



**Metropolitan Transportation Authority**

# **Meeting of Metro-North and Long Island Committees**

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## **October 2012**

### **Members**

M. Pally, Co-Chair

J. Sedore, Co-Chair

J. Ballan

R. Bickford

J. Blair

N. Brown

I. Greenberg

J. Kay

S. Metzger

C. Moerdler

D. Paterson

A. Saul

V. Tessitore, Jr.

C. Wortendyke



**Metropolitan Transportation Authority**

**MEETING AGENDA**

**METRO-NORTH/LONG ISLAND COMMITTEES**

**October 29, 2012 – 8:30 a.m.**

**347 Madison Avenue**

Fifth Floor Board Room  
New York, NY

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Date of next meeting: **Monday, November 19, 2012 at 8:30 AM**

Minutes of the Regular Meeting  
Metro-North Committee

Monday, September 24, 2012

Meeting Held at  
347 Madison Avenue  
New York, New York 10017

8:30 a.m.

The following members were present:

Hon. Joseph J. Lhota, Chairman and CEO, MTA  
Hon. Mitchell H. Pally, Co-Chairman of the Committee  
Hon. James L. Sedore, Jr., Co-Chairman of the Committee  
Hon. Jonathan A. Ballan  
Hon. Robert C. Bickford  
Hon. James F. Blair  
Hon. Norman Brown  
Hon. Fernando Ferrer  
Hon. Ira R. Greenberg  
Hon. Susan G. Metzger  
Hon. Charles G. Moerdler  
Hon. David A. Paterson  
Hon. Vincent Tessitore, Jr.  
Hon. Carl V. Wortendyke

Not Present:

Hon. Andrew M. Saul, Vice-Chairman, MTA  
Hon. Jeffrey A. Kay

Also Present:

Donna Evans – Chief of Staff, Metro-North Railroad  
Raymond Burney – Sr. Vice President, Administration, Metro-North Railroad  
Michael R. Coan – Chief, MTA Police Department  
Seth J. Cummins – Vice President and General Counsel, Metro-North Railroad  
Anne Kirsch – Chief Safety and Security Officer, Metro-North Railroad  
Robert Lieblong – Senior Vice President, Operations, Metro-North Railroad  
Robert C. MacLagger – Vice President, Planning, Metro-North Railroad  
Timothy McCarthy – Senior Director, Capital Programs, Metro-North Railroad  
Kim Porcelain – Vice President - Finance and Information Systems, Metro-North Railroad

The members met jointly as the Metro-North Committee and the Long Island Committee. Co-Chairman Pally called the meeting to order.

There was one public speaker.

Murray Bodin of Concerned Grandparents suggested the meeting rules be changed to allow for an exchange of comments between the public and the Committee.

### EXECUTIVE SESSION

Upon motion duly made and seconded, the Committee unanimously voted to convene in Executive Session to discuss a litigation matter. Thereafter, upon motion duly made and seconded, the Committee unanimously voted to re-convene in Public Session.

### PUBLIC SESSION

Upon motion duly made and seconded, the members of the Committee present approved the minutes of the regular meeting of July 23, 2012. Co-Chairman Pally stated that there were no changes to the 2012 work plan.

### MTA LONG ISLAND RAIL ROAD

A moment of silence was observed in honor of a Long Island Rail Road third railman who died in the line of duty. The remaining comments by President Williams and Board Members are contained in the minutes of the Long Island Rail Road held this day.

### MTA METRO-NORTH RAILROAD

Chief of Staff Evans noted that President Permut was absent from the meeting as he was attending a funeral, and she would be providing his report. Ms. Evans reported that year-to-date August, both east and west of Hudson on-time performance was 97.6%. She noted that, since the time of the July Committee meeting, service was negatively impacted by severe thunderstorms, high wind and rain. In addition, all signals were lost between Glenwood and Yonkers Stations on the Hudson Line during the p.m. peak on August 20 when an unauthorized contractor dug up and ripped apart buried signal cables. The contractor has been denied further access, while Metro-North is seeking financial reimbursement from the owner and the contractor. On the New Haven Line, on Saturday, August 25, a 100 year old draw bridge in South Norwalk would not close properly, causing a three hour suspension of service. There are about five movable bridges in the State of Connecticut and Metro-North is working with CDOT to determine the best way to fix these aging structures. Also, during the a.m. peak on August 28<sup>th</sup>, the Harrison Police asked Metro-North to suspend service on the New Haven Line for more than 30 minutes between Rye and Mamaroneck to search for a suspect, resulting in twenty-three late/cancelled trains. The suspect was apprehended later in the day with the help of the MTA Police.

Ms. Evans reported that July year-to-date financial results were favorable vs. the Mid-Year Forecast. Total revenue was a little higher vs. the forecast and operating expenses were a great deal lower. Overtime has been controlled very well. Metro-North has instituted a number of cost saving/efficiency initiatives to control claim costs and material usage requirements. Through July 2012, Metro-North has reduced its cash subsidy requirement by \$41.5 million.

Ms. Evans reported that total system-wide ridership in August 2012 was 9.6% higher than in the comparable period of 2011. However, August 2011 ridership was significantly impacted by Tropical Storm Irene. Adjusting for this impact, total rail ridership increased 2.4% versus the adjusted August 2011 ridership. Managed Connecting Services ridership in August increased 3.1% over the comparable period of 2011. Year-to-date August 2012, total Metro-North system-wide ridership is up 3.6% versus 2011. While that is 0.7% below forecast, Metro-North is still on track to have its best ridership year in its history.

Ms. Evans reported that the Tarrytown Station improvements have been completed. The improvements were funded with \$36 million in American Reinvestment and Recovery Act (ARRA) funds and include new platforms, canopies, pedestrian overpasses and other customer amenities. Parking improvements at Garrison Station have been completed. Ms. Evans also noted that a major station improvement project has begun which will bring six New York State stations on the New Haven Line to a state of good repair. The project is a \$37 million dollar contract with construction to be done in two phases. The work to be done in phase one has begun and includes Mount Vernon East, Pelham and New Rochelle Stations. Phase two consisting of Larchmont, Mamaroneck and Harrison Stations will commence when the phase one work has been completed. It is anticipated that the entire project will be completed by August 2014. A portion of the work on this project is being done under the MTA Small Business Mentoring Program (SBMP). The SBMP contracts are to be completed by November 2012.

Metro-North continues its roll out of real-time train information. Recent upgrades have been made at four major stations –Poughkeepsie, Croton-Harmon, Tarrytown and North White Plains. Upgrades are to begin at New Rochelle and Stamford Stations shortly. Metro-North has developed a comprehensive plan to upgrade its stations on a regular basis. Work has been completed at seven stations and work is currently being done at four upper Harlem Line Stations from Chappaqua to Katonah and five New Haven Line stations.

Ms. Evans stated that Metro-North won two awards from the 2012 American Graphic Design Awards competition, a national competition open to major advertising agencies, design studios, corporations and publishing houses. Over 8,000 projects were judged. Metro-North received two certificates of excellence – one for Metro-North's Vision 2013 campaign which informed Metro-North employees of its strategic five-year plan and their role in achieving these goals and the other for Metro-North's campaign to inform the public and its employees that it had won the Brunel Award.

Board Member Blair noted that he attended the Public Art Panel of the Hudson River Museum which included an exhibit on Arts for Transit. He stated the event illustrated the MTA and Metro-North's priority of making the daily commute more enjoyable for riders.

#### **MTA POLICE DEPARTMENT**

Chief Coan reported on the August 2012 crime and arrest statistics, noting the drop in felonies from August 2011. The details of the MTA Police Department Report are contained in a report filed with the records of this meeting.

## Metro-North Railroad/Long Island Rail Road Joint Information Item

- Customer Satisfaction Survey Results

The details of President Williams report and Board Members comments are contained in the minutes of the Long Island Rail Road held this day.

Ms. Evans reported that Metro-North received an overall satisfaction score of 93% east of Hudson, tying the highest level of satisfaction achieved by Metro-North. Across the board, 2012 customer satisfaction levels mirrored the 2011 levels but with even higher percentages of very satisfied customers. Customer satisfaction increased in 2012 in all key areas including on-time performance, communication and, on the New Haven Line, satisfaction with the new M-8 cars. Employee courtesy and responsiveness scored an impressive 95%. Ms. Evans noted these scores represent a significant accomplishment in light of the weather challenges and subsequent disruptions. The results reflect the high quality of service Metro-North offers, as shown by its excellent on-time performance. Ms. Evans noted that these results could not have been attained without the hard work of every employee. She reported that reverse peak satisfaction levels were higher than in 2011 but below that in 2010. Metro-North plans to conduct research with Reverse Peak customers to assess why this occurred. The overall satisfaction rate of 92% west of Hudson was also the highest level of satisfaction received by Metro-North in its history, noting that the Pt. Jervis Line improvements impacted the results. Board Member Blair noted that the Commuter Councils are pleased to have been consulted as part of the survey process. The details of the customer satisfaction survey are contained a presentation filed with the records of this meeting.

## MTA Metro-North Railroad Information Items

There were five information items.

- 2012 Final Mid-Year Forecast
- 2013 Preliminary Operating Budget
- 2012 Fall Service Investments & Schedule Change

Ms. Evans reported the schedule change will take effect on all Metro-North lines on Sunday, October 14, 2012. Metro-North will implement the first round of service investments that were proposed as part of the MTA's 2012 service investments, as well as the railroad's ongoing service plan improvements. These service improvements will provide for increased train frequency in key off-peak and weekend market segments, begin Metro-North's implementation of half-hour service at a majority of its stations and 20 minute service at major stations, provide for faster travel times and improved customer comfort by adding cars in conjunction with lowering the loading standard on weekends to 75%. The schedule provides for operating an additional 79 trains per week – 69 trains East of Hudson and 10 West of Hudson. Key improvements include an additional 15 weekday trains and an additional 30 weekend trains on the New Haven Line, 24 additional weekend trains on the Harlem Line and 10 additional weekday trains on the Pascack Valley Line. A comprehensive marketing plan is

being developed to promote these improvements. In October, Metro-North will be requesting approval from the Committee and Board to hold public hearings in January 2013 on certain service investments and for establishing West Haven Station fares in Connecticut.

- Elevator & Escalator Service Report

Ms. Evans reported that overall reliability of elevators and escalators is very good at outlying stations. Reliability of the escalators at Grand Central Terminal represent challenges in that they get more use than originally anticipated and it is difficult to obtain the parts needed to complete necessary repairs. Metro-North is in the process of developing a comprehensive program to have a maintenance contract in place in 2013 and is investigating the best way to proceed in replacing the escalators. In response to a question by Board Member Moerdler, Mr. Lieblong noted that Metro-North has some escalator parts on hand but it is difficult to obtain all the parts due to the age of the escalators. Metro-North has requested that the parts supplier increase the parts in inventory. Metro-North is meeting with the parts supplier to close out the contract.

- GCT Centennial Sponsorship

Ms. Evans reported that Metro-North has two more sponsorship agreements, one with CBRE Group, Inc. and the other with Carvel. As of today, Metro-North has completed five sponsorship deals.

### Procurements:

#### Long Island Railroad

The Committee voted on Long Island Rail Road procurements. There were three procurements forwarded to the Board for approval on behalf of Long Island Rail Road and Metro-North. The items are as follows: (1) a five year competitively solicited contract with NCO Financial Systems, Inc. for debt collection services; (2) a three year non-competitive purchase contract with Nordco, Inc. for replacement parts for Nordco and Pyke track equipment; and (3) a non-competitive three year purchase contract with Daktronics, Inc. for visual message dissemination equipment. Details of the above items are set forth in the minutes of the Long Island Rail Road held this day and the staff summaries and other materials filed with the records of this meeting.

#### MTA Metro-North Railroad

There were a total of 9 Metro-North procurements on the agenda.

There were 9 competitive procurements this month:

A request to use the RFP process to solicit and evaluate proposals from prospective railcar remanufacturers to overhaul six GP35 Locomotives and one GP8 Locomotive. The Locomotives are used for work trains, yard movements and service protection. The

overhaul of these Locomotives will defer the need for replacement and shall extend the service life of these locomotives an additional fifteen (15) years.

Competitively solicited, miscellaneous service contracts for preventative maintenance and repair services for (1) sweepers and scrubbers in various Metro-North maintenance facilities and (2) HVAC and heater units at various facilities in Stamford and New Haven.

A competitively solicited, miscellaneous service contract for metallurgical and structural testing. This is a joint procurement led by Metro-North with New York City Transit. This is highly specialized work for testing on wheels, mechanical or structural components, railcar axles, railcar truck frames and locomotive or passenger car operational dynamics. This contract will be used on an as-needed basis for both Metro-North and New York City Transit.

