								
PENSIONS	Non-Reimb	\$0.545	5.7%	Primarily reflects lower than forecasted rates partially offset by higher labor costs.	\$1.440	1.6%	Reflects primarily lower activity on the Connecticut Track Program and Power Infrastructure Restoration Project partially offset by increased activity on Catenary C1A & C2 Replacement and Cos Cob Bridge Mitre Rail Replacement Projects.		
	Reimb	(\$0.095)	(8.2%)	Reflects primarily higher activity on the Connecticut Track Program and Catenary C1A & C2 Replacement Project.	\$0.834	7.2%			

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
October 2019
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast				Year to Date vs. Mid-Year Forecast			
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance		
		\$	%		\$	%			
OTHER FRINGE BENEFITS	Non-Reimb	(\$0.986)	(9.2%)	Primarily reflects higher labor costs than forecasted partially offset by lower employee claims.	(\$1.465)	(1.4%)	Reflects primarily lower activity on the Connecticut Track Program partially offset by increased activity on Cos Cob Bridge Mitre Rail Replacement and Catenary C1A & C2 Replacement Projects.		
	Reimb	(\$0.112)	(9.0%)	Reflects primarily higher activity on the Connecticut Track Program and Catenary C1A & C2 Replacement Project partially offset by lower than forecast activity on Hudson Line Power and Signal Restoration Project.	\$0.982	7.8%			
REIMBURSABLE OVERHEAD	Non-Reimb	\$1.381	20.8%	The non-reimbursable and reimbursable variances reflect higher activity for several projects.	(\$1.881)	(2.8%)			
	Reimb	(\$1.341)	(21.4%)		\$2.280	3.6%			
FUEL	Non-Reimb	\$0.273	15.2%	Primarily due to lower diesel fuel price per gallon.	\$1.510	8.6%	Primarily due to lower diesel fuel price per gallon.		
INSURANCE	Reimb	\$0.018	5.8%	Reflects temporary transfer of costs from Hurricane Sandy Infrastructure Restoration Projects to Non-Reimbursable. Expenses will be billed back to Capital Projects as a result of the establishment of funding for the second phase of the project.	\$0.594	18.8%	Reflects lower activity on the Connecticut Track Program and Moodna-Woodbury Viaduct Project partially offset by increased activity on the Cyclical Track Program.		
CLAIMS	Non-Reimb	(\$0.954)	*	Reflects a higher passenger claims provision than forecasted.	(\$0.936)	(100.0%)	Reflects a higher passenger claims provision than forecasted.		
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$0.334	3.6%	Reflects lower activity on the Maybrook Trailway Project (actuals are in Professional Services) and Signal Replacement from Greenwich to South Norwalk Project due to the timing of work and billing partially offset by higher activity on the Cyclical Track Program.	\$12.258	12.0%	Reflects the timing of BL-20 Locomotive Overhauls and milestone payments for Bridgeport Derailment M-8 repairs as well as lower than anticipated expenses for miscellaneous maintenance and operating contracts.		
	Reimb	\$3.950	64.0%		\$22.017	50.5%		Reflects lower activity and timing of invoices on the Maybrook Trailway Project (actuals are in Professional Services) and Signal Replacement from Greenwich to South Norwalk Project and a forecasting error for the Transformer Rehabilitation Project (to be corrected in the November Financial Plan) partially offset by higher activity on Positive Train Control (CT) (budget in Professional Services) and Hot Bearing and Wheel Impact Projects.	
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$0.542	16.0%	Lower than anticipated consulting and engineering services partially offset by higher run rate for New Haven Line MTA IT allocations.	(\$1.903)	(6.0%)	Primarily due to true-up for 2018 and 2019 New Haven Line MTA IT allocations partially offset by lower than anticipated consulting and engineering services.		
	Reimb	(\$1.481)	(55.9%)	Reflects higher activity on Maybrook Trailway Project (budget in Maintenance Services) partially offset by timing of Connecticut Positive Train Control Project.	\$13.129	50.5%	Reflects timing of Connecticut Positive Train Control Project and a delayed start date for Sasco Creek Traction Power Supply Station Project partially offset by the transfer of Maybrook Trailway Project expense from Operating Capital (budget in Maintenance Services).		

MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 October 2019
 (\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	Current Month vs. Mid-Year Forecast			Year to Date vs. Mid-Year Forecast		
		Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
		\$	%		\$	%	
MATERIALS AND SUPPLIES	Non-Reimb	\$0.259	3.1%	Reflects lower activity on Waterbury Branch Cab Signal Project partially offset by higher activity on the Harmon Shop Replacement - Phase Five Project.	(\$8.123)	(9.7%)	Primarily due to higher usage for Reliability Centered Maintenance (RCM) Programs as well as rolling stock and infrastructure repairs along with increased obsolete material reserves and other inventory adjustments. Reflects lower activity on the Waterbury Branch Cab Signal Project and a forecasting error for the East of Hudson Power Rehabilitation Project (to be corrected in the November Financial Plan) as well as lower activity on Turnouts: Mainline High Speed Interlocking Replacement and Harmon Shop Replacement - Phase Five Projects.
	Reimb	\$1.708	45.9%		\$33.348	70.2%	
OTHER BUSINESS EXPENSES	Non-Reimb	(\$0.105)	(4.8%)	Reflects primarily lower activity on the Maybrook Trailway Project.	\$1.217	5.3%	Primarily due to higher Amtrak recoveries as well as lower print and stationary and other miscellaneous expenses. Reflects primarily lower activity on the Maybrook Trailway Project.
	Reimb	\$0.023	36.2%		\$0.323	54.3%	
DEPRECIATION	Non-Reimb	\$1.475	7.1%	Reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.	\$12.435	6.1%	Reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use.
GASB68 PENSION ADJUSTMENT	Non-Reimb	\$0.000	-	Reflects adjustments to account for MNR's net pension liability.	\$0.849	33.4%	Reflects adjustments to account for MNR's net pension liability.
ENVIRONMENTAL REMEDIATION	Non-Reimb	(\$0.038)	(10.9%)	Reflects timing of projects requiring remediation.	\$0.411	12.4%	Reflects timing of projects requiring remediation.
GASB75 ADJUSTMENT	Non-Reimb	\$0.000	-	Reflects adjustments to account for MNR's net OPEB (Other Post Employment Benefits) liability.	\$1.318	*	Reflects adjustments to account for MNR's net OPEB (Other Post Employment Benefits) liability.
OPERATING CAPITAL	Non-Reimb	(\$2.602)	(43.6%)	Reflects timing primarily for the following projects: West of Hudson Camera Installation, GP-35 Locomotive Overhauls, and Renovation of the GCT Training Facility partially offset by the Upper Harlem Pole Replacement.	\$15.809	25.6%	Reflects timing primarily in the following projects: Track Geometry Car Purchase, GCT Station Master's Office Design & Reconfiguration, Upper Harlem Pole Replacement, Replacement of GCT Escalators, GCT Exhaust Duct Repair and the Centralized Traffic Control System Upgrade.

* Variance exceeds 100%.

MTA Metro-North Railroad
July Financial Plan - 2019 Mid-Year Forecast
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	October						Year To Date(October)					
	Mid-Year Forecast		Actual		Var. - Fav/(Unfav)		Mid-Year Forecast		Actual		Var. - Fav/(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u> ¹	45,783	\$ 2.782	48,269	\$ 2.979	(2,486)	(\$0.196)	521,549	\$ 31.447	478,907	\$ 28.835	42,642	\$2.613
					-5.4%	-7.1%					8.2%	8.3%
<u>Unscheduled Service</u>	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
<u>Programmatic/Routine Maintenance</u>	51,049	\$ 3.094	65,887	\$ 3.819	(14,838)	(\$0.725)	471,365	\$ 28.268	543,279	\$ 31.260	(71,913)	(\$2.991)
					-29.1%	-23.4%					-15.3%	-10.6%
<u>Unscheduled Maintenance</u>	0	\$ -	0	\$ -	-	\$0.000	4,279	\$ 0.244	11	\$ 0.001	4,269	\$0.243
					0.0%	0.0%					99.8%	99.8%
<u>Vacancy/Absentee Coverage</u> ²	21,529	\$ 1.222	30,679	\$ 1.674	(9,150)	(\$0.451)	245,335	\$ 13.970	273,238	\$ 14.981	(27,903)	(\$1.011)
					-42.5%	-36.9%					-11.4%	-7.2%
<u>Weather Emergencies</u>	2,941	\$ 0.188	3,747	\$ 0.222	(806)	(\$0.034)	96,593	\$ 5.678	81,356	\$ 4.591	15,237	\$1.087
					-27.4%	-18.1%					15.8%	19.1%
<u>Safety/Security/Law Enforcement</u> ³	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -	0	\$ -
<u>Other</u>	0	\$ -	8	\$ 1.010	(8)	(\$1.010)	11	\$ (0.858)	63	\$ 2.674	(52)	(\$3.532)
Subtotal	121,301	\$ 7.287	148,590	\$ 9.704	(27,288)	(\$2.417)	1,339,133	\$ 78.749	1,376,854	\$ 82.341	(37,720)	(\$3.591)
					-22.5%	-33.2%					-2.8%	-4.6%
REIMBURSABLE OVERTIME	39,309	\$ 2.379	53,805	\$ 2.964	(14,496)	(\$0.585)	426,342	\$ 25.691	411,962	\$ 24.537	14,379	\$1.153
					-36.9%	-24.6%					3.4%	4.5%
TOTAL OVERTIME	160,610	\$ 9.666	202,394	\$ 12.668	(41,784)	(\$3.002)	1,765,475	\$ 104.440	1,788,816	\$ 106.878	(23,341)	(\$2.438)
					-26.0%	-31.1%					-1.3%	-2.3%

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

² Excludes T&E crew coverage (included in Scheduled Service category).