A competitively solicited, 5 year miscellaneous contract awarded to 3 firms to provide for the pick-up, overhaul and/or repair and delivery of AC- powered traction motors used on Metro-North's M-7 railcar fleet. These agreements are required to maintain Metro-North's M-7 fleet's long-term operation: the services include an OEM-specified ten (10) year basic overhaul, a complete overhaul, if required, and the repair, recondition, and rebuild of motor assemblies, if required. Metro-North Procurement structured the procurement to allow for award to more than one qualified vendor in order to ensure that Metro-North has an appropriate inventory of working AC traction motors and to protect against the circumstance that any vendor is not meeting production capacity. The solicitation was based on the estimated amount of AC traction motor assemblies requiring either overhaul and/or repair during the next five years and was awarded to the 3 vendors (Mitsubishi, Ram and Walco) with the lowest gross sum bid.

A modification to a personal/miscellaneous service contract with PB Americas, Inc. needed to address scope changes to the Penn Station Access Study. The changes include: (1) performing necessary operations analysis at interlockings at New Rochelle, Stamford and Spuyten Duyvil; (2) developing a newly proposed station on the Hell Gate Line at Morris Park to a conceptual level and assess related costs and environmental impacts; (3) performing additional engineering work for a potential upper west side station at a location on the Empire Line between W. 54 St. and W. 57th St. to determine if it is a viable site; (4) improvements to the Hell Gate Line that may be necessary as the result of the Penn Station Operations Study and (5) update some environmental information and analysis to conform with federal requirements. These changes are funded by the MTA Capital Program Budget, the Metro-North Operating Budget and the Connecticut Department of Transportation.

A modification to a miscellaneous service contract with North American Specialty Glass, Inc. to request additional funding needed for the purchase of M-7 window assemblies and window components. Funding was exhausted due to unanticipated high replacement of M-7 window assemblies as the result of storm-related damage caused by downed trees.

Upon motion duly made and seconded, all procurement items were approved for recommendation to the Board. Details of the above items are set forth in the staff summaries and other materials filed with the records of this meeting.

**Metro-North Reports on: Operations, Safety, Financial, Ridership and the Capital Program**

The details of the Operations, Safety, Financial, Ridership and Capital Program reports are contained in reports filed with the records of the meeting.

**Adjournment**

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

Respectfully submitted,



Linda Montanino  
Assistant Secretary

Sept 2012 Comm Minutes  
Legal/Corporate/Committee Minutes

**Minutes of the Regular Meeting  
Long Island Committee  
Monday, September 24, 2012  
Meeting held at  
347 Madison Avenue  
New York, New York 10017  
8:30 a.m.**

**The following members were present:**

Hon. Joseph J. Lhota, Chairman and CEO, MTA  
Hon. Mitchell H. Pally, Co-Chairman of the Committee  
Hon. James L. Sedore, Jr., Co-Chairman of the Committee  
Hon. Jonathan A. Ballan  
Hon. Robert C. Bickford  
Hon. James F. Blair  
Hon. Norman Brown  
Hon. Fernando Ferrer  
Hon. Ira R. Greenberg  
Hon. Susan G. Metzger  
Hon. Charles G. Moerdler  
Hon. David A. Paterson  
Hon. Vincent Tessitore, Jr.  
Hon. Carl V. Wortendyke

**The following members were absent:**

Hon. Andrew M. Saul, Vice Chairman, MTA  
Hon. Jeffrey A. Kay

**Representing Long Island Rail Road:** Helena E. Williams, Michael Gelormino, Gerard Ring

**Representing MTA Capital Construction Company:** Michael Horodniceanu, David Cannon

**Representing MTA Police:** Chief Michael Coan

The members met jointly as the Metro-North Committee and the Long Island Committee. Co-Chairman Pally called the joint meeting to order.

There was one public speaker. Murray Bodin of Concerned Grandparents suggested the meeting rules be changed to allow for an exchange between public commenters and the Committee. He complimented MTA Chairman Lhota on his leadership.

**EXECUTIVE SESSION**

Upon motion duly made and seconded, the Committee unanimously voted to convene in Executive Session to discuss a litigation matter. Thereafter, upon motion duly made and seconded, the Committee unanimously voted to re-convene in Public Session.

**PUBLIC SESSION**

Upon motion duly made and seconded, the minutes of the July 23<sup>rd</sup> Committee meeting were approved. Co-Chairman Pally stated there were no changes to the 2012 Work Plan.

**MTA LONG ISLAND RAIL ROAD**

President Williams reported that the LIRR lost one of our family members in August, due to a tragic accident on the right of way near Queens Village. Third Railman Ron Sampson, age 51, a husband and father of four children, including two who are enrolled in college, suffered fatal injuries when he fell and came into contact with the third rail. Mr. Sampson was performing third rail maintenance, tightening brackets at the time of the accident. His co-workers performed CPR but were unable to revive him. President Williams stated that LIRR immediately began a safety review of the procedure that Mr. Sampson was involved with at the time of the accident, which is ongoing. LIRR has implemented a "stand down" of that task so that no one is currently performing that task. LIRR is cooperating with the FRA as we review the cause of the incident. At President Williams' request, there was a moment of silence in memory of Ron Sampson.

President Williams reported on LIRR ridership growth for July and August. President Williams stated that she is pleased that the ridership continues to grow, with July and August representing the 11<sup>th</sup> and 12<sup>th</sup> months of consecutive growth on the railroad. Year-to-date ridership is up 4.5%, compared to the same period in 2011. President Williams observed that during this past year, LIRR has focused on improving On Time Performance, and congratulated Senior Vice President - Operations Mike Gelormino on the strategies he has used to hone in on problems areas affecting OTP. She also noted that LIRR has made strategic service investments, continued to improve our customer service and communications, and that a stronger Long Island economy has helped us as well. In August, the LIRR carried 7.5 million customers more, up 9.4% compared to August 2011. President Williams noted that this was LIRR's highest ridership since June 2008, putting LIRR back to the peak of our ridership attained before the recession.

President Williams further noted that in comparing August numbers 2012 to August 2011, good weather this year also contributed to increased ridership. Last August, Tropical Storm Irene had a significant impact on ridership, affecting close to 300,000 customers. President Williams observed that LIRR has focused on monthly ticket sales, which were up by 2,345 tickets, while weeklies were up by 339. She noted that regional employment, which is a major driver of commutation ridership, grew by 1.5 % between July 2011 and July 2012.

President Williams reported that LIRR partnered with the PGA Tour in August, for service to Bethpage Black. Approximately 30,000 customers used the LIRR to attend the Open, which just concluded this past weekend. LIRR successfully tested mobile ticketing, with participation by almost 6,000 riders, which proved to be a success for us.

President Williams stated that LIRR is getting ready for the opening of the Barclays Center Arena, the new sports and entertainment venue, beginning Friday, September 28. LIRR is adjusting its service to make sure that we are ready, working in close cooperation with the Arena managers. In addition to Jay-Z, who opens this weekend, the Arena will have an entire concert schedule with some very big names. The Arena is also the home of the Nets. LIRR has adjusted schedules to provide

September 24, 2012

additional service when the Nets finish their games, and we will provide service later in the evening when a concert is scheduled. LIRR has a brochure to help customers and has listed travel tips on the LIRR website. President Williams pointed out that the Arena is across the street from the new Atlantic Terminal, which was a major investment in our capital program. Since there is no parking at the Arena, we anticipate that we will get a significant increase in ridership from people who travel to and from the Arena. LIRR worked closely with NYCT on our signage. She stated that the New York City Transit Station came out very nicely and complements a whole new transportation hub, including the LIRR Terminal.

### MTA METRO-NORTH RAIL ROAD

Comments by Metro-North Chief of Staff Donna Evans and Board Members are contained in the minutes of Metro-North Railroad of this day.

### MTA CAPITAL CONSTRUCTION

MTA Capital Construction President Horodniceanu presented a PowerPoint presentation highlighting some of the work currently in progress on the East Side Access Project. A copy of the PowerPoint presentation is included in the records of the meeting. The future terminal and concourse work is proceeding well at 44<sup>th</sup> and 50<sup>th</sup> streets. Excavation at both locations is complete and President Horodniceanu anticipates beneficial use for follow-on contractors at those locations by December 2012. The escalator wellways are almost complete and the Dragados/Judlau joint venture is expected to finish its work in June 2013. President Horodniceanu reported that he had recently performed a walk through and found the caverns to be relatively clean.

President Horodniceanu reported that the new entrance at 245 Park Avenue is almost complete and expected to be open by September 30, 2012. With regard to the work at the Harold Interlocking, President Horodniceanu reported that cooperation between Amtrak, Long Island Rail Road and East Side Access has improved. The tunneling under Northern Boulevard is continuing. Drifts 1, 2, 3 and 4 are complete. Excavation of drift 5 is underway. Excavation of drifts 6 and 7 has not yet begun. Excavation of this tunnel is expected to be complete by December.

In response to a question as to how the subway box and elevated train above the tunnel will be supported, President Horodniceanu explained the loads are temporarily supported during construction and then transferred to the new tunnel after the concreting is completed.

President Horodniceanu also reported that Capital Construction is currently in negotiation for Contract CS179 – System Package 1 and expects to receive bids for CM012 – Manhattan Structures 2 and Facilities Fit Out in October. Further, the record of decision for the RIF Loan is expected in September.

### MTA POLICE DEPARTMENT

Chief Coan reported that August was a good month, with incidents down 35% compared to August 2011. Year-to-date incidents are down 3%. However, there were six robberies this August compared to last August when there were four. Of the six, four were in LIRR territory, one in Metro-North territory and one in Staten Island, and MTAPD made three arrests in connection with these robberies. As mentioned in the Metro-North report, an attempted robbery in Harrison caused train delays. There was an arrest of an individual who was charged with multiple offenses, as he allegedly committed other crimes in Harrison. Incidents on the LIRR were again down, 17% for the month and down 12% for the year. However, Chief Coan noted that in Jamaica on August 12, there was a high profile incident.

Three individuals were slashed while exiting the subway. One of the officers was on the street level and made an arrest immediately and got the victims off to the hospital. Nobody was seriously injured. Chief Coan mentioned that in July, an officer was attacked in Jamaica in an incident which received media attention. Chief Coan noted that MTAPD has a strong police presence in District 3-MTAPD, which covers Queens and Brooklyn. The 24% decrease in crime there is due to having trained and directed patrols at the Jamaica Station. Mainly, he noted that MTAPD increased police presence at night and in the evening hours seven days a week, with increased patrols on the platform and at street level. The alcohol ban on trains put in place a few months ago has also helped out tremendously. Chief Coan noted that we are going to continue to be vigilant at Jamaica Station and have met with LIRR President Helena Williams and her staff there, including LIRR security. He noted that MTAPD is prepared for the opening of Barclays this Friday, with additional resources in Brooklyn and in Jamaica for the change of trains. In response to a question, Chief Coan responded that 16 police officers have been hired; five from the Academy and the rest from the NYPD, of whom 11 were immediately sent to patrol. The MTA Police is about even compared to last year regarding attrition. President Williams thanked Chief Coan and Director Doug Ziegler for their very hard work in general, and specifically with respect to putting together a good plan for dealing with the large number of people coming out of the Barclays Center.

#### LIRR/MNR JOINT INFORMATION ITEM

President Williams announced that the Satisfaction Survey posted on the MTA website is available as a handout for Committee members. It includes the questionnaire that is on the website. She noted that for LIRR, the good news is that we jumped eight percentage points to an 86% customer satisfaction rating, up from 78% in 2011. LIRR is continuing to recover in terms of the impact of the service reductions, which was a large part of the story last year. The other factors in 2011 which caused low numbers were the winter storm and the service disruption involving Amtrak's derailment. The survey was taken just two weeks after the derailment. She observed that this year's results are beginning to show a rebound in the customer response to the LIRR. Over 7,100 surveys were completed in May and June of 2012, which our sample survey team advised was a valid sample. We covered both peak and off-peak with an emphasis on peak results. We had a 57% response rate, which, given the public's disinterest in filling out surveys, is considered a robust response. She noted that levels of service are often immediately reflected in the customer attitude, which is demonstrated by the Port Washington branch results, where the satisfaction rating went up 12 points following the restoration of the midday trains in May 2012. She referenced page 4 of the handout, which indicates the results of the survey by branch. President Williams noted that we struggle on the Oyster Bay branch and are working on ways to increase the service reliability there, which is dependent on our diesel equipment. She further noted the positive numbers with respect to Port Jefferson, where we have spent some time with the new administration, making overall improvements to the passenger environment at the station.

Co-Chairman Pally acknowledged the tremendous work the LIRR employees do and the high marks that the customers are giving to LIRR employees, such as conductors. He noted that for many people, the conductor is the only person on the railroad they ever talk to. Co-Chairman Pally also noted that respondents' comments with respect to the cleanliness of restrooms could depend on whether they are the first person to use the facilities, or a subsequent user.

MTA LONG ISLAND RAIL ROAD

Information Items

There were four LIRR information items:

- 2012 Final Mid-Year Forecast
- 2013 Preliminary Operating Budget
- 2012 Fall Schedule Change
- Elevator & Escalator Report

President Williams noted that projects impacting the schedule change involve bridge rehabilitation, switch replacement, and a grade crossing renewal program. She noted that LIRR attempts to communicate with our customers in advance where the service will be interrupted for infrastructure maintenance and to provide alternate service opportunities for those customers.

Board Member Moerdler, referring to page 126 of the Committee Book, noted an increase in customer injuries due to train door problems and assaults. President Williams responded that she would get back to him with specific information as to what was involved in those incidents involving train doors. With regard to assaults, she advised that LIRR had an increase of such incidents which generally arose out of fare disputes on the late night trains. President Williams stated that LIRR formed a task force regarding assaults, which is working with Chief Coan. She noted that the increase in assaults led to the alcohol ban at Penn Station and prohibiting alcohol on trains at night. She indicated that LIRR is working on techniques to ensure conductors are collecting fares without putting themselves in harm's way.

Board Member Sedore acknowledged and thanked both of the agencies and Transit for working with the Commuter Councils in putting together the customer satisfaction surveys. He stated that we very much appreciate the Councils' suggestions concerning questions to ask and standards to be measured.

President Williams stated that the Elevator and Escalator Report covered equipment directly maintained by the LIRR as well as fifteen escalators and six elevators maintained by Amtrak. She noted also that the Port Authority has on-site repair services for the Air Train and that they service elevators and escalators at Jamaica Station. LIRR is working with the Port Authority on getting their data in a useable format. She noted that LIRR has taken first nine and then two additional escalators out of service for long-term maintenance. As shown in the Report, these escalators were unavailable for the greater portion of this reporting period. Five of the escalators are now back in service. LIRR is implementing safety improvements in the escalators and bringing them back to a state of good repair.

Board Member Ira Greenberg asked questions concerning how to read the statistics on escalator-related and other customer injuries, found on page 126 of the Committee Book, to which President Williams responded. She noted that injuries are predominantly slips, trips and falls.

Board Member Moerdler commented concerning coordinating agency service contracts and purchases with respect to escalators, and suggested that there were benefits to uniformity between the agencies. Chairman Lhota responded that there were many factors to consider in this regard, including the timing of East Side Access and the need to make repairs to existing escalators at the present time. He

also noted that there is a risk in using a single service provider and there is concern about lack of competition if there is a single provider. He indicated the need to do a risk analysis in this regard.

Details of the information items are included in the records of the meeting.

#### MTA CAPITAL CONSTRUCTION ACTION ITEMS

David Cannon introduced one action item to the Board. The item was a request for Board approval to add the Biltmore Room Connection Project to the MTA Capital Construction Program's Interagency Program. This Connection will provide a direct passenger connection from LIRR's new concourse to the main level of Grand Central via the Biltmore Room at an estimated cost of \$15.5M.

Committee Member James F. Blair asked why the Biltmore Room Connection was not included in the original East Side Access design and whether the funds being used to pay for it were being diverted from other Capital projects. President Horodniceanu explained that the Biltmore Room was in the original design but had been taken out because the finances were not available in the initial stages of the East Side Access Project. The money for Biltmore Room Connection has now been made available by Metro-North and so the project is being restored.

Upon motion duly made and seconded, the action item was approved for recommendation to the Board. Details of this item are set forth in the Staff Summary, a copy of which is on file with the records of this meeting.

#### MTA LONG ISLAND RAIL ROAD

##### Procurements

There were three non-competitive LIRR procurements: a Sole Source award (on behalf of LIRR and Metro-North) for a 36-month period to Nordco Inc. in a total amount not-to-exceed \$990,000 for replacement parts required by the Railroads to operate and maintain various piece of Nordco and Pyke track equipment used for infrastructure maintenance; a Sole Source award (on behalf of LIRR, Metro-North and Bridges and Tunnels) for a three year period in the total not-to-exceed amount of \$2,261,300 to furnish visual message dissemination equipment for expansion of existing station and bridge public notification systems, and for parts needed to operate and maintain these systems; and a Sole Source Blanket Purchase Order to North American Signal System LLC in the not-to-exceed amount of \$85,965.00 to purchase NAS Universal Data Analyzers and/or component parts in order to maintain LIRR's existing Centralized Wayside Event Monitoring System.

There were two competitive LIRR procurements: an award to Myers Controlled Power, LLC for the lump sum price of \$11,471,450 to furnish prefabricated traction power substations needed to replace existing substations located at Hillside and Kew Gardens; and a request to ride a Bridges and Tunnels contract to make an award to NCO Financial Systems, Inc. (on behalf of LIRR and Metro-North), for a five year period, for Debt Collection Services, under which NCO will receive a 13.9% fee based on monies collected.

Board Member Moerdler asked why the NCO contract was not bid out. Chairman Lhota stated that there was a competitive bid process undertaken by Bridges and Tunnels, and in the interest of time, it was desirable to add LIRR and Metro-North to the existing contract. Regarding the substation contract, Board Member Greenberg expressed concern about the purchase of future replacement parts, and whether this would have to be done on a sole source basis. President Williams indicated that there is a warranty required from the

substation provider against any defects in workmanship or failure to adhere to specifications, which is generally for a long-term. Board Member Greenberg said his concerns arose not because substations wear out, but because equipment becomes out of date, including especially monitoring equipment that might present proprietary issues.

There was one ratification encompassing modifications to three separate contracts: to Nouveau Elevator, Inc. (in the amount of \$3,502,000), SAVKOM Inc. (in the amount of \$98,000) and Van Deusen & Associates (in the amount of \$159,400), in order to progress extensive repairs and upgrades for nine of LIRR's oldest escalators which were taken out of service as part of a major Rehabilitation Program to improve safety and reliability. President Williams stated that LIRR has two additional escalators that will be going into this program and that these modifications will cover those escalators as well.

Upon motions duly made and seconded, all procurement items were approved for recommendation to the Board. Details of the above items are set forth in the Staff Summaries and other materials, copies of which are on file with the records of this meeting.

#### MTA METRO-NORTH RAIL ROAD PROCUREMENTS

Metro-North presented a modification to a personal/miscellaneous service contract with PB Americas, Inc. needed to address scope changes to Penn Station Access Study. The changes include: (1) performing necessary operations analysis at interlockings at New Rochelle, Stamford and Spuyten Duyvil; (2) developing a newly proposed station on the Hell Gate Line at Morris Park to a conceptual level and assess related costs and environmental impacts; (3) performing additional engineering work for a potential upper west side station at a location on the Empire Line between West 54<sup>th</sup> Street and West 57<sup>th</sup> Street to determine if it is a viable site; (4) improvements to the Hell Gate Line that may be necessary as the result of the Penn Station Operations Study; and (5) update some environmental information and analysis to conform with federal requirements. Chief of Staff Donna Evans stated that this modification is a \$1.7 million dollar increase on top of a \$4.6 million dollar contract. She noted that Metro-North has been going into the communities to have public meetings on Penn Station access and they have been very well received so far. There was one in Morris Park on September 10<sup>th</sup> and one tonight in Co-Op City and then two in October at Hunts Point and Parkchester. Board Member Moerdler commended Metro-North both on the outreach that was done in Morris Park that some of the Board Members attended, and for moving forward with the program that then Borough President Fernando Ferrer initiated for which he, too, should be commended.

Board Member Ballan raised concerns that he generally has about contracts where modifications represent a significant portion of the contract amount. After some discussion on this issue, Board Member Ballan stated that this is a very important project and that he would support the modification. Co-Chairman Pally stated that while he is very supportive of Metro-North getting into Penn Station, he is not very supportive of it being done at the expense of Long Island Rail Road customers, so as part of this study there should be a review of the expansion of Penn Station, such as the need for additional tracks. Robert MacLagger, Metro-North's Vice President of Planning, responded there are a several different efforts going on simultaneously. One is for specifically Penn Station access for Metro-North and the other is more general in terms of access at Penn Station in total, including New Jersey Transit, Long Island Rail Road and ultimately Metro-North and Amtrak. There is an MTA-led effort with Amtrak and New Jersey Transit and both Long Island Rail Road and Metro-North are participants in that study, the Penn Station Operations Study, that has been ongoing for a several years. It is supposed to be finished by the end of this year. The output from that study will feed into the environmental analysis that this consultant is doing for Metro-North on the Penn Station Access Study. The Penn Station Operations

Study is evaluating the degree to which all four operators can fit into Penn Station post-East Side Access opening in 2020. Then, another ten years further out that Study is looking at what additional infrastructure improvements might be made in Penn Station to create additional capacity for all the parties. Co-Chairman Pally noted the importance of the connection between the two studies. President Williams asked if Metro-North could comment on the outcomes to-date of those studies, both in the 2020 and 2030 time frames, because she thinks it is relevant to the work PB will have to do eventually with regard to tracks and platforms. Metro-North Chief of Staff Donna Evans responded that that is probably more relevant for Bill Wheeler of MTA to give a fuller presentation on. Co-Chairman Pally stated that he would assume that the Penn Operations Study will be finished by the end of the year and that the Committee would then get a full report on the findings of that study in the beginning of 2013, so that they can incorporate them not only into the environmental review under this report but the Board's review of both reports. Board Member Moerdler stated that he understands that the Chairman has tried to focus on this area and address the problems that have been mentioned and the problems of getting the Penn Station situation resolved consistent with the vast expenditures made for East Side Access.

Board Member Greenberg mentioned the need for the LIRR to better serve Queens, which has been an issue since East Side Access was first proposed. He thinks the subways in Queens are very overcrowded. There is an opportunity for LIRR to provide more and better service in Queens and he hopes that this is calculated in the mix when there are discussions about Penn Station utilization. President Williams stated that they have all spent a lot of time on the utilization and capacity study. They are trying to factor in LIRR's ridership growth in that analysis. That was the point she was hoping to make with respect to both 2020 and 2030 in terms of where we end up, and of course in 2030 we are trying to envision greater levels of service in Queens and on Long Island and with regard to the reverse commute. President Williams stated that the Board knows her position on this, that there will be major investments required at Penn Station in order to fit in another carrier. She thinks that eventually they will get to the point where PB will have to look at those issues as well. Co-Chairman Pally stated that by 2030 we might have a second track and maybe even a third track on the LIRR mainline, both of which would be very helpful in those discussions.

Upon motion duly made and seconded, the modification to PB Americas Inc.'s contract was approved for recommendation to the Board. Other Metro-North procurements are included in the minutes of Metro-North Railroad of this day.

#### MTA CAPITAL CONSTRUCTION PROCUREMENT

David Cannon introduced five (5) competitive procurement items and one (1) ratification item on behalf of MTA Capital Construction in the total amount of \$9,994,831.

The first item was a modification to the East Side Access General Engineering Consultant Contract with PB Americas/STV and Parsons Transportation group for various design changes including revisions to catenary electrification, the Eastbound reroute, the B/C Tunnel approach and additional bid support services in the amount of \$1,308,213.

Items two, three and four (2-4) were modifications to the East Side Access Harold Structures Part I Contract with Tutor Perini Corporation. Item 2 is for revisions to catenary poles, foundation guy cables and anchors; Item 3 is for the installation of reinforced concrete pads and foundations for two Motor Generator sets; Item 4 is a scope and budget transfer from a future contract for the erection of a new catenary structure. Mr. Cannon stated that there was a typographical error on the total for Procurement

September 24, 2012

items 2-4. The correct total was \$7,340,429 not the \$7,215,496 figure contained in the printed materials. Mr. Cannon stated that if the Committee voted to move the item for a full Board vote, a revised Staff Summary with the correct amount would be issued prior to Thursday's Board meeting.

Item five was a modification to the East Side Access Northern Boulevard Crossing Contract with Schiavone/Kiewit Joint Venture for impact and additional design costs related to the construction of the permanent Plaza Invert Slab within the Early Access Chamber in the amount of \$477,689.

Committee Member Charles Moerdler recused himself from voting on procurement items 2-4. Upon motion duly made and seconded, all procurement items were approved for recommendation to the Board.

Item 6 was a ratification of the award of a modification to the East Side Access General Engineering Consultant Contract with PB Americas/STV and Parsons Transportation Group for revisions to the GCT Concourse for additional work related to the Biltmore Room Connection in the amount of \$868,500.

Upon motion duly made and seconded, all procurement items were approved for recommendation to the Board. Details of the above items are set forth in the Staff Summaries and other materials, copies of which are on file with the records of this meeting.

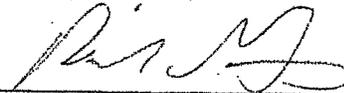
**LIRR Reports on Operations, Finance and Ridership and the Capital Program**

The details of these reports are contained in the reports filed with the records of the meeting.