³ Not Applicable.

MTA Metro-North Railroad
July Financial Plan - 2019 Mid-Year Forecast
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	October			Year To Date(October)		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u> ¹	(2,486)	(\$0.196)	Temporary transfer of costs from Hurricane Sandy Infrastructure Restoration Projects to Non-Reimbursable that will be billed back to Capital Projects as a result of the establishment of funding for the second phase of the project as well as additional service provided for Yankee Stadium post season activity.	42,642	\$2.613	Increased employee availability based upon lower relief day coverage due to lower unplanned absences.
	-5.4%	-7.1%		8.2%	8.3%	
<u>Unscheduled Service</u>	0	\$ -		0	\$ -	
<u>Programmatic/Routine Maintenance</u>	(14,838)	(\$0.725)	Primarily due to higher Reliability Centered Maintenance (RCM) and rolling stock running repairs of \$0.4M and higher infrastructure repairs of \$0.3M.	(71,913)	(\$2.991)	Primarily due to higher Reliability Centered Maintenance (RCM) and rolling stock running repairs of \$2.0M and higher infrastructure repairs of \$1.1M.
	-29.1%	-23.4%		-15.3%	-10.6%	
<u>Unscheduled Maintenance</u>	0	\$0.000	Fewer than anticipated unscheduled maintenance events.	4,269	\$0.243	Fewer than anticipated unscheduled maintenance events.
	0.0%	0.0%		99.8%	99.8%	
<u>Vacancy/Absentee Coverage</u> ²	(9,150)	(\$0.451)	Higher required vacancy coverage in Maintenance of Way, Customer Service and Maintenance of Equipment.	(27,903)	(\$1.011)	Higher required vacancy coverage for must fill jobs in Customer Service, Transportation, Maintenance of Equipment and Maintenance of Way.
	-42.5%	-36.9%		-11.4%	-7.2%	
<u>Weather Emergencies</u>	(806)	(\$0.034)	Slightly more weather events than forecasted.	15,237	\$1.087	Fewer weather events than forecasted partially offset by timing of Retroactive Wage Adjustment (RWA) payments.
	-27.4%	-18.1%		15.8%	19.1%	
<u>Safety/Security/Law Enforcement</u> ³	0	\$ -		0	\$ -	
<u>Other</u>	(8)	(\$1.010)	Primarily due to catch-up for 2018 and 2019 Retroactive Wage Adjustment (RWA) accruals.	(52)	(\$3.532)	Catch-up for 2018 and 2019 Retroactive Wage Adjustment (RWA) accruals as well as timing of RWA payments, temporary transfer of costs from Hurricane Sandy Infrastructure Restoration Projects to Non-Reimbursable that will be billed back to Capital Projects as a result of the establishment of funding for the second phase of the project, and timing differences for payroll and calendar cutoff dates.
Subtotal	(27,288)	(\$2,417)		(37,720)	(\$3,591)	
	-22.5%	-33.2%		-2.8%	-4.6%	
REIMBURSABLE OVERTIME	(14,496)	(\$0.585)	Higher activity in the Connecticut Track Program focusing on the Danbury and Waterbury branches, an accelerated work schedule due to a revised contract completion date for the Catenary C1A & C2 Replacement Project, and higher Track Department costs for the Turnouts: Mainline High Speed Interlocking Project due to track availability issues.	14,379	\$1.153	Reflects primarily lower activity in the Connecticut Track Program as the majority of the Track Departments 2019 effort to date has been concentrated in New York.
	-36.9%	-24.6%		3.4%	4.5%	
TOTAL OVERTIME	(41,784)	(\$3,002)		(23,341)	(\$2,438)	

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

^{*} Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

² Excludes T&E crew coverage (included in Scheduled Service category)

³ Not Applicable

**MTA METRO-NORTH RAILROAD
2019 Overtime Report
Overtime Legend**

REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not resulting from extraordinary events</u> , including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Includes overtime coverage for clerical, administrative positions that are eligible for overtime.
<i>Reimbursable Overtime</i>	Overtime incurred to support projects that are reimbursed from the MTA Capital Program and other funding sources.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

SCHEDULE III

	OCTOBER 2019				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Receipts	\$66.133	\$65.956	(\$0.177)	(0.3)	\$624.360	\$618.361	(\$5.999)	(1.0)
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	6.368	4.841	(1.527)	(24.0)	91.845	94.441	2.596	2.8
<i>Capital & Other Reimbursements:</i>								
MTA	14.076	17.357	3.281	23.3	146.851	138.743	(8.108)	(5.5)
CDOT	13.701	7.095	(6.606)	(48.2)	127.797	77.644	(50.153)	(39.2)
Other	4.118	2.458	(1.660)	(40.3)	27.019	20.236	(6.783)	(25.1)
Total Capital and Other Reimbursements	31.896	26.910	(4.986)	(15.6)	301.668	236.623	(65.045)	(21.6)
Total Receipts	\$104.396	\$97.707	(\$6.689)	(6.4)	\$1,017.873	\$949.425	(\$68.448)	(6.7)
Expenditures								
<i>Labor:</i>								
Payroll	\$53.654	\$51.804	\$1.850	3.4	\$486.654	\$500.928	(\$14.274)	(2.9)
Overtime	10.713	12.217	(1.504)	(14.0)	107.767	106.190	1.577	1.5
Health and Welfare	12.132	14.357	(2.225)	(18.3)	115.273	120.563	(5.290)	(4.6)
OPEB Current Payment	3.311	3.174	0.137	4.1	32.678	32.123	0.555	1.7
Pensions	10.691	10.386	0.305	2.9	104.201	103.194	1.007	1.0
Other Fringe Benefits	12.778	9.248	3.530	27.6	118.364	125.409	(7.045)	(6.0)
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor	\$103.279	\$101.186	\$2.093	2.0	\$964.936	\$988.407	(\$23.471)	(2.4)
<i>Non-Labor:</i>								
Electric Power	\$6.131	\$6.857	(\$0.726)	(11.8)	\$62.797	\$65.611	(\$2.814)	(4.5)
Fuel	1.764	1.566	0.198	11.2	16.580	15.912	0.668	4.0
Insurance	2.362	4.753	(2.391)	*	12.380	14.515	(2.135)	(17.2)
Claims	0.107	1.157	(1.050)	*	19.501	20.701	(1.200)	(6.2)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	14.777	17.665	(2.888)	(19.5)	178.369	133.502	44.867	25.2
Professional Service Contracts	4.781	10.119	(5.338)	*	59.567	41.207	18.360	30.8
Materials & Supplies	13.692	13.190	0.502	3.7	144.861	124.162	20.699	14.3
Other Business Expenditures	4.175	1.015	3.160	75.7	36.667	29.908	6.759	18.4
Total Non-Labor	\$47.789	\$56.322	(\$8.533)	(17.9)	\$530.723	\$445.518	\$85.205	16.1
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$151.068	\$157.508	(\$6.440)	(4.3)	\$1,495.660	\$1,433.925	\$61.735	4.1
Net Cash Deficit (excludes Opening Cash Balance)	(\$46.671)	(\$59.801)	(\$13.130)	(28.1)	(\$477.787)	(\$484.500)	(\$6.713)	(1.4)
Subsidies								
MTA	37.179	47.543	10.364	27.9	371.116	375.092	3.976	1.1
CDOT	9.492	15.140	5.648	59.5	107.785	112.539	4.754	4.4
Total Subsidies	\$46.671	\$62.683	\$16.012	34.3	\$478.901	\$487.631	\$8.730	1.8
Cash Timing and Availability Adjustment	\$0.000	(\$5.109)	(\$5.109)	-	\$0.000	(\$3.130)	(\$3.130)	-

Notes:

-- Results are preliminary and subject to audit review.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENT)
(\$ in millions)

	OCTOBER 2019				Year-to-Date			
	Mid-Year Forecast	Favorable (Unfavorable)			Mid-Year Forecast	Favorable (Unfavorable)		
		Actual	Variance	Percent		Actual	Variance	Percent
Receipts								
Farebox Revenue	(\$0.881)	(\$0.252)	\$0.629	71.4	(\$7.726)	(\$9.035)	(\$1.309)	(16.9)
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	1.610	(0.297)	(1.906)	*	42.710	47.228	4.518	10.6
<i>Capital & Other Reimbursements:</i>								
MTA	1.463	5.789	4.327	*	3.005	24.549	21.544	*
CDOT	0.000	(4.708)	(4.708)	-	0.913	(6.711)	(7.623)	*
Other	0.000	(2.755)	(2.755)	-	0.465	1.487	1.022	*
Total Capital and Other Reimbursements	1.463	(1.674)	(3.136)	*	4.383	19.325	14.942	*
Total Revenue/Receipts	\$2.192	(\$2.222)	(\$4.414)	*	\$39.367	\$57.518	\$18.151	46.1
Expenditures								
<i>Labor:</i>								
Payroll	(\$3.718)	\$4.586	\$8.304	*	(\$8.618)	(\$7.976)	\$0.642	7.5
Overtime	(1.047)	0.451	1.498	*	(3.327)	0.688	4.014	*
Health and Welfare	(1.042)	(4.669)	(3.627)	*	(8.939)	(14.720)	(5.781)	(64.7)
OPEB Current Payment	0.000	0.352	0.000	-	(0.300)	(0.124)	0.176	58.6
Pensions	(0.011)	(0.156)	(0.145)	*	(1.948)	(3.215)	(1.266)	(65.0)
Other Fringe Benefits	(0.764)	3.864	4.628	*	(1.909)	(8.471)	(6.562)	*
GASB Account	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Reimbursable Overhead	(0.372)	(0.413)	(0.040)	(10.8)	(3.266)	(3.666)	(0.400)	(12.2)
Total Labor	(\$6.954)	\$4.016	\$10.970	*	(\$28.308)	(\$37.485)	(\$9.177)	(32.4)
<i>Non-Labor:</i>								
Electric Power	(\$0.154)	(\$0.892)	(\$0.738)	*	(\$1.884)	(\$5.610)	(\$3.727)	*
Fuel	0.041	(0.035)	(0.075)	*	1.008	0.166	(0.842)	(83.5)
Insurance	(0.712)	(3.122)	(2.409)	*	4.157	1.516	(2.641)	(63.5)
Claims	0.000	(0.096)	(0.096)	-	(18.565)	(18.828)	(0.263)	(1.4)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	0.696	(6.476)	(7.172)	*	(32.302)	(21.710)	10.592	32.8
Professional Service Contracts	1.265	(3.134)	(4.399)	*	(1.612)	5.524	7.135	*
Materials & Supplies	(1.560)	(3.025)	(1.465)	(93.9)	(13.384)	(17.910)	(4.526)	(33.8)
Other Business Expenses	(1.950)	1.291	3.242	*	(13.097)	(7.878)	5.219	39.8
Total Non-Labor	(\$2.375)	(\$15.488)	(\$13.113)	*	(\$75.678)	(\$64.731)	\$10.948	14.5
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures Adjustments before Non-Cash Liability Adjs.	(\$9.329)	(\$11.472)	(\$2.142)	(23.0)	(\$103.987)	(\$102.216)	\$1.771	1.7
Depreciation	20.879	19.403	(1.475)	(7.1)	204.749	192.314	(12.435)	(6.1)
OPEB Obligation	0.000	0.000	0.000	-	0.000	0.000	0.000	-
GASB68 Pension Adjustment	0.000	0.000	0.000	-	(2.542)	(3.390)	(0.849)	33.4
Environmental Remediation	0.350	0.388	0.038	10.9	3.301	2.890	(0.411)	12.4
GASB75 Adjustment	0.000	0.000	0.000	-	0.276	(1.042)	(1.318)	*
Total Expenditures Adjustments	\$11.899	\$8.319	(\$3.580)	(30.1)	\$101.798	\$88.557	(\$13.242)	(13.0)
Total Cash Conversion Adjustments	\$14.091	\$6.097	(\$7.993)	(56.7)	\$141.165	\$146.074	\$4.910	3.5

Notes:
-- Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

-- Differences are due to rounding.

* Variance exceeds 100%.

MTA METRO-NORTH RAILROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 CASH RECEIPTS AND EXPENDITURES
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 (\$ in millions)

Generic Receipt or Expense Category	October Month vs Mid-Year Forecast			Year-To-Date as of October 31st, 2019		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
OTHER OPERATING REVENUE	(1.527)	(24.0%)	Primarily reflects timing of MTA-LaSalle charges and advertising revenues partially offset by the timing of trackage rights reimbursement.	2.596	2.8%	
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	3.281	23.3%	Primarily reflects higher capital related project activity combined with higher cash receipts than forecasted.	(8.108)	(5.5%)	Primarily reflects lower capital related project activity partially offset by higher cash receipts than forecasted.
CDOT	(6.606)	(48.2%)	Primarily reflects lower cash receipts than forecasted combined with lower capital related project activity.	(50.153)	(39.2%)	Primarily reflects lower capital related project activity combined with lower cash receipts than forecasted.
OTHER	(1.660)	(40.3%)	Primarily reflects lower reimbursable related project activity partially offset by higher cash receipts than forecasted.	(6.783)	(25.1%)	Primarily reflects lower reimbursable related project activity partially offset by higher cash receipts than forecasted.
PAYROLL	1.850	3.4%	Primarily reflects the timing of remittance payments for the employee portion of withheld payroll taxes partially offset by inter-agency payroll.	(14.274)	(2.9%)	
OVERTIME	(1.504)	(14.0%)	Primarily reflects higher Reliability Centered Maintenance (RCM), rolling stock running repairs, infrastructure repairs, capital related projects and required vacancy coverage for must fill jobs in Maintenance of Way, Customer Service and Maintenance of Equipment.	1.577	1.5%	
HEALTH & WELFARE	(2.225)	(18.3%)	Primarily reflects timing of premium payments for Dental & Vision insurance for employees.	(5.290)	(4.6%)	Primarily reflects timing of premium payments for Dental & Vision insurance for employees.
OTHER FRINGE BENEFITS	3.530	27.6%	Primarily reflects timing of payroll taxes.	(7.045)	(6.0%)	Primarily reflects timing of payroll taxes, inter-agency payroll and higher employee claims.
ELECTRIC POWER	(0.726)	(11.8%)	Primarily reflects timing of payments.	(2.814)	(4.5%)	
FUEL	0.198	11.2%	Primarily reflects lower diesel fuel price per gallon than forecasted partially offset by timing of payments.	0.668	4.0%	
INSURANCE	(2.391)	*	Reflects timing of insurance premiums for All Agency Property, Force Account and Station Liability.	(2.135)	(17.2%)	Reflects timing of insurance premiums for Force Account and Station Liability.
CLAIMS	(1.050)	*	Reflects timing of payments for passenger injury settlements.	(1.200)	(6.2%)	Reflects timing of payments for passenger injury settlements.

MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
(\$ in millions)

Generic Receipt or Expense Category	October Month vs Mid-Year Forecast			Year-To-Date as of October 31st, 2019		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	(2.888)	(19.5%)	Primarily reflects timing of MTA Police and Real Estate Management Services partially offset by capital related projects (Maybrook Trailway (actuals in Professional Service Contracts), Upper Harlem Pole Replacement and Signal Replacement - Greenwich to South Norwalk).	44.867	25.2%	Primarily reflects the timing of capital related projects (Maybrook Trailway (actuals in Professional Service Contracts), GCT Station Master's Office Design & Reconfiguration, Upper Harlem Pole Replacement, Signal Replacement - Greenwich to South Norwalk and GCT Escalator Replacement), a forecasting error in the Transformer Rehabilitation (to be corrected in the November Financial Plan), payments for BL-20 Locomotive Overhauls, MTA Police Services, milestone payments for Bridgeport Derailment M-8 repairs and lower miscellaneous maintenance and operating contracts.
PROFESSIONAL SERVICE CONTRACTS	(5.338)	*	Primarily reflects timing of engineering services relating to Maybrook Trailway (forecast in Maintenance and Other Operating Contracts), legal fees and MTA Audit Fees.	18.360	30.8%	Primarily reflects the timing of engineering services relating to Connecticut Positive Train Control and Sasco Creek Traction Power Supply Station Project, timing of payments for NHL share of BSC/IT costs and lower than anticipated consulting and engineering services.
MATERIALS & SUPPLIES	0.502	3.7%	Primarily reflects the timing of the Waterbury Branch Cab Signal System Installation Project partially offset by higher activity on the Harmon Shop Replacement - Phase Five Project and materials placed into inventory.	20.699	14.3%	Primarily reflects timing on the Waterbury Branch Cab Signal System Installation Project, forecasting error for the East of Hudson Power Rehabilitation Project (to be corrected in the November Financial Plan), timing of Track Geometry Car, Turnouts: Mainline and High Speed Interlocking Replacement Projects and Harmon Shop Replacement Phase Five Projects partially offset by materials placed into inventory.
OTHER BUSINESS EXPENSES	3.160	75.7%	Primarily reflects timing of payments for New Jersey Transit Subsidy and lower Miscellaneous Expenses.	6.759	18.4%	Primarily reflects lower Miscellaneous Expenses as well as timing of New Jersey Transit subsidy payments.
MTA SUBSIDY RECEIPTS	10.364	27.9%	Primarily reflects higher cash deficit combined with available cash balance partially offset by higher CDOT subsidy.	3.976	1.1%	
CDOT SUBSIDY RECEIPTS	5.648	59.5%	Primarily reflects higher CDOT share of estimated deficit than forecasted combined with receipt of 2018 Final NHL Deficit.	4.754	4.4%	Primarily reflects timing of receipts of Admin Assets, 2018 inventory deposit and 2018 NHL deficit partially offset by lower CDOT share of estimated deficit.