**Adjournment**

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

Respectfully submitted,



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Richard L. Gans  
Secretary



## 2012 Metro-North/Long Island Rail Road Committee Work Plan

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### I. RECURRING AGENDA ITEMS

#### Responsibility

Approval of Minutes	Committee Chairs & Members
2012 Committee Work Plan	Committee Chairs & Members
Agency Presidents'/Chief's Reports	Presidents/Senior Staffs
Information Items (if any)	
Action Items (if any)	
Procurements	
Performance Summaries	
Status of Operations/Safety	
Financial/Ridership	
Capital Program Report	

### II. SPECIFIC AGENDA ITEMS

#### Responsibility

#### October 2012

2013 Preliminary Budget (Public Comment)	Finance
Diversity/EEO Report – 3 <sup>rd</sup> Quarter 2012	Administration/Diversity

#### November 2012

Annual Committee Charter Review	Committee Chairs & Members
Holiday Schedule	Service/Operations Planning

#### December 2012

2013 Final Proposed Budget	Finance
2013 Proposed Committee Work Plan	Committee Chairs & Members
Elevator & Escalator Service Report–3 <sup>rd</sup> Quarter 2012	Operations

# METRO-NORTH AND LONG ISLAND RAIL ROAD COMMITTEE WORK PLAN

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## 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.

#### 2012 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.

#### 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.

#### Police Activity Report

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

#### Report on Operations/Safety

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

#### Monthly Financial & Ridership Report

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. It will also include a comparison of actual monthly ticket sales, ridership and revenues with the budget and prior year results.

#### Capital Program Progress Report

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

## II. SPECIFIC AGENDA ITEMS

### Detailed Summary

#### OCTOBER 2012

##### 2013 Preliminary Operating Budget

Public comment will be accepted on the Agency's 2013 Preliminary Operating Budget.

##### Diversity/EEO Report – 3<sup>rd</sup> Quarter 2012

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to MNR/LIRR's Equal Employment Opportunity and Diversity efforts, such as composition of the agency's workforce, new hires, and discrimination complaints. In the 2<sup>nd</sup> and 4<sup>th</sup> quarters, the report will include additional information specifically on the efforts the agency has undertaken to address the underutilization of minorities and women.

#### NOVEMBER 2012

##### Annual Committee Charter Review

The Committee will review and assess the adequacy of the Committee Charter.

##### Holiday Schedule

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

#### DECEMBER 2012

##### 2013 Final Proposed Operating Budget

The Committee will recommend action to the MTA Board on the Final Proposed Operating Budget for 2013.

##### Proposed 2013 Committee Work Plan

The Committee Chairs will present a draft Metro-North/Long Island Railroad Committee Work Plan for 2013 that will address initiatives to be reported throughout the year.

##### Elevator & Escalator Service Report– 3<sup>rd</sup> Quarter 2012

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

## MTA CAPITAL CONSTRUCTION PROJECT UPDATE

### East Side Access October 2012

#### Project Description

The East Side Access project brings Long Island Rail Road (LIRR) train service to a new lower level of Grand Central Terminal. The connection significantly improves travel times for Long Island and Queens commuters to the Midtown business district and alleviates pressure at a crowded Penn Station.

#### Budget and Estimate at Completion (EAC)

	<u>Budget</u>	<u>Last Reported EAC</u>	<u>Current Month EAC</u>	<u>Expenditures</u>
Design	\$ 671,029,379	\$ 671,029,379	\$ 671,029,379	\$577,685,127
Construction	6,442,835,777	6,442,835,777	6,442,835,777	2,866,356,371
Project Management	762,816,530	762,816,530	762,816,530	450,526,451
Real Estate	166,318,314	166,318,314	166,318,314	100,588,397
Rolling Stock*	202,000,000	202,000,000	202,000,000	0
<b>Total Project Cost</b>	<b>\$ 8,245,000,000</b>	<b>\$ 8,245,000,000</b>	<b>\$ 8,245,000,000</b>	<b>\$3,995,156,346</b>

\* An additional \$463 million budgeted for ESA rolling stock is included in a reserve in the Board-approved 2010-2014 Capital Plan pending completion of a simulation of opening day service and fleet need.

#### Major Milestones and Forecasts

	<u>Original Schedule</u>	<u>Previous Month Schedule</u>	<u>Current Month Schedule</u>
Project Design Start	March 1999	March 1999	March 1999
Project Design Completion	4th Q 2008	February 2013	February 2013
Project Construction Start	September 2001	September 2001	September 2001
Revenue Service Date	2nd Q 2012	August 2019	August 2019

#### Current Issues/Highlights

- Concrete and excavation work continues to progress in the GCT Caverns and Tail Tracks. A portion of the Madison Yard was turned over last month. Additional areas of the project will be completed and turned over in November and December.
- Steel for the 50<sup>th</sup> Street Vent Plant Facility (CM013) started to be installed in October, while steel for the 44<sup>th</sup> Street Vent Plant Facility will begin later in November. Steel work at these two facilities is expected to be completed by year's end -- in time for the follow-on CM012 Contract.
- Kick-off and initial meetings have started for the 55<sup>th</sup> Street Vent Plant Facility Contract (CM013A), with no issues to report.
- Steel erection for the B10 Substation (located on Northern Boulevard in Queens) continues to progress as part of the CQ032 contract along with existing facility retro-fitting at Roosevelt, Vernon, 12<sup>th</sup>, 23<sup>rd</sup> and 29<sup>th</sup> Street facilities. Plans are being reviewed to start work in the first area of the open-cut in November with access to start work in the second area to follow in December.

- Excavation of the Northern Boulevard Crossing (CQ039) remains targeted for completion by mid-November with waterproofing and concrete work to follow. The contractor is excavating the final drifts.
- In the Harold Interlocking (CH053/054A), installation of the remaining catenary foundations and poles continues, as planned, through the end of the year. In October, the Contractor started to pull cable for the 12kV electrical ductbank for the CH053 section, as this work continues to progress in the CH054A section.
- Negotiations continue for the first Systems Contract (CS0179) and are targeted to be completed next month. Award of this contract is critical by end of year to keep this work off the critical path. Procurement for the signal equipment (VS086) began with proposals due next month. Bids were received for the Manhattan Structures contract CM012 and are being evaluated.

## East Side Access Active and Future Construction Contracts

### Report to the Railroad Committee - October 2012

Expenditures thru September 2012; \$s in million

	Budget	Expenditures
Construction	\$ 6,442.8	\$ 2,866.4
Design	\$ 671.0	\$ 577.7
Project Management	\$ 762.8	\$ 450.5
Real Estate	\$ 166.3	\$ 100.6
Rolling Stock†	\$ 202.0	\$ -
<b>Total</b>	<b>\$ 8,245.0</b>	<b>\$ 3,995.2</b>

† An additional \$463 million budgeted for ESA rolling stock is included in a reserve in the Board-approved 2010-2014 Capital Plan pending completion of a simulation of opening day service and fleet need.

Project Description	Budget (Bid + Contingency)	Current Contract (Bid + Approved AWOs)	Remaining Budget	Expenditures	2012 Reforecast Award Date	Actual/ Forecast Award Date**	Planned Completion at Award*	Forecast Completion**
<b>Manhattan Construction</b>								
CM009: Manhattan Tunnel Excavation & Lining <i>Dragados Judlau, JV</i>	\$413.4	\$411.8	\$1.6	\$370.3	Jul-2006	Jul-2006	Oct-2012	Jul-2013
CM019: GCT Concourse Civil & Structural <i>Dragados Judlau, JV</i>	\$793.9	\$772.3	\$21.6	\$657.6	Apr-2008	Apr-2008	Oct-2012	Jul-2013
<i>Note: Budget includes funding for scope not yet contractually obligated but not available for contingency.</i>								
CM014A: GCT Concourse Finishes Early Work <i>Yonkers Contracting</i>	\$46.5	\$43.7	\$2.9	\$4.0	Nov-2011	Nov-2011	Apr-2013	Jul-2013
CM013A: 55th St Vent Facility <i>SCC-JPP, JV</i>	\$58.8	\$56.0	\$2.8	\$0.0	Aug-2012	Aug-2012	Apr-2015	Apr-2015
CM012: Manhattan Struct Pt 2 & Cavern MEP & Finishes		<i>In Procurement</i>			Nov-2012	Dec-2012	N/A	Jun-2016
<b>Queens Construction</b>								
CQ031: Queens Bored Tunnel & Structures <i>Granite-Traylor-Frontier, JV</i>	\$776.7	\$769.7	\$7.0	\$645.5	Sep-2009	Sep-2009	Sep-2012	Apr-2013
<i>Notes: Contract includes \$11M of Regional Investments scope. Budget includes funding for scope not yet contractually obligated but not available for contingency.</i>								
CQ039: Northern Blvd Crossing <i>Schiavone Construction / Kiewit</i>	\$102.1	\$98.4	\$3.7	\$59.9	Feb-2010	Feb-2010	Oct-2011	May-2013
<i>Note: Budget includes funding for scope not yet contractually obligated but not available for contingency.</i>								
CQ032: Plaza Substation & Queens Struct Construction <i>Tutor Perini Corporation</i>	\$165.1	\$148.6	\$16.5	\$13.8	Aug-2011	Aug-2011	Aug-2014	Jan-2015
<b>Harold Construction</b>								
CH053: Harold Structures (Part 1) <i>Perini Corporation</i>	\$267.8	\$196.0	\$71.8	\$123.3	Jan-2008	Jan-2008	Feb-2011	Dec-2013
<i>Note: Budget includes funding for scope not yet contractually obligated but not available for contingency.</i>								
CH058: Harold Structures - Part 3: Eastbound Reroute		<i>In Design</i>			Oct-2013	Nov-2013	N/A	Apr-2017
<b>Systems Contracts</b>								
Systems Package 1: Tunnel Ventilation, Facility Power, Communications, Controls, Security, Fire Detection		<i>In Procurement</i>			Sep-2012	Dec-2012	N/A	May-2018 <sup>1)</sup>
Systems Package 2: Trackwork and Traction Power		<i>In Procurement</i>			Apr-2013	May-2013	N/A	May-2018 <sup>1)</sup>
Systems Package 3: Signal Equipment		<i>In Procurement</i>			Mar-2013	Mar-2013	N/A	May-2018 <sup>1)</sup>

\*Planned Completion at Award dates for contracts CM009, CM019, and CH053 are adjusted to the 2009 re-baseline plan.

\*\*Project reforecasting is being finalized and contract milestones and budgets are being adjusted.

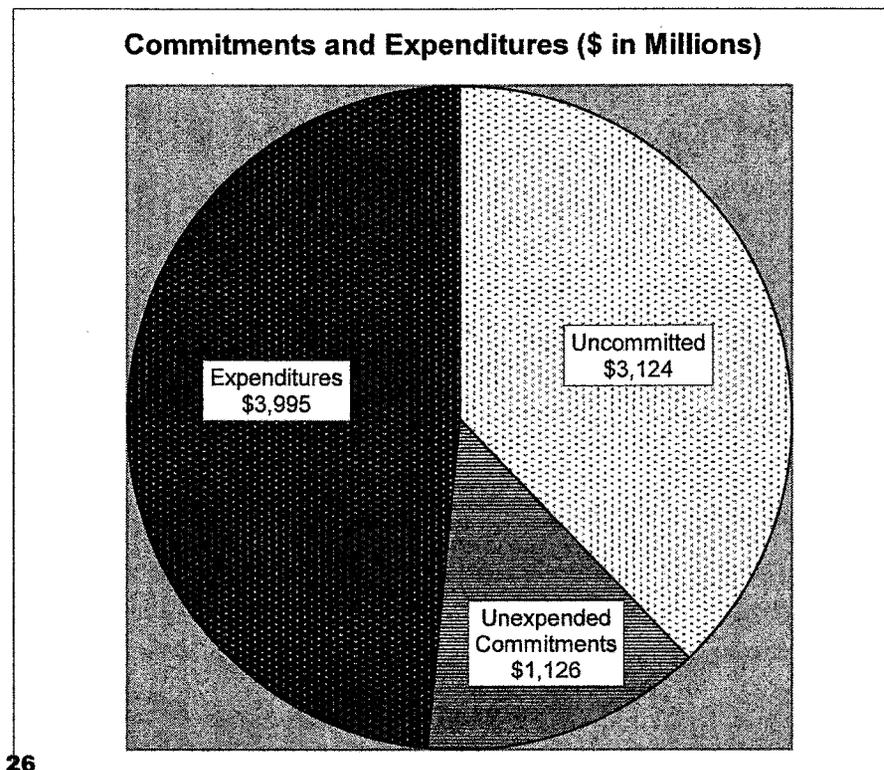
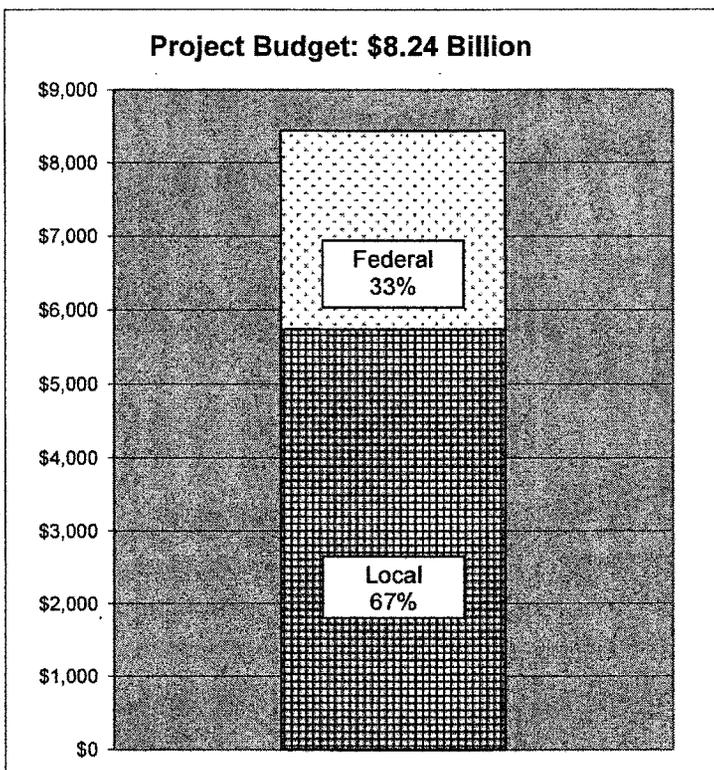
1) Integrated Systems Testing complete May 2018, construction complete Nov 2017.

## East Side Access Status

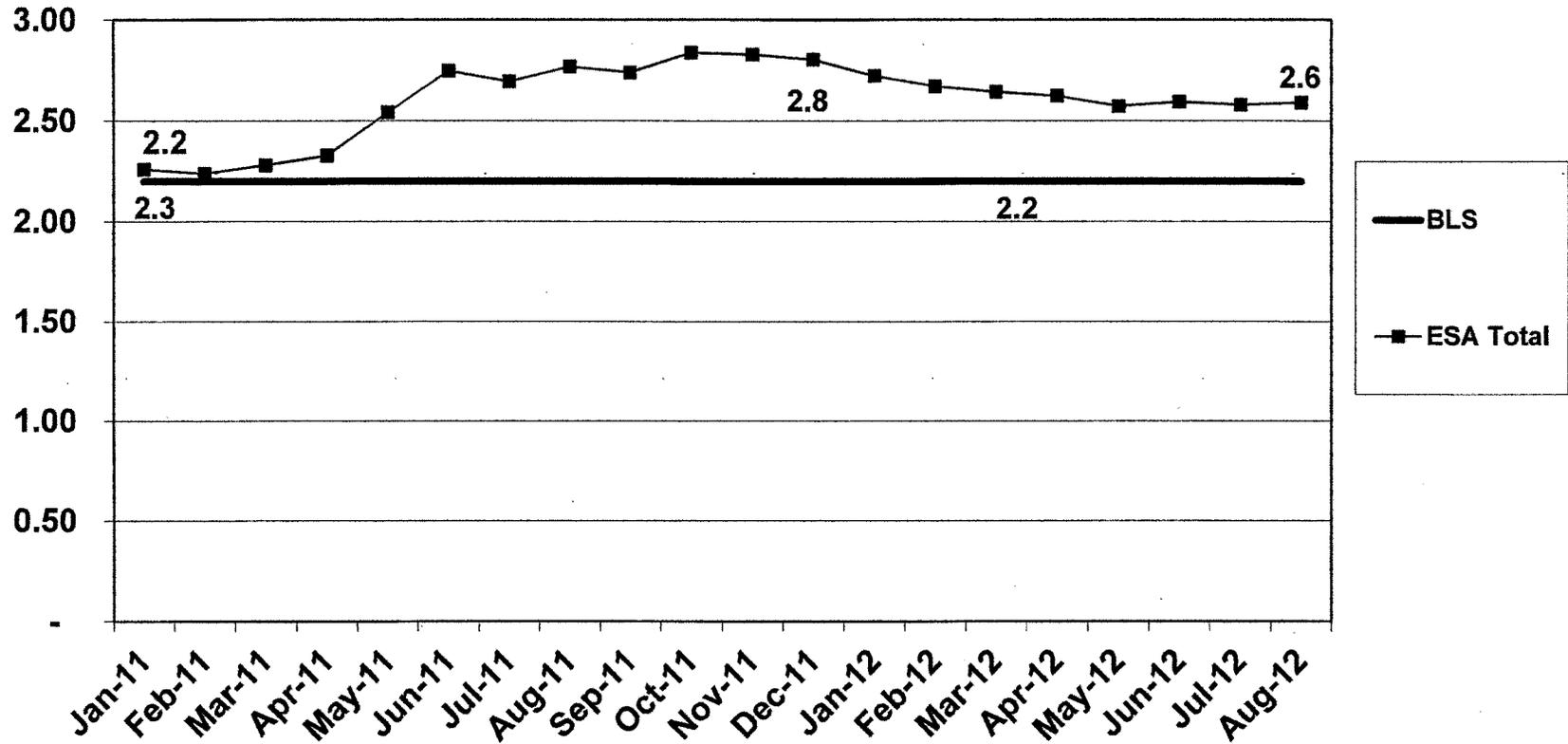
Report to the Railroad Committee - October 2012  
(data thru September 2012)

MTA Capital Program \$ in Millions	Budgeted	Funding Sources			Status of Commitments		
		Local Funding	Federal Funding*	Federal Received	Committed	Uncommitted	Expended
1995-1999	\$ 158	\$ 94	\$ 64	\$ 64	\$ 158	\$ -	\$ 157
2000-2004	1,534	747	785	785	1,498	36	1,411
2005-2009	2,683	839	1,845	1,176	2,644	39	2,161
2010-2014	3,154	3,346	5	-	822	2,332	266
2015-2019	717	717	-	-	-	717	-
<b>Total</b>	<b>\$ 8,245</b>	<b>\$ 5,743</b>	<b>\$ 2,699</b>	<b>\$ 2,025</b>	<b>\$ 5,121</b>	<b>\$ 3,124</b>	<b>\$ 3,995</b>

\* All Federal funding is approved through a Full Funding Grant Agreement with the FTA.



**Lost Time Injury Rate  
East Side Access Project, 2011-2012  
vs. US BLS National Standard for Heavy & Civil Construction**



**Note:**  
Lost Time Injury Rate = Number of Lost Time Injuries per 200,000 Workhours (equivalent to 100 full-time workers)



# **Police Report October 2012**



**METROPOLITAN TRANSPORTATION AUTHORITY  
Police Department  
System Wide**

**September 2012 vs. 2011**

	<b>2012</b>	<b>2011</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	0	0	0%
<b>Robbery</b>	8	7	1	14%
<b>Felony Assault</b>	1	5	-4	-80%
<b>Burglary</b>	0	1	-1	-100%
<b>Grand Larceny</b>	16	18	-2	-11%
<b>GLA</b>	0	0	0	0%
<b>Total Major Felonies</b>	25	31	-6	-19%

**Year to Date 2012 vs. 2011**

	<b>2012</b>	<b>2011</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	1	-1	-100%
<b>Robbery</b>	45	49	-4	-8%
<b>Felony Assault</b>	24	34	-10	-29%
<b>Burglary</b>	13	5	8	160%
<b>Grand Larceny</b>	172	176	-4	-2%
<b>GLA</b>	3	7	-4	-57%
<b>Total Major Felonies</b>	257	272	-15	-6%



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

**September 2012 vs. 2011**

	<b>2012</b>	<b>2011</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	0	0	0%
<b>Robbery</b>	2	4	-2	-50%
<b>Felony Assault</b>	1	3	-2	-67%
<b>Burglary</b>	0	1	-1	-100%
<b>Grand Larceny</b>	11	6	5	83%
<b>GLA</b>	0	0	0	0%
<b>Total Major Felonies</b>	14	14	0	0%

**Year to Date 2012 vs. 2011**

	<b>2012</b>	<b>2011</b>	<b>Diff</b>	<b>% Change</b>
<b>Murder</b>	0	0	0	0%
<b>Rape</b>	0	1	-1	-100%
<b>Robbery</b>	17	31	-14	-45%
<b>Felony Assault</b>	16	26	-10	-38%
<b>Burglary</b>	1	2	-1	-50%
<b>Grand Larceny</b>	92	82	10	12%
<b>GLA</b>	0	1	-1	-100%
<b>Total Major Felonies</b>	126	143	-17	-12%



**METROPOLITAN TRANSPORTATION AUTHORITY**  
**Police Department**  
**Metro North Railroad**

**September 2012 vs. 2011**

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	4	3	1	33%
Felony Assault	0	2	-2	-100%
Burglary	0	0	0	0%
Grand Larceny	5	12	-7	-58%
GLA	0	0	0	0%
<b>Total Major Felonies</b>	<b>9</b>	<b>17</b>	<b>-8</b>	<b>-47%</b>

**Year to Date 2012 vs. 2011**

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	17	9	8	89%
Felony Assault	6	8	-2	-25%
Burglary	12	2	10	500%
Grand Larceny	70	91	-21	-23%
GLA	3	6	-3	-50%
<b>Total Major Felonies</b>	<b>108</b>	<b>116</b>	<b>-8</b>	<b>-7%</b>



# METROPOLITAN TRANSPORTATION AUTHORITY

## Police Department Staten Island Rapid Transit

### September 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	2	0	2	0%
Felony Assault	0	0	0	0%
Burglary	0	0	0	0%
Grand Larceny	0	0	0	0%
GLA	0	0	0	0%
<b>Total Major Felonies</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>0%</b>

### Year to Date 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	11	9	2	22%
Felony Assault	2	0	2	0%
Burglary	0	1	-1	-100%
Grand Larceny	10	3	7	233%
GLA	0	0	0	0%
<b>Total Major Felonies</b>	<b>23</b>	<b>13</b>	<b>10</b>	<b>77%</b>

**INDEX CRIME REPORT**  
**Per Day Average**  
**September 2012**

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	0	0	0	0
Robbery	8	2	4	2
Fel. Assault	1	1	0	0
Burglary	0	0	0	0
Grand Larceny	16	11	5	0
GLA	0	0	0	0
Total	25	14	9	2
Crimes Per Day	0.83	0.47	0.30	0.07



# MTA Police Department Arrest Summary: Department Totals

10/5/2012  
9:34:14AM

1/1/2012 to 9/30/2012

<b>Arrest Classification</b>	<b>Total Arrests</b>
Robbery	38
Felony Assault	30
Burglary	11
Grand Larceny	47
Aggravated Harassment	4
Aggravated Unlicensed Operator	25
Assault-Misdemeanor	35
Breach of Peace	11
Child Endangerment	3
Criminal Contempt	1
Criminal Impersonation	6
Criminal Mischief	39
Criminal Possession Stolen Property	12
Criminal Trespass	30
Disorderly Conduct	12
Drug Offenses	28
DUI Offenses	13
Falsely Reporting an Incident	7
Forgery	22
Fraud	6
Graffiti	5
Harassment	7
Menacing	10
NYC Admin Code	1
Obstruct Government	4
Petit Larceny	90
Public Lewdness	63
Reckless Endangerment	7
Resisting Arrest	56
Sex Offenses	13
Theft of Services	54
VTL Offenses	1
Warrant Arrest	37
Weapons Offenses	7
<b>Arrest Totals</b>	<b>735</b>



**Metro-North Railroad**

**Information Items  
October 2012**

2012, 3RD QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

**WORKFORCE UTILIZATION ANALYSIS  
AS OF 9/30/12**

JOB CATEGORY	FEMALES			BLACKS			HISPANICS			ASIANS			AI/AN			NHOPI			OTHER		
	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)	Est Avail	Actual %	Met Avail (Yes/No)
Officials & Administrators	26%	19%	No	8%	14%	Yes	6%	5%	No	4%	6%	Yes	0%	0%	Yes	1%	0%	No	1%	1%	Yes
Professionals	45%	37%	No	8%	20%	Yes	5%	8%	Yes	4%	16%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
Technicians	23%	2%	No	4%	21%	Yes	5%	6%	Yes	6%	6%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
Protective Services	0%	0%	Yes																		
Paraprofessionals	59%	69%	Yes	10%	17%	Yes	7%	6%	No	3%	17%	Yes	0%	0%	Yes	0%	0%	Yes	1%	0%	No
Administrative Support	59%	43%	No	14%	30%	Yes	11%	12%	Yes	4%	4%	Yes	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
Skilled Craft	7%	6%	No	21%	17%	No	15%	7%	No	6%	2%	No	0%	0%	Yes	0%	0%	Yes	1%	1%	Yes
Service Maintenance	12%	14%	Yes	16%	37%	Yes	13%	15%	Yes	4%	2%	No	1%	0%	No	0%	0%	Yes	1%	1%	Yes

## **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.

**2012, 3RD QUARTER EEO REPORT**

**AGENCY NAME: METRO-NORTH RAILROAD**

**NEW HIRES  
AS OF 9/30/12**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		BLACKS		HISPANICS		ASIANS		AI/AN		NHOP1		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	16	3	18.8%	2	12.5%	3	18.8%	2	12.5%	0	0.0%	0	0.0%	1	6.3%
Professionals	17	6	35.3%	3	17.6%	1	5.9%	4	23.5%	0	0.0%	0	0.0%	0	0.0%
Technicians	4	0	0.0%	1	25.0%	1	25.0%	1	25.0%	0	0.0%	0	0.0%	0	0.0%
Protective Services	0	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Paraprofessionals	1	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Administrative Support	64	23	35.9%	10	15.6%	6	9.4%	11	17.2%	0	0.0%	0	0.0%	4	6.3%
Skilled Craft	182	13	7.1%	29	15.9%	18	9.9%	4	2.2%	1	0.5%	0	0.0%	0	0.0%
Service Maintenance	116	14	12.1%	19	16.4%	21	18.1%	0	0.0%	1	0.9%	0	0.0%	0	0.0%
<b>Total</b>	<b>400</b>	<b>59</b>	<b>14.8%</b>	<b>64</b>	<b>16.0%</b>	<b>50</b>	<b>12.5%</b>	<b>22</b>	<b>5.5%</b>	<b>2</b>	<b>0.5%</b>	<b>0</b>	<b>0.0%</b>	<b>5</b>	<b>1.3%</b>

<sup>1</sup> Total includes males and females (in each of the protected racial/ethnic groups as well as including non-minorities).