* Variance exceeds 100%

MTA METRO-NORTH RAILROAD
 JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
 RIDERSHIP/UTILIZATION
 OCTOBER 2019
 (in millions)

	MONTH			VARIANCE			YTD			VARIANCE				
	MID-YEAR FORECAST	2019	2018 ^(A)	MID-YEAR FORECAST	2018		MID-YEAR FORECAST	2019	2018 ^(A)	MID-YEAR FORECAST	2018			
FAREBOX REVENUE														
<i>Harlem Line - Commutation</i>	9.982	9.828	9.604	(0.154)	-1.5%	0.224	2.3%	95.799	94.616	93.310	(1.183)	-1.2%	1.305	1.4%
<i>Harlem Line - Non-Commutation</i>	9.470	9.228	8.722	(0.242)	-2.6%	0.506	5.8%	86.444	85.327	81.669	(1.117)	-1.3%	3.658	4.5%
TOTAL HARLEM LINE	\$19.452	\$19.055	\$18.326	(\$0.396)	-2.0%	\$0.730	4.0%	\$182.242	\$179.943	\$174.979	(\$2.300)	-1.3%	\$4.963	2.8%
<i>Hudson Line - Commutation</i>	6.513	6.513	6.416	(0.000)	0.0%	0.097	1.5%	63.336	63.030	61.551	(0.306)	-0.5%	1.479	2.4%
<i>Hudson Line - Non-Commutation</i>	8.636	8.863	8.102	0.226	2.6%	0.761	9.4%	75.761	76.067	71.619	0.306	0.4%	4.449	6.2%
TOTAL HUDSON LINE	\$15.149	\$15.376	\$14.518	\$0.226	1.5%	\$0.858	5.9%	\$139.097	\$139.098	\$133.170	\$0.000	0.0%	\$5.927	4.5%
<i>New Haven Line - Commutation</i>	14.203	13.608	13.757	(0.594)	-4.2%	(0.149)	-1.1%	134.708	132.331	132.399	(2.378)	-1.8%	(0.068)	-0.1%
<i>New Haven Line - Non-Commutation</i>	17.125	17.083	16.672	(0.042)	-0.2%	0.412	2.5%	163.804	163.768	159.530	(0.035)	0.0%	4.238	2.7%
TOTAL NEW HAVEN LINE	\$31.328	\$30.691	\$30.429	(\$0.636)	-2.0%	\$0.263	0.9%	\$298.512	\$296.099	\$291.929	(\$2.413)	-0.8%	\$4.170	1.4%
<i>All Lines - Commutation</i>	30.697	29.949	29.777	(0.748)	-2.4%	0.172	0.6%	293.843	289.977	287.261	(3.866)	-1.3%	2.716	0.9%
<i>All Lines - Non-Commutation</i>	35.231	35.174	33.496	(0.058)	-0.2%	1.678	5.0%	326.009	325.162	312.818	(0.846)	-0.3%	12.344	3.9%
TOTAL EAST OF HUDSON LINES	\$65.929	\$65.123	\$63.273	(\$0.806)	-1.2%	\$1.850	2.9%	\$619.851	\$615.139	\$600.078	(\$4.713)	-0.8%	\$15.060	2.5%
<i>West of Hudson^(B)</i>	<u>1.085</u>	<u>\$1.085</u>	<u>\$0.878</u>	<u>0.001</u>	<u>0.0%</u>	<u>0.207</u>	<u>23.6%</u>	<u>\$12.235</u>	<u>\$12.257</u>	<u>\$11.861</u>	<u>0.022</u>	<u>0.2%</u>	<u>\$0.396</u>	<u>3.3%</u>
TOTAL FAREBOX REVENUE	\$67.013	\$66.208	\$64.151	(\$0.805)	-1.2%	\$2.057	3.2%	\$632.087	\$627.396	\$611.940	(\$4.691)	-0.7%	\$15.456	2.5%
RIDERSHIP														
<i>Harlem Line - Commutation</i>	1.560	1.536	1.557	(0.024)	-1.5%	(0.021)	-1.4%	14.084	13.883	14.013	(0.201)	-1.4%	(0.129)	-0.9%
<i>Harlem Line - Non-Commutation</i>	1.004	0.962	0.943	(0.042)	-4.2%	0.019	2.0%	9.127	8.991	8.875	(0.136)	-1.5%	0.116	1.3%
TOTAL HARLEM LINE	2.564	2.498	2.500	(0.066)	-2.6%	(0.002)	-0.1%	23.211	22.875	22.888	(0.336)	-1.4%	(0.014)	-0.1%
<i>Hudson Line - Commutation</i>	0.864	0.877	0.888	0.013	1.5%	(0.011)	-1.3%	7.965	7.970	7.918	0.006	0.1%	0.052	0.7%
<i>Hudson Line - Non-Commutation</i>	0.718	0.741	0.708	0.023	3.2%	0.033	4.7%	6.509	6.592	6.377	0.083	1.3%	0.214	3.4%
TOTAL HUDSON LINE	1.583	1.618	1.596	0.035	2.2%	0.022	1.4%	14.473	14.562	14.296	0.089	0.6%	0.266	1.9%
<i>New Haven Line - Commutation</i>	2.077	2.032	2.088	(0.045)	-2.2%	(0.056)	-2.7%	18.697	18.433	18.634	(0.264)	-1.4%	(0.201)	-1.1%
<i>New Haven Line - Non-Commutation</i>	1.568	1.572	1.554	0.004	0.2%	0.018	1.1%	15.125	15.163	14.898	0.037	0.2%	0.265	1.8%
TOTAL NEW HAVEN LINE	3.646	3.604	3.642	(0.041)	-1.1%	(0.038)	-1.0%	33.822	33.595	33.532	(0.227)	-0.7%	0.064	0.2%
Total Ridership East of Hudson	4.502	4.445	4.533	(0.056)	-1.3%	(0.088)	-1.9%	40.745	40.286	40.565	(0.459)	-1.1%	(0.278)	-0.7%
<i>All Lines - Commutation</i>	3.290	3.275	3.204	(0.015)	-0.5%	0.070	2.2%	30.761	30.746	30.151	(0.015)	0.0%	0.595	2.0%
<i>All Lines - Non-Commutation</i>	7.792	7.720	7.738	(0.072)	-0.9%	(0.018)	-0.2%	71.506	71.032	70.715	(0.474)	-0.7%	0.317	0.4%
TOTAL EAST OF HUDSON LINES	7.915	7.823	7.888	(0.091)	-1.2%	(0.065)	-0.8%	72.870	72.387	72.093	(0.483)	-0.7%	0.294	0.4%
<i>West of Hudson^(B)</i>	<u>0.123</u>	<u>0.103</u>	<u>0.150</u>	<u>(0.020)</u>	<u>-16.1%</u>	<u>(0.047)</u>	<u>-31.5%</u>	<u>1.364</u>	<u>1.355</u>	<u>1.378</u>	<u>(0.009)</u>	<u>-0.7%</u>	<u>(0.023)</u>	<u>-1.6%</u>
TOTAL EAST & WEST OF HUDSON LINES	7.915	7.823	7.888	(0.091)	-1.2%	(0.065)	-0.8%	72.870	72.387	72.093	(0.483)	-0.7%	0.294	0.4%

^(A) 2018 Ridership figures have been restated to simulate the 2019 calendar.

^(B) West of Hudson current year actuals are preliminary and prior year actuals are stated as received from New Jersey Transit.

MTA METRO-NORTH RAILROAD
2019 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
October 31, 2019

<u>Department</u>	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Notes
Administration				
President	3	3	-	
Labor Relations	14	13	1	
Safety	59	52	7	A
Security	24	20	4	A
Office of the Executive VP	9	7	2	
Corporate & Public Affairs	15	15	-	
Customer Service	60	59	1	
Legal	13	11	2	
Claims	10	7	3	
Human Resources	44	34	10	A
Training	85	85	-	
Employee Relations & Diversity	5	4	1	
VP Planning	2	2	-	
Operations Planning & Analysis	20	20	-	
Capital Planning & Programming	13	11	2	
Long Range Planning	8	7	1	
VP Finance & Info Systems	-	-	-	
Controller	72	69	3	
Budget	17	18	(1)	
Procurement & Material Mgmt	26	22	4	A
Total Administration	499	458	41	
Operations				
Operations Support	77	71	6	A, B
Transportation	1,659	1,658	1	
Customer Service	367	366	1	
Metro-North West	29	31	(2)	
Total Operations	2,132	2,127	5	
Maintenance				
Maintenance of Equipment	1,665	1,607	58	B
Maintenance of Way	2,124	2,113	11	B
Procurement & Material Mgmt	115	120	(5)	D
Total Maintenance	3,904	3,840	64	
Engineering/Capital				
Construction Management	38	36	2	
Engineering & Design	76	87	(11)	D
Total Engineering/Capital	114	123	(9)	
Total Positions	6,649	6,547	102	
Non-Reimbursable	5,968	5,902	65	
Reimbursable	681	645	36	
Total Full-Time	6,648	6,546	102	
Total Full-Time-Equivalents (of part-time positions)	1	1	-	

Notes

- (A) Variance reflects higher attrition than planned.
- (B) Variance reflects delayed hiring of vacant positions.
- (C) Variance reflects less attrition than planned.
- (D) Variance reflects earlier hiring of vacant positions.