<sup>2</sup> Total includes females in each of the protected racial/ethnic groups as well as including non-minorities.

**2012, 3RD QUARTER EEO REPORT**

**AGENCY NAME: METRO-NORTH RAILROAD**

**EEO AND TITLE VI COMPLAINTS  
AS OF 9/30/12**

Category	Race	Disability	Gender	National Origin	Age	Sexual Harassment	Religion	Other <sup>1</sup>	Total Issues <sup>2</sup>	Total Cases	Status (# Open)
EEO	17	11	7	3	7	9	4	19	77	51	14
External Complaints	9	8	4	3	5	2	3	12	46	22	9
Internal Complaints	8	3	3	0	2	7	1	7	31	29	5

Category	Race	National Origin	Color	Total Issues <sup>3</sup>	Total Cases	Status (# Open)
Title VI	7	1	0	8	7	2

<sup>1</sup> "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

<sup>2</sup> In some instances a single complaint may involve two or more EEO categories.

<sup>3</sup> In some instances a single complaint may involve two or more EEO categories based on race, national origin, or color.

# Metro-North Railroad Recruitment Strategies Plan 2012-2013

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## Executive Summary

Upon completion of Metro-North Railroad's ("MNR") review and revisions to its methodology regarding external labor availability, it has developed an aggressive outreach recruitment strategy as it faces the challenge of addressing underutilization of females and minorities in its workforce. The results of these efforts will ensure MNR achieves and maintains a diverse workforce population. MNR's mission is to identify and recruit the most qualified candidates from a diverse pool of applicants. To accomplish this mission, the Human Resources and Diversity/EEO Departments have partnered to develop strategies to meet MNR's diversity needs.

In order to recruit and hire qualified females and minorities, the recruitment staff will remain committed to the strategies that are outlined in the 2012-2013 Metro-North Railroad Recruitment Action Plan. The objective is to strengthen MNR's extensive contacts in urban and minority communities and engage a more aggressive approach to our recruitment efforts. MNR has reached out to high schools, local colleges, female and minority affiliated organizations and elected officials to assist in its outreach. Enhanced community involvement and cooperation will draw a greater number of individuals to help address MNR's goal of reducing underutilization of females and minorities in its workforce.

The strategies that have proven to be the most effective are those that focus on direct contact with female and minority candidates. The majority of these established contacts are made during recruitment programs at colleges/universities, military bases and community outreach programs. MNR continues to seek those venues which are the most beneficial to our recruitment strategy and recognizes that our success depends upon how we market ourselves.

## 2012-2013 Metro-North Railroad Recruitment Action Plan

The following recruitment strategies will be implemented by Metro-North Railroad to improve female and minority representation in its workforce:

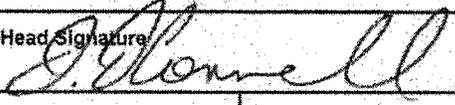
- Educate supervisory and management workforce on the importance of diversity and the difference between numerical representation versus the benefits of a diverse workforce.
- Include a diversity message on all recruitment postings and materials that says MNR is a great place to work, is an equal opportunity employer, is committed to sustaining a culturally diverse workforce and strongly encourages applications from females and minority candidates.
- Attend regional female and minority job fairs/job conferences to meet and mingle with job seekers, college advisors and other recruiters.
- Contact colleges and universities with large minority enrollments. Visit campuses and culturally diverse organizations such as fraternities, sororities and other gender/minority specific events on campus.
- Advertise internships in craft schools, college student newspapers, minority student organizations and newspapers in minority neighborhoods.
- Continuously follow up with contacts made at job fairs, schools, and minority associations to keep the lines of communication open.
- Track good prospects, so when a position opens, potential candidates are available.
- Maintain a database that houses recruitment based contacts from a variety of sources such as schools/universities, community based organizations, civic groups, etc.
- Work with local community based organizations to identify local talent.
- Continually review MNR's source list of civic groups, churches and fraternal organizations for potential qualified candidates and follow-up with them on a periodic basis to gauge effectiveness of this type of outreach.
- Network with regional offices of minority associations. Attend conventions of minority associations when the events are held.
- Develop a long-term strategy by visiting middle and high schools to introduce students to Metro-North Railroad and inform them of future career/employment opportunities before they seek college or craft schools.
- Expand upon MNR's successful Internship Program where full-time employment opportunities will exist for its diverse intern pool.
- For senior management positions, tap into professional organizations and local chapters of national groups for highly skilled and talented executives.
- Use job banks sponsored by minority associations, newspaper consortiums and other media such as radio and television.



**Metro-North Railroad**

# **Action Items October 2012**

# Staff Summary

<b>Subject</b> NYS DOT Grant for Connecting Services	
<b>Department</b> Operations Planning and Analysis	
<b>Department Head Name</b> Daniel O'Connell	
<b>Department Head Signature</b> 	
<b>Project Manager Name</b> Edilma Jarvis	<b>Program Manager Name</b>

<b>Date</b> September 24, 2012
<b>Vendor Name</b> N/A
<b>Contract Number</b> N/A
<b>Contract Manager Name</b> N/A
<b>Table of Contents Ref#</b>

Board Action					
Order	To	Date	Approval	Info	Other
1	MN Comm Mtn	10/29	X		
2	MTA Finance Mtn	10/29	X		
3	MTA Board Mtn	10/31	X		

Internal Approvals			
Order	Approval	Order	Approval
4	President		
3	VP Financial		

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
1	VP Planning <i>RM</i>					2	General Counsel <i>DO</i>
	Press						

**Narrative**

**PURPOSE:**

To obtain MTA Board approval to enter into a contract to accept \$300,000 in a Congestion Mitigation/Air Quality (CMAQ) grant from the New York State Department of Transportation (NYS DOT) to support connecting services, covering the period from October 1, 2012 through September 30, 2013.

**DISCUSSION:**

Metro-North has worked with NYSDOT to implement various projects to improve access to Metro-North stations. These projects, which include connecting buses (e.g. Transport of Rockland, Newburgh-Beacon Shuttle, Dutchess LOOP, HART, etc.), the Haverstraw-Ossining Ferry, the Newburgh-Beacon Ferry and Guaranteed Ride Home programs, create station access/egress and increase ridership and revenue for the Railroad, as well as reduce the number of single occupancy vehicles on the roads.

Over the past fifteen years, Metro-North has received over \$3.0 million from similar NYSDOT (CMAQ) grants. These funds have been used for a variety of operational and marketing activities: providing customer information (e.g. signage, kiosks, pocket timetables, etc.); marketing/advertising to launch and support these services; supporting Metro-North's Guaranteed Ride Home programs; and for miscellaneous operational improvements. Metro-North plans to use the \$300,000 from the new CMAQ grant in a similar fashion, working with our regional partners to maintain service quality and improve station access.

**BUDGET IMPACT:**

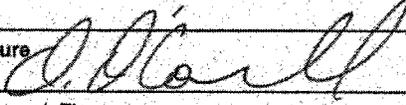
No budget impact. These monies allow for projects that would not otherwise be implemented.

**RECOMMENDATION:**

That the MTA Board grant approval to enter into a contract to accept \$300,000 in a Congestion Mitigation/Air Quality (CMAQ) grant from the New York State Department of Transportation (NYS DOT) to support connecting services, covering the period from October 1, 2012 through September 30, 2013.

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

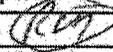
# Staff Summary

<b>Subject</b>	Public Hearing For Setting West Haven Station Fares
<b>Department</b>	Operations Planning & Analysis
<b>Department Head Name</b>	D. O'Connell
<b>Department Head Signature</b>	
<b>Project Manager Name</b>	J. Fiegerman

<b>Date</b>	October 5, 2012
<b>Vendor Name</b>	
<b>Contract Number</b>	
<b>Contract Manager Name</b>	
<b>Table of Contents Ref#</b>	

Board Action					
Order	To	Date	Approval	Info	Other
1	M-N Comm. Mtg.	10/29	X		
2	MTA Fin. Comm.	10/29	X		
3	MTA Board Mtg.	10/31	X		

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

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval
1	VP Planning 		Government Relations		Labor Relations	2	General Counsel 
	Press		VP Human Resources		Personnel		Other

## Narrative

### Purpose:

To authorize one or more public hearings with regard to setting fares for the new West Haven station on the New Haven Line scheduled to open in June 2013.

### Discussion:

Metro-North will commence service to/from West Haven station, effective on or around June 1, 2013. In conjunction with the opening of this station, Metro-North and Connecticut Department of Transportation (CDOT) have jointly agreed that the fares for travel to/from this station should be the same as the existing fares to the New Haven zone.

Section 1266(3) of the New York Public Authorities Law requires that MTA conduct a public hearing prior to instituting any fare changes, including setting fares at new stations.

## Staff Summary

**Recommendation:**

That the Board authorize one or more public hearings with regard to setting fares for West Haven station in conjunction with the opening of the new station in June 2013.

Approved for Submission to the Board



Howard Permut, President



**Long Island Rail Road**

# **INFORMATION**

## **ITEMS**



**Long Island Rail Road**

# DIVERSITY / EEO REPORT

3<sup>rd</sup> Quarter

2012

## OVERVIEW

The Long Island Rail Road has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing the LIRR's September 30, 2012 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

**Page 48** The following numbers and information do not reflect availability for specific job groups. In addition, the numbers and information provided do not show statistical disparities or explain the reasons or provide a root cause for any identified failure to meet availability. Nothing in this report constitutes a finding or admission of unlawful discrimination.

**2012 THIRD QUARTER EEO REPORT**

**AGENCY NAME: LONG ISLAND RAIL ROAD**

**UTILIZATION ANALYSIS  
WORKFORCE DATA AS OF SEPTEMBER 30, 2012**

JOB CATEGORY	FEMALES			BLACKS			HISPANICS			ASIANS			AI/AN			NHOPI			OTHER		
	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)	Est Avail	Actual %	Met (Yes/No)
Officials & Administrators	21%	20%	No	11%	10%	No	6%	7%	Yes	4%	4%	Yes	0%	0%	Yes	0%	0%	Yes	1%	2%	Yes
Professionals	20%	21%	Yes	10%	13%	Yes	7%	7%	Yes	6%	17%	Yes	0%	0%	Yes	0%	0%	Yes	1%	3%	Yes
Technicians	9%	11%	Yes	10%	21%	Yes	8%	11%	Yes	6%	5%	No	0%	0%	Yes	0%	0%	Yes	1%	0%	No
Administrative Support	35%	48%	Yes	19%	27%	Yes	11%	10%	No	3%	3%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
Skilled Craft	8%	10%	Yes	16%	17%	Yes	11%	10%	No	3%	2%	No	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes
Service Maintenance	17%	20%	Yes	19%	29%	Yes	19%	13%	No	2%	2%	Yes	0%	0%	Yes	0%	0%	Yes	2%	2%	Yes

**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 sections of MTA LIRR'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 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 education or through equivalent on-the-job training.

**Administrative Support**

Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other clerical duties 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 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 involve the upkeep and care of the buildings, facilities or grounds of public property.

**2012 THIRD QUARTER EEO REPORT**

**AGENCY NAME: LONG ISLAND RAIL ROAD**

**NEW HIRES  
AS OF SEPTEMBER 30, 2012**

JOB CATEGORY	TOTAL <sup>1</sup>	FEMALES <sup>2</sup>		BLACKS		HISPANICS		ASIANS		AI/AN		NHOPI		OTHER	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%
Officials & Administrators	19	6	31.6%	2	10.5%	4	21.1%	4	21.1%	0	0.0%	0	0.0%	0	0.0%
Professionals	12	4	33.3%	1	8.3%	1	8.3%	3	25.0%	0	0.0%	0	0.0%	0	0.0%
Technicians	9	0	0.0%	3	33.3%	0	0.0%	1	11.1%	0	0.0%	0	0.0%	0	0.0%
Administrative Support	2	2	100.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Skilled Craft	84	18	21.4%	22	26.2%	7	8.3%	5	6.0%	0	0.0%	0	0.0%	2	2.4%
Service Maintenance	105	32	30.5%	32	30.5%	23	21.9%	1	1.0%	1	1.0%	0	0.0%	2	1.9%
<b>Total</b>	<b>231</b>	<b>62</b>	<b>26.8%</b>	<b>60</b>	<b>26.0%</b>	<b>35</b>	<b>15.2%</b>	<b>14</b>	<b>6.1%</b>	<b>1</b>	<b>0.4%</b>	<b>0</b>	<b>0.0%</b>	<b>4</b>	<b>1.7%</b>

<sup>1</sup> Total includes males and females (in each of the protected racial/ethnic groups as well as including non-minorities).

<sup>2</sup> Total includes females in each of the protected racial/ethnic groups as well as including non-minorities.

**2012 THIRD QUARTER EEO REPORT**

**AGENCY NAME: LONG ISLAND RAIL ROAD**

**EEO AND TITLE VI COMPLAINTS  
AS OF SEPTEMBER 30, 2012**

Type	Race	Sexual Harassment	Age	Gender	Religion	National Origin	Disability	Other	Total Issues	Total Cases	Status (# Open)
EEO	7	2	2	1	2	3	5	19	41	28	19
External Complaints	5	0	2	1	2	3	5	15	33	23	18
Internal Complaints	2	2	0	0	0	0	0	4	8	5	1

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Type	Race	Color	National Origin	Total Issues	Total Cases	Status (# Open)
Title VI	3	0	0	3	3	0

## 2012 THIRD QUARTER EEO REPORT

AGENCY NAME: LONG ISLAND RAIL ROAD

### EFFORTS TO IMPROVE THE REPRESENTATION OF UNDERUTILIZED PROTECTED GROUPS

#### EEO Program Management and Evaluation

LIRR Office of Diversity Management is responsible for monitoring the agency's EEO program and progress towards EEO goals. On an annual basis, Diversity Management develops goals for under-represented EEO job groups, based on estimated availability percentages and internal job group populations, and disseminates the information to each department, including Human Resources. On a quarterly basis, Diversity also disseminates Progress Towards Goals reports to Human Resources.

Diversity Management reviews all applicant flow reports to ensure that candidate pools are diverse, and concurs with every non-represented new hire and promotion, pursuant to FTA/DOT Circular requirements.

LIRR continues to focus and improve on female and minority under-representation. Between January 1, 2012 and September 30, 2012, there were 231 new hires, of which, 62 (26.8%) were female and 114 (49.4%) were minority. Of the 105 new hires in the Service Maintenance job category, 21.9% were Hispanic.

#### Upward Mobility Programs and Other Special Initiatives

The Long Island Rail Road is hiring junior engineers and project management trainees. Through September 30, 2012, the LIRR has hired seven Junior Engineers (3WM, 3BM and 1AM) and three project management trainees (1WM, 1HM, 1HF).

##### *Junior Engineer:*

This position is a Training Program and is an introduction to the Long Island Rail Road and its various operating and supporting departments. Specifically, this program is designed to provide an employee with familiarity of all aspects of railroad operations, from supervision to technical support. The schedule includes a 52-week signal, track or structures training curriculum plus on the job training. The participant will work with a mentor. Upon successful completion of the program, the junior engineers will be placed in an entry-level management position.

##### *Project Management-Trainee:*

The Project Management-Trainee is an entry-level training position, responsible to assist with the coordination and administration of projects in the Department of Project Management. Working with seasoned project managers, the Trainees receive on the job and classroom training to develop project coordination, controls, management, scheduling, and/or estimating skills. The Trainee will learn, in a mentoring environment, to apply his/her knowledge with the specialized requirements of the railroad industry. There will be a series of rotation assignments as part of the development and training period. This will introduce the trainees to the railroad and its various operating and support departments. Training may include, but is not limited to, project coordination, administration, controls, scheduling, and estimating. The position will provide support to the project management teams as required. The program is two years in duration. Upon successful completion of the training program, the Trainees will be appropriately placed into an entry-level project management related position.

## 2012 THIRD QUARTER EEO REPORT

AGENCY NAME: LONG ISLAND RAIL ROAD

### EFFORTS TO IMPROVE THE REPRESENTATION OF UNDERUTILIZED PROTECTED GROUPS

#### Targeted Recruitment and Outreach Efforts

The Long Island Rail Road has developed a recruitment strategy designed to address the areas of underutilization and under representation of females and minorities in our workforce, and to better reflect the demographics of the markets we serve.

1. The LIRR develops an annual hiring plan in the fourth quarter of the previous year, which lets us know what crafts and other represented positions and how many we will be recruiting for in the upcoming year. This allows us to begin recruitment early. At the end of the recruitment process, we evaluate the diversity of the pool of viable candidates. If the pool is lacking diversity or areas where we are under-represented, we do additional outreach and/or interviews to improve the diversity of the candidate pool.
2. We conduct outreach in terms of job fairs to improve the pool of qualified candidates and educate the public about possible employment opportunities at the LIRR, such as the East Harlem Job Fair (March 15), Hostos Community College Job Fair (March 22), Women For Hire Job Fair (March 28), Charles Rangel Harlem Job Fair (June 14), Harlem Week Economic Development Day (August 9), Harlem Week Job & Career Fair Expo (August 15), and Town of Hempstead Job Fair (September 13). We also plan to attend the Circle of Sisters Expo (October 6) and the Latino Job Fair (October 18).  
We place advertisements of represented and management positions on targeted websites, such as the National Association of Hispanic Journalists, Society of Women Engineers, the Society of Hispanic Professional Engineers, the National Society of Black Engineers and the National Association of Women in Construction.
4. We also develop relationships with community-based organizations, such as the Nontraditional Employment of Women, the Council of Urban Professionals and the Chinese-American Planning Council. The LIRR is also in the process of developing a contact list of community boards in New York City to distribute weekly job postings.

## Staff Summary

<b>Subject</b> NOVEMBER TIMETABLE CHANGE/TRACK WORK PROGRAMS						<b>Date</b> OCTOBER 29, 2012			
<b>Department</b> SR. VICE PRESIDENT – OPERATIONS						<b>Vendor Name</b>			
<b>Department Head Name</b> M. GELORMINO						<b>Contract Number</b>			
<b>Department Head Signature</b> <i>Michael Gelormino</i>						<b>Contract Manager Signature</b>			
<b>Project Manager Name</b>									
<b>Board Action</b>						<b>Internal Approval</b>			
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>
1	LI COMM	10/29				4	President <i>HAN</i>	1	Sr. VP Op. <i>h/p</i>
						3	Executive VP <i>ape</i>		
						2	VP Mktg & PA <i>SC</i>		

### PURPOSE:

This is to inform the Metro North/Long Island Committee of the MTA Long Island Rail Road's plan to adjust schedules beginning November 12, 2012, through March 4, 2013 to support various construction projects. Long Island Rail Road Engineering forces will begin a cable replacement project in the Atlantic Avenue tunnels between Atlantic Terminal and East New York and third rail replacement begins on the Babylon branch between Wantagh and Amityville. Continuing projects include various single track scenarios for East Side Access work and Concrete Tie Replacement between Jamaica and Queens Village.

### NOVEMBER 12 TIMETABLE CHANGE

#### *Construction projects:*

- Atlantic Branch Cable Replacement – Evenings single-track outage between Atlantic Terminal and East New York.
- Babylon Branch Third Rail Replacement – Midday weekdays single track outage between Wantagh and Amityville.
- The following projects have been completed and schedules have been restored to their normal times at all affected stations. The projects and their locations are described below:
  - Babylon Branch Third Rail Replacement – Freeport to Wantagh.
  - Port Jefferson Branch Mechanized Tie Installation – Syosset to Huntington.
  - Atlantic Branch Cable Replacement – East New York to Jamaica.

#### *Service improvement / Babylon Branch*

- Weekday eastbound evening service to Babylon between 9 PM and 12 AM midnight has been adjusted to between 6 minutes earlier and 13 minutes later in order to create a memory/clockface schedule pattern for customers during those hours.

*Service improvement / Ronkonkoma Branch – Farmingdale Service*

- Three weekend westbound trains between Farmingdale and Penn Station will be added from 10 AM to 1 PM and three weekend eastbound trains between Penn Station and Farmingdale will be added from 4 PM to 7 PM. These added trains will increase service levels on the Main Line corridor during the hours of heaviest demand.

*Service improvement / Holiday Service*

- On weekends between November 24<sup>th</sup> and December 30<sup>th</sup> service will be added on the Port Washington and Long Beach branches during the peak demand time periods. Each branch will receive eight additional trains that will operate westbound between 9AM and 1PM and eastbound between 4PM and 8PM. This increase in service will provide customers with half hourly service during this holiday travel time period. In addition, two overnight trains between Penn Station and Huntington and Penn Station and Babylon have been added to accommodate customers taking in late night events throughout the city during the holiday season.

**TRACK WORK PROGRAM**

- Concrete tie replacement between Jamaica and Queens Village on the Main Line will require two of four main tracks to be out of service for fifty four hours on four consecutive weekends, October 27-28, November 3-4, November 10-11, and November 17-18. This reduction in capacity will require five eastbound trains to be held in Jamaica station for three minutes each to allow for other trains to be re-routed to the two remaining Main Line tracks. Westbound local customers on Hempstead branch trains traveling to Queens Village and Hollis will detrain and board buses at Bellerose. Those customers will experience up to 16 minutes of additional travel time.

**DISCUSSION**

*Construction Projects*

- Atlantic Branch – A single track outage between Atlantic Terminal and East New York is required to allow engineering forces to replace cable in the Atlantic Ave. tunnels. Nine trains that operate to Atlantic Terminal and 4 of their connections are adjusted between 8 minutes earlier and 13 minutes later. In addition, six West Hempstead trains are adjusted between 25 minutes earlier and 25 minutes later for connections to accommodate this work.
- Babylon Branch –Following the completion of third rail replacement work between Freeport and Wantagh, work shifts to between Wantagh and Amityville. Trains schedules are restored and then further adjusted up to 6 minutes later to accommodate a single track outage between these two locations for the replacement of third rail.

Public Timetables and other informational material will be issued providing details of service.

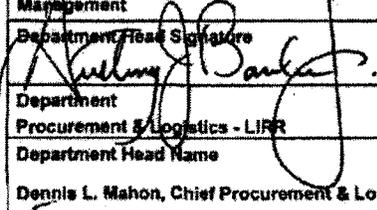
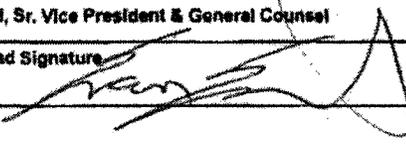
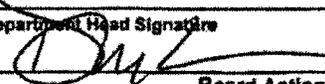
**IMPACT ON FUNDING**

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

**METRO-NORTH/LONG ISLAND  
COMMITTEE**

**PROCUREMENTS  
FOR  
BOARD  
ACTION**

**OCTOBER 31, 2012**

<b>Subject</b> Request for Authorization to Award Various Procurements						<b>Date</b> October 9, 2012												
<b>Department</b> Procurement & Material Management - MNR						<b>Department</b> Law and Procurement - MTACC												
<b>Department Head Name</b> Anthony J. Bombace, Jr., Sr. Director, Procurement & Material Management						<b>Department Head Name</b> <i>OKC</i> Evan M. Eisland, Sr. Vice President & General Counsel												
<b>Department Head Signature</b> 						<b>Department Head Signature</b> 												
<b>Department</b> Procurement & Logistics - LIRR																		
<b>Department Head Name</b> Dennis L. Mahon, Chief Procurement & Logistics Officer																		
<b>Department Head Signature</b> 																		
<b>Board Action</b>						<b>Internal Approvals</b>												
<b>Order</b>	<b>To</b>	<b>Date</b>	<b>Approval</b>	<b>Info</b>	<b>Other</b>	<b>Order</b>	<b>Approval</b>	<b>Order</b>	<b>Approval</b>									
1	MNR/LIRR Committee	10-29-12	X			X	President, MNR											
2	MTA Board	10-31-12	X			X	President, LIRR <i>[Signature]</i>											
						X	President, MTACC <i>[Signature]</i>											
<p><b>PURPOSE:</b></p> <p>To obtain approval of the Board to award various contracts and purchase orders, and to inform the Metro-North/Long Island Committee of these procurement actions.</p> <p><b>DISCUSSION:</b></p> <p>MNR proposes to award Non-Competitive procurements in the following categories:</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u></th> <th style="text-align: right;"><u># of Actions</u></th> <th style="text-align: right;"><u>\$ Amount</u></th> </tr> </thead> <tbody> <tr> <td>Schedule A: Non-Competitive Purchases and Public Work Contracts</td> <td style="text-align: right;">2</td> <td style="text-align: right;">\$2,992,600</td> </tr> <tr> <td style="text-align: right;"><b>SUBTOTAL:</b></td> <td style="text-align: right;"><b>2</b></td> <td style="text-align: right;"><b>\$2,992,600</b></td> </tr> </tbody> </table> <p>LIRR proposes to award Non-Competitive procurements in the following categories: NONE</p> <p>MTACC proposes to award Non-Competitive procurements in the following categories: NONE</p>										<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	<u># of Actions</u>	<u>\$ Amount</u>	Schedule A: Non-Competitive Purchases and Public Work Contracts	2	\$2,992,600	<b>SUBTOTAL:</b>	<b>2</b>	<b>\$2,992,600</b>
<u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u>	<u># of Actions</u>	<u>\$ Amount</u>																
Schedule A: Non-Competitive Purchases and Public Work Contracts	2	\$2,992,600																
<b>SUBTOTAL:</b>	<b>2</b>	<b>\$2,992,600</b>																