MTA METRO-NORTH RAILROAD
2019 MID-YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
October 31, 2019

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance
Administration			
Managers/Supervisors	170	159	11
Professional, Technical, Clerical	329	299	30
Operational Hourlies	-	-	-
Total Administration	499	458	41
Operations			
Managers/Supervisors	263	237	26
Professional, Technical, Clerical	208	207	1
Operational Hourlies	1,661	1,683	(22)
Total Operations	2,132	2,127	5
Maintenance			
Managers/Supervisors	635	635	0
Professional, Technical, Clerical	476	466	10
Operational Hourlies	2,793	2,739	54
Total Maintenance	3,904	3,840	64
Engineering/Capital			
Managers/Supervisors	46	43	3
Professional, Technical, Clerical	68	80	(12)
Operational Hourlies	-	-	-
Total Engineering/Capital	114	123	(9)
Total Positions			
Managers/Supervisors	1,114	1,074	40
Professional, Technical, Clerical	1,081	1,051	30
Operational Hourlies	4,454	4,422	32
Total Positions	6,649	6,547	102

**MTA METRO-NORTH RAILROAD
2019 MID-YEAR FORECAST VS. ACTUALS
October 31, 2019**

<u>Agency-wide (Non-Reimbursable and Reimbursable)</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Explanation of Variances</u>
<i>Functional Classification:</i>				
Administration	499	458	41	Primarily reflects higher attrition than planned
Operations	2,132	2,127	5	Primarily reflects higher attrition than planned and delayed hiring of vacant positions
Maintenance	3,904	3,840	64	Primarily reflects delayed hiring of vacant positions
Engineering / Capital	114	123	(9)	Primarily reflects earlier hiring of vacant positions
Total Agency-wide Headcount	6,649	6,547	102	
Non-Reimbursable	5,968	5,902	66	
Reimbursable	681	645	36	

**MTA METRO-NORTH RAILROAD
JULY FINANCIAL PLAN - 2019 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS ^(A)
OCTOBER 2019**

	MONTH			VARIANCE	
	MYF	2019	2018	Fav/(Unfav)	
				MYF	2018
Farebox Operating Ratio					
Standard ^(B)	58.8%	54.6%	54.8%	-4.2%	-0.2%
Adjusted ^(C)	66.1%	61.8%	61.1%	-4.3%	0.7%
Cost per Passenger					
Standard ^(B)	\$14.39	\$15.49	\$14.88	(\$1.10)	(\$0.61)
Adjusted ^(C)	\$14.01	\$15.08	\$14.53	(\$1.07)	(\$0.55)
Passenger Revenue/Passenger	\$8.47	\$8.46	\$8.16	(\$0.00)	\$0.31
	YEAR-TO-DATE			VARIANCE	
	MYF	2019	2018	MYF	2018
Farebox Operating Ratio					
Standard ^(B)	56.3%	56.1%	55.1%	-0.2%	0.9%
Adjusted ^(C)	63.5%	63.1%	61.2%	-0.4%	1.9%
Cost per Passenger					
Standard ^(B)	\$15.41	\$15.46	\$15.40	(\$0.05)	(\$0.06)
Adjusted ^(C)	\$15.00	\$15.05	\$15.00	(\$0.05)	(\$0.05)
Passenger Revenue/Passenger	\$8.67	\$8.67	\$8.49	(\$0.01)	\$0.18

(A) Monthly Performance Indicators include both East and West of Hudson revenue and expenses.

(B) Standard Farebox Operating Ratio and Cost Per Passenger indicators reflect MTA-wide adopted calculations that exclude non-cash liability adjustments: Depreciation, Other Post Employment Benefits, Environmental Remediation (GASB-49), and the NHL share of MTA Police, Business Service Center and IT costs.

(C) Adjusted Fare Operating Ratio and Cost Per Passenger indicators have been adjusted for comparability between Metro-North and the LIRR and are being presented only at the railroad operating committees. These adjustments are not being used MTA-wide. Adjustments have been made to reflect all operating revenues and significant financial impacts that are outside management's control. These adjustments include: Inclusion of Other Operating Revenue, Removal of OPEB retiree expenses, and Inclusion of estimated farebox revenue from an equalization of the Connecticut fare structure.

MTA METRO-NORTH RAILROAD
MID-YEAR FORECAST AND NOVEMBER ESTIMATE vs. ACTUAL RESULTS (NON-REIMBURSABLE)
OCTOBER 2019 YEAR-TO-DATE
(\$ in millions)

	October Year-to-Date			Fav/(Unfav) Variance			
	Mid-Year Forecast	November Estimate	Actual	Mid-Year Forecast		November Estimate	
	\$	\$	\$	\$ Var	% Var	\$ Var	% Var
Total Revenue	681.2	678.0	674.6	(6.6)	(1.0)	(3.4)	(0.5)
Total Expenses before Non-Cash Liability Adjs	1,094.4	1,109.6	1,114.4	(20.0)	(1.8)	(4.8)	(0.4)
Depreciation	204.7	202.8	192.3	12.4	6.1	10.5	5.2
OPEB Obligation	(0.0)	(0.0)	-	(0.0)	100.0	(0.0)	100.0
GASB 68 Pension Adjustment	(2.5)	(2.8)	(3.4)	0.8	(33.4)	0.6	(21.5)
Environmental Remediation	3.3	3.2	2.9	0.4	12.4	0.3	10.7
GASB 75 OPEB Expense Adj	0.3	(0.7)	(1.0)	1.3	477.1	0.3	(40.2)
Total Expenses	1,300.2	1,312.1	1,305.2	(5.0)	(0.4)	6.9	0.5
Net Surplus/(Deficit)	(619.0)	(634.0)	(630.6)	(11.6)	(1.9)	3.5	0.5

Note: Totals may not add due to rounding

MTA METRO-NORTH RAILROAD
EXPLANATION OF VARIANCES BETWEEN NOVEMBER ESTIMATE AND ACTUAL RESULTS
NON-REIMBURSABLE
OCTOBER 2019 YEAR-TO-DATE
(\$ in millions)

	Favorable/(Unfavorable)		Variance Explanation
	<u>Variance</u>	<u>Percent</u>	
Total Revenue	(\$3.4)	(0.5)	Primarily due to lower ridership on the Harlem and New Haven Lines as well as lower advertising revenue.
Total Expenses	\$6.9	0.5	Primarily reflects lower capitalization of assets than forecasted due to timing differences in project completions and assets reaching beneficial use. This is partially offset by higher payroll expenses.

NOTE: Mid-Year Forecast vs. Actual Variance explanations are provided in the monthly report to the Finance Committee



Metro-North Railroad

Preliminary Ridership Report

Michael Shiffer

Vice President, Planning



Grand Central Terminal celebrates the holidays.

Photo courtesy of Linda Morris



Metro-North Railroad

December 2019 Highlights: Ridership Report

(Note: November West of Hudson data is preliminary)

Preliminary November 2019 vs. 2018

- Rail Ridership decreased 1.6% vs. November 2018 and was 3.8% below Forecast
 - Commutation ridership was 1.8% below 2018. This decrease was partially due to the impact of some monthly customers switching into weekly tickets, due to fewer workdays in November combined with the Thanksgiving Holiday.
 - Non-Commutation ridership decreased 1.5%
- East of Hudson ridership by line:
 - Hudson Line ridership decreased 1.5%
 - Harlem Line ridership decreased 1.2%
 - New Haven Line ridership decreased 1.9%

2019 vs. 2018 YTD

- Total YTD rail ridership is 0.2% above 2018 and 0.9% below Forecast
 - YTD Commutation ridership is 0.8% below 2018
 - YTD Non-Commutation ridership is 1.6% above 2018

Michael Shiffer
Vice President
Planning

**PRELIMINARY NOVEMBER 2019 RIDERSHIP & REVENUE REPORT
MTA METRO-NORTH RAILROAD**

**RIDERSHIP SUMMARY
Preliminary November Ridership and Revenue (millions)**

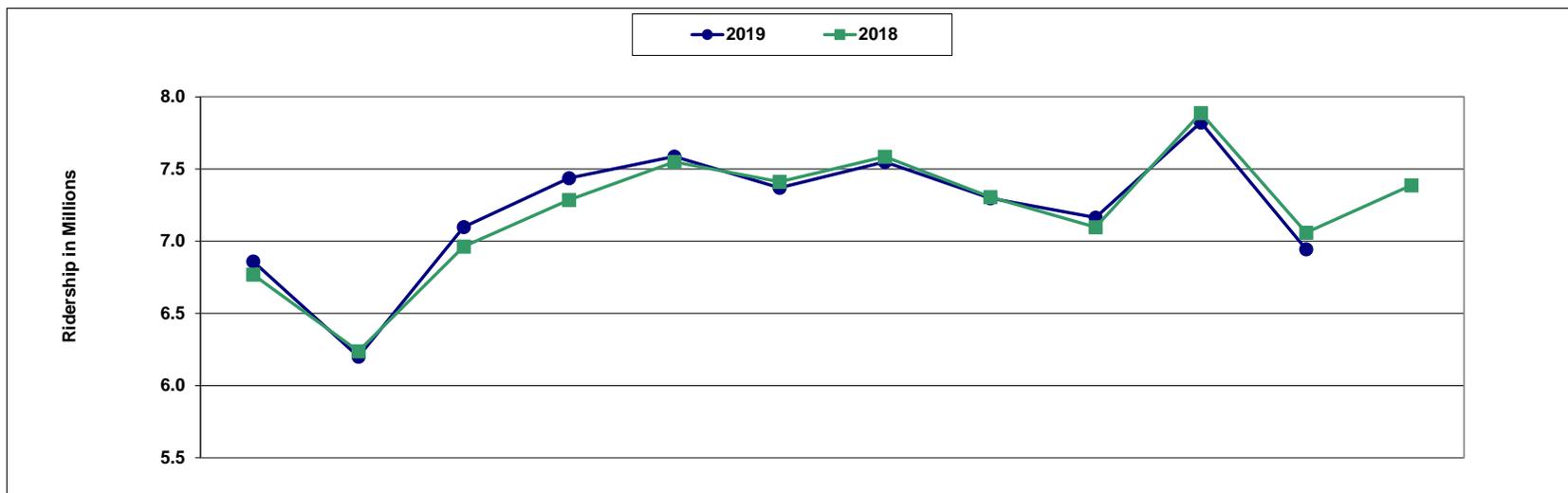
	November 2019	% Change vs. 2018
Total Rail Ridership	6.945	-1.6% ▼
Commutation Ridership	3.749	-1.8% ▼
Non-Commutation Ridership	3.196	-1.5% ▼
Connecting Service Ridership	0.046	-0.7% ▼
Total MNR System Ridership	6.991	-1.6% ▼
Rail Revenue	\$64.1	+0.6% ▲

Year-to-Date to November Ridership and Revenue (millions)

	YTD 2019	% Change vs. 2018	Comparison to Forecast
Total Rail Ridership	79.332	+0.2% ▲	-0.9% ▼
Commutation Ridership	44.782	-0.8% ▼	-1.3% ▼
Non-Commutation Ridership	34.550	+1.6% ▲	-0.5% ▼
Connecting Service Ridership	0.553	+3.2% ▲	+1.5% ▲
Total MNR System Ridership	79.885	+0.2% ▲	-0.9% ▼
Rail Revenue	\$691.5	+2.3% ▲	-1.1% ▼

PRELIMINARY NOVEMBER RAIL RIDERSHIP (1)

• November's Total Rail Ridership was 1.6% below 2018 and 3.8% below forecast.

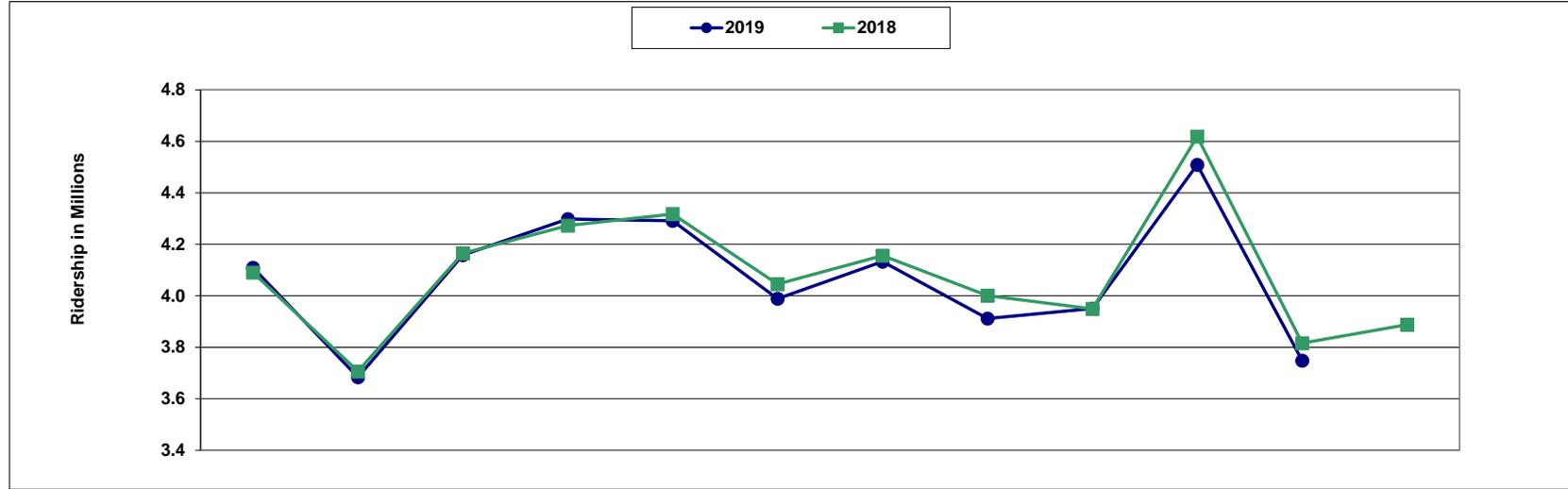


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	6.9	6.2	7.1	7.4	7.6	7.4	7.6	7.3	7.2	7.8	6.9		79.3
2018	6.8	6.2	7.0	7.3	7.5	7.4	7.6	7.3	7.1	7.9	7.1	7.4	79.2
PCT CHG.	1.4%	-0.6%	1.9%	2.1%	0.5%	-0.6%	-0.5%	-0.1%	1.0%	-0.8%	-1.6%		0.2%

1) Includes East and West of Hudson.

PRELIMINARY NOVEMBER RAIL COMMUTATION RIDERSHIP (1)

• November's Rail Commutation Ridership was 1.8% below 2018 and 3.0% below forecast.

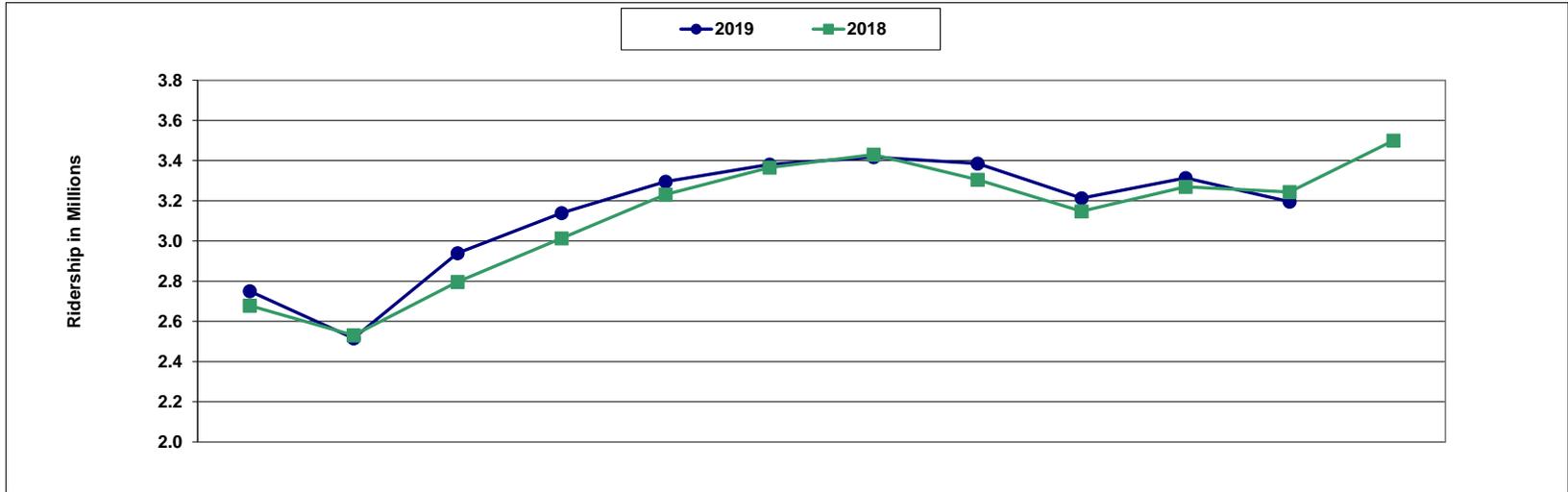


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	4.1	3.7	4.2	4.3	4.3	4.0	4.1	3.9	4.0	4.5	3.7		44.8
2018	4.1	3.7	4.2	4.3	4.3	4.0	4.2	4.0	3.9	4.6	3.8	3.9	45.1
PCT CHG.	0.5%	-0.6%	-0.2%	0.6%	-0.6%	-1.4%	-0.6%	-2.2%	0.0%	-2.4%	-1.8%		-0.8%

1) Includes East and West of Hudson.

PRELIMINARY NOVEMBER RAIL NON-COMMUTATION RIDERSHIP (1)

• November's Rail Non-Commutation Ridership was 1.5% below 2018 and 4.7% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	2.8	2.5	2.9	3.1	3.3	3.4	3.4	3.4	3.2	3.3	3.2		34.5
2018	2.7	2.5	2.8	3.0	3.2	3.4	3.4	3.3	3.1	3.3	3.2	3.5	34.0
PCT CHG.	2.7%	-0.6%	5.1%	4.2%	2.0%	0.4%	-0.4%	2.4%	2.1%	1.4%	-1.5%		1.6%

1) Includes East and West of Hudson.

PRELIMINARY NOVEMBER RAIL REVENUE (1)

• November's Total Rail Revenue was 0.6% above 2018 and 4.9% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2019	\$57.9	\$55.0	\$59.8	\$62.1	\$64.9	\$66.5	\$66.3	\$64.9	\$63.9	\$66.2	\$64.1		\$691.5
2018	\$56.8	\$55.0	\$58.6	\$59.9	\$63.0	\$65.5	\$64.6	\$62.5	\$61.8	\$64.2	\$63.7	\$64.6	\$675.6
PCT CHG.	1.8%	0.0%	1.9%	3.6%	3.0%	1.6%	2.5%	3.8%	3.4%	3.2%	0.6%		2.3%

1) Includes East and West of Hudson.

MTA METRO-NORTH RAILROAD
RIDERSHIP SUMMARY
PRELIMINARY NOVEMBER 2019

TICKET TYPE/SERVICE	NOVEMBER	NOVEMBER	VARIANCE VS.		NOVEMBER	CHANGE FROM 2018	
	2019	2019	FORECAST		2018		
	ACTUAL	FORECAST	AMOUNT	PERCENT	RESTATED (1)	AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	3,684,943	3,799,333	(114,390)	-3.0%	3,748,412	(63,469)	-1.7%
West of Hudson	63,550	63,550	0	0.0%	67,725	(4,175)	-6.2%
Total Rail Commutation Ridership	3,748,493	3,862,883	(114,390)	-3.0%	3,816,137	(67,644)	-1.8%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	3,137,158	3,295,730	(158,572)	-4.8%	3,182,849	(45,691)	-1.4%
West of Hudson	59,169	59,169	0	0.0%	60,862	(1,693)	-2.8%
Total Rail Non-Commutation Ridership	3,196,327	3,354,899	(158,572)	-4.7%	3,243,711	(47,384)	-1.5%
TOTAL RAIL RIDERSHIP							
East of Hudson	6,822,101	7,095,063	(272,962)	-3.8%	6,931,261	(109,160)	-1.6%
West of Hudson (2)	122,719	122,719	0	0.0%	128,587	(5,868)	-4.6%
TOTAL RAIL RIDERSHIP	6,944,820	7,217,782	(272,962)	-3.8%	7,059,848	(115,028)	-1.6%
CONNECTING SERVICES RIDERSHIP (3)	45,826	46,439	(613)	-1.3%	46,158	(332)	-0.7%
TOTAL MNR SYSTEM RIDERSHIP	6,990,646	7,264,221	(273,575)	-3.8%	7,106,006	(115,360)	-1.6%

Notes:

- 1) 2018 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) West of Hudson ridership figures are preliminary.
- 3) Includes Hudson Rail Link, Haverstraw-Ossining Ferry and Newburgh-Beacon Ferry.

MTA METRO-NORTH RAILROAD
RIDERSHIP SUMMARY
2019 YEAR-TO-DATE

TICKET TYPE/SERVICE	2019	2019	VARIANCE VS.		2018	CHANGE FROM 2018	
	YTD	YTD	FORECAST		YTD		
	ACTUAL	FORECAST	AMOUNT	PERCENT	RESTATE (1)	AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP							
East of Hudson	43,971,340	44,544,637	(573,297)	-1.3%	44,313,302	(341,962)	-0.8%
West of Hudson	810,686	811,404	(718)	-0.1%	825,548	(14,862)	-1.8%
Total Rail Commutation Ridership	44,782,026	45,356,041	(574,015)	-1.3%	45,138,850	(356,824)	-0.8%
RAIL NON-COMMUTATION RIDERSHIP							
East of Hudson	33,882,780	34,056,547	(173,767)	-0.5%	33,333,370	549,410	1.6%
West of Hudson	666,869	675,503	(8,634)	-1.3%	680,561	(13,692)	-2.0%
Total Rail Non-Commutation Ridership	34,549,649	34,732,050	(182,401)	-0.5%	34,013,931	535,718	1.6%
TOTAL RAIL RIDERSHIP							
East of Hudson	77,854,120	78,601,184	(747,064)	-1.0%	77,646,672	207,448	0.3%
West of Hudson	1,477,555	1,486,907	(9,352)	-0.6%	1,506,109	(28,554)	-1.9%
TOTAL RAIL RIDERSHIP	79,331,675	80,088,091	(756,416)	-0.9%	79,152,781	178,894	0.2%
CONNECTING SERVICES RIDERSHIP (2)	552,867	544,705	8,162	1.5%	535,503	17,364	3.2%
TOTAL MNR SYSTEM RIDERSHIP	79,884,542	80,632,796	(748,254)	-0.9%	79,688,284	196,258	0.2%

Notes:

- 1) 2018 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) Includes Hudson Rail Link, Haverstraw-Ossining Ferry and Newburgh-Beacon Ferry.

**MTA METRO-NORTH RAILROAD
RIDERSHIP BY LINE
PRELIMINARY NOVEMBER 2019**

LINE	NOVEMBER	NOVEMBER	CHANGE FROM 2018	
	2019 ACTUAL	2018 RESTATE ⁽¹⁾	AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	2,203,847	2,230,495	(26,648)	-1.2%
Hudson Line	1,387,675	1,408,547	(20,872)	-1.5%
New Haven Line	3,230,579	3,292,219	(61,640)	-1.9%
Total East of Hudson	6,822,101	6,931,261	(109,160)	-1.6%
WEST OF HUDSON				
Port Jervis Line	75,496	75,515	(19)	0.0%
Pascack Valley Line	47,223	53,072	(5,849)	-11.0%
Total West of Hudson (2)	122,719	128,587	(5,868)	-4.6%
TOTAL RAIL RIDERSHIP	6,944,820	7,059,848	(115,028)	-1.6%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	31,743	31,811	(68)	-0.2%
Haverstraw-Ossining Ferry	9,572	9,959	(387)	-3.9%
Newburgh-Beacon Ferry	4,511	4,388	123	2.8%
Total Connecting Services	45,826	46,158	(332)	-0.7%
TOTAL MNR SYSTEM	6,990,646	7,106,006	(115,360)	-1.6%

Notes:

- 1) 2018 ridership figures have been restated to eliminate calendar impacts on ridership.
- 2) West of Hudson ridership figures are preliminary.

MTA METRO-NORTH RAILROAD

RIDERSHIP BY LINE
2019 YEAR-TO-DATE

TICKET TYPE/SERVICE	2019 YTD ACTUAL	2018 YTD RESTATE ⁽¹⁾	CHANGE FROM 2018	
			AMOUNT	PERCENT
EAST OF HUDSON				
Harlem Line	25,078,516	25,118,719	(40,203)	-0.2%
Hudson Line	15,949,715	15,704,099	245,616	1.6%
New Haven Line	36,825,889	36,823,854	2,035	0.0%
Total East of Hudson	77,854,120	77,646,672	207,448	0.3%
WEST OF HUDSON				
Port Jervis Line	877,449	874,337	3,112	0.4%
Pascack Valley Line	600,106	631,772	(31,666)	-5.0%
Total West of Hudson	1,477,555	1,506,109	(28,554)	-1.9%
TOTAL RAIL RIDERSHIP	79,331,675	79,152,781	178,894	0.2%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS				
Hudson Rail Link	373,482	368,203	5,279	1.4%
Haverstraw-Ossining Ferry	121,735	114,780	6,955	6.1%
Newburgh-Beacon Ferry	57,650	52,520	5,130	9.8%
Total Connecting Services	552,867	535,503	17,364	3.2%
TOTAL MNR SYSTEM	79,884,542	79,688,284	196,258	0.2%

Notes:

1) 2018 ridership figures have been restated to eliminate calendar impacts on ridership.



Metro-North Railroad

November 2019 Highlights: Capital Program Status Report



Station Improvement Initiatives

Overpass Enhancements of Crestwood Station – Consolidated Information Dashboard

John Kennard
Vice President
Capital Programs



Metro-North Railroad

November 2019 Highlights: Capital Program Status Report

The purpose of the Capital Program Status Report is to provide a monthly and year-to-date overview of the progress of Metro-North's Capital Program including a brief discussion of the current month's project highlights. The report focuses primarily on providing a summary of achievements regarding design and construction awards, project completions and contract closeouts. The point of contact for the report is John Kennard, Vice President, Capital Program Management.

In the month of November, Metro-North awarded project tasks totaling \$51 million including the award of the Design/CPS services for the Croton Falls parking project. Metro-North had substantial completions totaling \$16 million including the Harlem River Lift Bridge Security project. Metro-North had closeouts totaling \$35 million including the Harlem River Lift Bridge Breaker Houses / Controls project.

Metro-North's performance against its 2019 Capital Project Goal was:

(\$ in Millions)

	<u>Annual Planned</u>	<u>Planned thru 11/30</u>	<u>Achieved thru 11/30</u>	<u>% thru 11/30</u>
Design Awards*	\$39.1	\$39.1	\$6.5	17%
Construction Awards*	\$228.2	\$204.6	\$54.1	26%
Substantial Completions	\$428.3	\$334.8	\$319	95%
Closeouts*	\$31.5	\$31.5	\$44.5	141%

*Does not include support costs

John Kennard
Vice President
Capital Programs

**CAPITAL PROGRAM
HIGHLIGHTS
November 30, 2019**

CONTRACT AWARDS:

M702-03-01 Strategic Facilities – Parking (Task 10529)

Milestone: Contract Award \$1,524,633

Awarded a General Engineering Consultant (GEC) contract to provide design services. The scope includes the design of a new 450 space surface parking lot at the recently purchased property located at 12 Croton Falls Road in Somers, NY. In addition, it includes preparation of a design for a bid package, utilizing Small Business Development Program, to replace the existing sidewalk with new that will connect the new parking lot with the Croton Falls Train Station.

PROJECT COMPLETIONS:

E614-03-03 Harlem River Lift Bridge – Phase I Construction

Milestone: Substantial Completion

Project Budget: \$16,236,885

The safety and security upgrades at the Harlem River Lift Bridge achieved substantial completion in November 2019. Upgrades completed under this project include the following: CCTV, standpipe (painted and stenciled), fire alarm equipment, commutation sheds at both Bronx and Manhattan side of bridge, intercoms, laser intrusion detectors (LIDS), window contacts, new doors with panic bars, rearrangement for counterweights and balancing of the bridge.

MAJOR ON-GOING PROJECT STATUS:

M7020107 Grand Central Terminal (GCT) Public Address and Visual Information and Real Time Train Database System (RTTDS) Replacements

The purpose of this project is to replace, update and consolidate the existing Public Address (PA) and Visual Information Systems (VIS) in order to provide improved information to Metro-North customers. The project is divided into three GCT contracts (PA/VIS & RTTDS, Cable Plant, and Big Boards & Gate Boards) which are critical to the implementation of the global Customer Service Initiative Project.

- Completed replacement of 41 new gate boards at GCT, including installation and testing, out of a total of 96 gate boards. PA/VIS system is operating and providing information to all Big Boards and new gate boards recently installed on the dining concourse. System monitoring and back-up head end system testing and integration is ongoing.
- Completed installation of power/communication conduits to the gate boards located in GCT's lower level at the 45th Street cross passage. Continued with: construction of the Customer Service Equipment Room 7C and the GCT cable plant; installation of conduit and cable to the 47th Street passageway; installation of conduit to the north end VIS cabinets; and installation of platform displays on the upper level.

M7020207 Customer Service Initiative (CSI) - Outlying Stations Public Announcement/ Visual Information and Surveillance/ Access Control Systems

The CSI project will enhance the customers' experience and improve operations with a system-wide upgrade of the public address, visual information and video surveillance/access control systems at nineteen (19) Metro-North stations and facilities throughout New York. This project also includes upgrades to elevator monitoring, providing network connectivity for new and existing equipment and real-time data improvements.

The Design-Builder has completed 100% design drawings for four out of five groups of stations that include: first group (Mt. Vernon East, Larchmont, Pelham, Riverdale and North White Plains IT room); second group (Harlem-125th Street, Rye, Harrison and New Rochelle); third group (Mamaroneck, Port Chester, Melrose and Tremont); and fourth group (Ossining, Morris Heights, Spuyten Duyvil and Tarrytown. Design development continues for the fifth group of stations (Harriman, Nanuet, and Poughkeepsie).

Site work is substantially complete at the Wakefield, Pelham & Mount Vernon East stations and punch list work continues. Site work continues at Harlem-125th Street, Larchmont, New Rochelle, Melrose, Rye, Port Chester, Spuyten-Duyvil, and Morris Heights Stations. Design coordination at North White Plains IT room was completed.

Design development for facility enhancements continues along with design development for: video, access control, elevator & escalator management and security systems.

M7020210 Station Improvement Initiatives at Harlem-125th Street, Riverdale, Crestwood, White Plains and Port Chester

The purpose of this project is to develop and improve station aesthetics, introduce new technology, and develop sustainability initiatives.

A key focus will be to transform and elevate the customer experience at the White Plains Station, Metro-North's third busiest station. White Plains Station improvements will include: a renovated and expanded waiting room, new bathrooms, upgraded HVAC, Wi-Fi, charging stations, benches, a new heated side platform, new island platform canopy, and entrance enhancements at Main St., Hamilton Ave., Mott St. Tunnel and the main entrance.

- Port Chester and Riverdale stations received a new canopy and waiting plaza. Riverdale also received improvements in the station overpass. Harlem-125th Street received station building and platform improvements as well as an enhanced lighting installation under the viaduct. Work at Riverdale was completed in September 2018. Work at Port Chester and Harlem-125th Street was completed in January 2019.
- Crestwood Station – On-going installation of the overpass dashboard, shelter, new canopy and new ADA ramp. This station is scheduled for completion in December 2019.
- White Plains Station – Ongoing installation of electrical conduit and canopy at the center island. All station improvements are scheduled for completion in December 2020.

EM050206/EM040205 Power, C&S Infrastructure Restoration – Sandy

The purpose of this project is to replace and restore to a state of good repair the power and communication and signal (C&S) equipment and infrastructure that were destroyed, damaged and/or compromised by Super Storm Sandy on over 30 miles of railroad along the Hudson Line from CP 5 (Bronx) to CP 35 (Croton-Harmon).

- CP19 to CP35 (Phase 1) - The Design-Build improvements for Power/C&S Infrastructure Improvements is substantially complete as of May 2019.
- CP5 to CP19 (Phase 2) - Continued installation of brackets and trays for exposed raceway; C&S trough; signal power duct bank; manholes; pull boxes and communication panels. Continued with: installation of grounding grids at the concrete platforms; track crossing conduit and lateral cable installation; placement of concrete for stair pad and sectionalizing switch slab; cable pulling; test pit excavation and site survey. 100% design for the routing of signal power conduit through the Spuyten Duyvil rock cut is under review by key stakeholders and forecasted to be completed by December 2019.

Phase I is complete. Overall project completion is anticipated in the second quarter 2021.

EM050208 Power Infrastructure Restoration – Substations – Sandy

- Tarrytown – Completed testing of the Supervisory Control and Data Acquisition (SCADA) as well as finalizing installation of new fiber as part of Sandy Hudson Line restoration connecting communication lines from the demarcation box to the remote terminal units. Con Edison feeder to be released for Metro-North cut-over and energization of the substation Power Control Room (PCR) is anticipated in the month of December 2019. This substation is scheduled for completion in January 2020.
- Croton-Harmon – Cable splice kits have been provided, cut-over, commissioning/testing and energization of the substation PCR to follow installation of the splice kits. This substation is scheduled for completion in March 2020.
- Riverdale – In the Crew Quarters: continued with installation of telephone ports, bathroom doors and partitions; and completed HVAC system testing and final inspection of the electrical system. Finalization of relay coordination study for system cut-over to be validated. This substation is scheduled for completion in January 2020.
- The Brewster Substation (under Project M6050103) – Continued with: grounding equipment, pulling and splicing 15kV feeder cables in the manholes, SCADA testing, and the cut-over process. Commissioning/testing and energization of substation PCR will commence upon completion of the splicing of the 15Kv feeders by NYSEG. This substation is scheduled for completion in March 2020.

M6040101 Positive Train Control (PTC)

Subsystem designs are being finalized. Software enhancements continue. Factory Acceptance Testing (FAT) for sub-system level software for On-Board version S5 and Office version 3.5 have been completed. Completed site update and regression testing using System Baseline 3.5. All communication site locations have been approved by the Federal Communications Commission (FCC). Civil Speed Enforcement is available on all lines for use by Amtrak, freight and Metro-North Advanced Civil Speed Enforcement System equipped rolling stock for revenue service. All wayside and on-board PTC equipment installations to support Revenue Service Demonstration (RSD) have been completed. Third party contract work for communications infrastructure installation is complete. Successfully completed FRA required 110 RSD runs on Pilot Line and received approval to move extended RSD testing to the non-pilot segments. Commenced extended RSD in August 2019 on Danbury Branch Line in September 2019 on the upper Hudson line (Croton-Harmon to Poughkeepsie, NY) and October 2019 on the lower Hudson Line segment (Marble Hill, NY to Croton-Harmon, NY). Ongoing site installation and performance testing on the Harlem Line with anticipated extended RSD in December 2019. Completed submission of safety plan to the FRA in August 2019. Training of employees continues. Interoperability discussions with Amtrak and freight carriers continue. Interoperability testing of Amtrak on Pilot Line was completed. Alternative schedule with updated Implementation Plan which outlines non-pilot segment commissioning plan was approved by the Federal Railroad Administration.

M6060101/M7060101 Harmon Shop Improvements

Phase V, Stage I Design-Build

Overall, Phase V, Stage I substantial completion was achieved in October 2019.

Phase V, Stage II Design-Build - The scope of this work includes the demolition of the remainder of Building 6 Maintenance Shop as well as the associated Building 5 storeroom and the construction of the balance of the Phase V Electric Car Shop and Support Shop facilities.

- 60% design of the Building 6 Maintenance Shop is complete. 90% design development is progressing.
- Commenced excavation for early site electric work and preparation for demolition of Building 5 and 6.

2019 MNR Capital Program Goals As of November 30, 2019 In Millions