**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 B:	Competitive Requests for Proposals	1	TBD
Schedule C:	Competitive Requests for Proposals	2	\$18,704,500
<u>Schedules Requiring Majority Vote</u>			
Schedule E:	Miscellaneous Procurement Contracts	2	\$15,000,000
Schedule G:	Miscellaneous Service Contracts	8	\$4,002,064
Schedule H:	Modifications to Personal/Miscellaneous Service Contracts	1	\$243,320
SUBTOTAL:		14	\$37,949,884

**LIRR 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 B:	Competitive Requests for Proposals	3	TBD
<u>Schedules Requiring Majority Vote</u>			
Schedule F:	Personal Service Contracts	1	\$30,388
Schedule G:	Miscellaneous Service Contracts	1	\$92,070
SUBTOTAL:		5	\$122,458

**MTACC proposes to award Competitive Procurements in the following categories:**

<u>Schedules Requiring Majority Vote</u>		<u># of Actions</u>	<u>\$ Amount</u>
Schedule I:	Modifications to Purchase & Public Work Contracts	2	\$6,667,980
SUBTOTAL:		2	\$6,667,980

**MNR proposes to award Ratifications in the following categories:**

NONE

**LIRR proposes to award Ratifications in the following categories:**

NONE

**MTACC proposes to award Ratifications in the following categories:**

		<u># of Actions</u>	<u>\$ Amount</u>
Schedule K:	Ratification of Completed Procurement Actions	1	\$6,535,000
SUBTOTAL:		1	\$6,535,000
<b>TOTAL:</b>		24	\$54,267,922

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 Long Island Rail Road, Metro-North Railroad and MTA Capital Construction operating and capital funds in the amount listed. Funds are available in the current 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.

OCTOBER 2012

METRO-NORTH RAILROAD

LIST OF NON-COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Schedules Requiring Two-Thirds Vote:

**A. Non-Competitive Purchases and Public Work Contracts**

(Staff Summaries required for all items greater than: \$100K; \$250K Other Non-Competitive)

1. **Brookville Equipment Corp.**                      **\$1,100,000 (not-to-exceed)**                      **Staff Summary Attached**  
**Two-Year Purchase Agreement for Brookville Locomotive Parts**

Approval is requested for a non-competitive, two-year purchase agreement with Brookville Equipment Corporation (Brookville) for various Original Equipment Manufacturer (OEM) replacement parts for MNR's BL-6, BL-14 and BL-20 Locomotive Fleets. The original acquisition of these Locomotives was accomplished through the competitive RFP process. Brookville is OEM and sole source supplier for these specific MNR required parts for the Brookville-manufactured Locomotives. As these Locomotives' warranties have expired, the MNR Procurement & Material Management and Maintenance of Equipment Departments have developed the operational spare parts inventory to support them. Items such as track receivers, structural parts and electrical components comprise the majority of these materials. The BL-6 Locomotive is used for shop/yard moves specifically in and around the Harmon Maintenance complex; the BL-14 is used in support of MTA's East Side Access (ESA) project and the BL-20's are used by MNR for Switcher-Shuttle service.

This purchase agreement is specifically instituted to allow MNR to purchase material from Brookville to establish a sufficient parts inventory and for MNR forces to perform repairs as necessary. This is a requirements contract and MNR is under no obligation to generate any minimum amount of purchase orders with Brookville for these OEM parts. This agreement will apply to inventory, non-inventory and repair-and-return items identified as obtainable only from Brookville for the following reasons: a) sole pre-qualified item on the Qualified Product List (QPL), and not available from any distributor or other sources; and b) is proprietary to Brookville. In addition, provisions for acquiring Engineering support from BEC have also been included in this agreement.

This purchase agreement will reduce administrative costs and advertising expenses, eliminate lead time for individual purchase orders and expedite material delivery. In requesting this Board authorization, MNR has complied with PAL 1265-a (3) regarding the posting of advertisements in order to identify potential alternate suppliers and with MTA All-Agency Procurement Guidelines for the purchase of sole source material. MNR shall continue to seek alternate suppliers through vendor outreach and advertisement.

The price for these Locomotive replacement parts and services will be negotiated on an individual basis prior to their purchase. Price reasonableness will be determined through an analysis with similar fleets, comparable parts and historical data. In addition, price concessions will be sought from Brookville to maximize MNR's benefit through the use of this agreement. This procurement is to be funded by the MNR Operating Budget.

2. **Scheidt & Bachmann GmbH**      **\$1,892,600 (not-to-exceed)**      *Staff Summary Attached*  
**Additional Ticket Vending Machines for Metro-North and Long Island Rail Road**

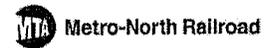
Approval is requested for a non-competitive procurement of Ticket Vending Machines from Scheidt & Bachmann GmbH (S&B) for Metro-North and Long Island Rail Road. S&B is the Original Equipment Manufacturer (OEM), designer and integrator of the Railroads' current equipment and software systems and is the only manufacturer with the expertise, knowledge and qualifications to develop and integrate a relatively small number of additional TVMs into the extensive in-place ticket selling network.

The existing Master Contract with S&B (No. 9284) was competitively solicited, negotiated by Metro-North on behalf of both Railroads, MTA Board approved and awarded to Scheidt & Bachmann, GmbH (S&B). The scope of services included the design, manufacture and delivery of unique ticket selling equipment capable of printing Railroad tickets including variable customer ticket information and bold graphics on rolled ticket stock as well as on pre-encoded NYC Transit MetroCards. The scope also included a central support computer system (CSS) for each Railroad to support transaction processing, overall network management, revenue tracking/reporting, security and interface to bank clearinghouses for credit/debit card processing and settlement. The machines currently account for nearly 90% of all tickets sold on a monthly basis, indicative of high levels of customer satisfaction, confidence and reliance on the system. To date, S&B has provided the Railroads with a total of 730 ticket selling machines including three classes of Ticket Vending Machines (TVMs) totaling 540 (265 MNR & 275 LIRR) and 190 Ticket Office Machines (TOMs) (84 MNR & 106 LIRR).

At this time, the Railroads seek approval to secure an additional 28 ticket vending machines (20 MNR & 8 LIRR) with expanded capability for smartcard payment processing. With the growth in service and ridership since the original machines' purchase, with the reduction in ticket sellers, and the addition of new stations, these new ticket machines will expand the ticket selling capacity to support these needs at both Railroads. These machines will provide: additional sales venues to accommodate increased ridership particularly supplementing ticketing outlets at high volume outlying stations as well as at Grand Central Terminal (for MNR) and ticket selling outlets at new stations/locations (newly opened or planned stations), as well as ticket sales at stations that currently have no ticket selling capacity. In addition, these machines will introduce the acceptance of smartcards as a payment method which will support and serve as a pilot for the MTA new fare payment strategy that incorporates bank-standard, contactless smart cards. This pilot will provide insight into future requirements for system wide acceptance of smart card transactions in keeping with changes in the electronic payment industry as bank smartcards become a more prevalent method of payment.

The unit cost of these 28 smart card TVMs is \$61,252. This cost reflects an approximate 7% increase over prices paid by the Railroads for machines purchased in 2005 and reflects increases in raw materials/technical components as well as expanded functionality. The total cost of this purchase is not-to-exceed \$1,892,600 and includes, the TVM equipment, integration of new contactless smart card payment processing functionality/components (both Hardware and Software), delivery, installation, testing and commissioning, spare parts for the new machines and one-year warranty on new machines for both Railroads. The total cost of \$1,892,600 is broken down as follows: \$1,338,800/MNR and \$553,800/LIRR. This procurement is to be funded by each Railroad's Operating Budget. A portion of the MNR cost (approx.39%) will be funded by CDOT.

Schedule A: Non-Competitive Purchases and Public Work Contracts



Item Number: A

<b>Vendor Name (&amp; Location)</b> Brookville Equipment Corporation, Brookville Pa.
<b>Description</b> OEM replacement parts for MNR's BL-6, BL-14 and BL-20 Locomotive Fleet.
<b>Contract Term (Including Options, if any)</b> Two (2 Years)
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Procurement Type</b> <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Sole Source/OEM

<b>Contract Number</b> Purchase Agreement/Omnibus	<b>Renewal?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>Total Amount:</b>	\$1,100,000 (not-to-exceed)
<b>Funding Source</b>	
X Operating <input type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
<b>Requesting Dept/Div &amp; Department Head Name:</b> Procurement & Material Management, Anthony J. Bombace, Jr.	
<b>Contract Manager:</b> David L. Smutzler	

**Discussion:**

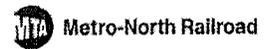
Approval is requested for a non-competitive, two-year purchase agreement with Brookville Equipment Corporation (BEC) for various Original Equipment Manufacturer (OEM) replacement parts for MNR's BL-6, BL-14 and BL-20 Locomotive Fleets. The original acquisition of these Locomotives was accomplished through the competitive RFP process. Brookville is OEM and sole source supplier for these specific MNR required parts for the Brookville-manufactured Locomotives. As these Locomotives' warranties have expired, the MNR Procurement & Material Management and Maintenance of Equipment Departments have developed the operational spare parts inventory to support them. Items such as track receivers, structural parts and electrical components comprise the majority of these materials. Items such as track receivers, structural parts and electrical components comprise the majority of these materials. The BL-6 Locomotive is used for shop/yard moves specifically in and around the Harmon Maintenance complex; the BL-14 is used in support of MTA's East Side Access (ESA) project and the BL-20's are used by MNR for Switcher-Shuttle service.

This purchase agreement is specifically instituted to allow MNR to purchase material from Brookville to establish a sufficient parts inventory and for MNR forces to perform repairs as necessary. This is a requirements contract and MNR is under no obligation to generate any minimum amount of purchase orders with Brookville for these OEM parts. This agreement will apply to inventory, non-inventory and repair-and-return items identified as obtainable only from Brookville for the following reasons: a) sole pre-qualified item on the Qualified Product List (QPL), and not available from any distributor or other sources; and b) is proprietary to Brookville. In addition, provisions for acquiring Engineering support from BEC have also been included in this agreement.

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The price for these Locomotive replacement parts and services will be negotiated on an individual basis prior to their purchase. Price reasonableness will be determined through an analysis with similar fleets, comparable parts and historical data. In addition, price concessions will be sought from Brookville to maximize MNR's benefit through the use of this agreement. This procurement is to be funded by the MNR Operating Budget.

**Schedule A: Non-Competitive Purchases and Public Work Contracts**



Item Number: **A**

<b>Vendor Name (&amp; Location)</b> Scheidt & Bachmann GmbH
<b>Description</b> Additional TVMs for MNR & LIRR
<b>Contract Term (Including Options, if any)</b> Immediate delivery
<b>Option(s) Included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Procurement Type</b> <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Sole Source/OEM

<b>Contract Number</b> 9284	<b>Renewal?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Total Amount: \$1,892,600 ( not-to-exceed)</b>	
<b>Funding Source</b> <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> Procurement & Material Management, Anthony J. Bombace, Jr.	
<b>Contract Manager:</b> A. Gardner	

**I. Background & Discussion:**

Approval is requested for a non-competitive procurement of Ticket Vending Machines from Scheidt & Bachmann GmbH (S&B) for Metro-North and Long Island Rail Road. S&B is the Original Equipment Manufacturer (OEM), designer and integrator of the Railroads' current equipment and software systems and is the only manufacturer with the expertise, knowledge and qualifications to develop and integrate a relatively small number of additional TVMs into the extensive in-place ticket selling network.

The existing Master Contract with S&B (No. 9284) was competitively solicited, negotiated by Metro-North on behalf of both Railroads, MTA Board approved and awarded to Scheidt & Bachmann, GmbH (S&B). The scope of services included the design, manufacture and delivery of unique ticket selling equipment capable of printing Railroad tickets including variable customer ticket information and bold graphics on rolled ticket stock as well as on pre-encoded NYC Transit MetroCards. The scope also included a central support computer system (CSS) for each Railroad to support transaction processing, overall network management, revenue tracking/reporting, security and interface to bank clearinghouses for credit/debit card processing and settlement. The machines currently account for nearly 90% of all tickets sold on a monthly basis, indicative of high levels of customer satisfaction, confidence and reliance on the system. To date, S&B has provided the Railroads with a total of 730 ticket selling machines including three classes of Ticket Vending Machines (TVMs) totaling 540 (265 MNR & 275 LIRR) and 190 Ticket Office Machines (TOMs) (84 MNR & 106 LIRR).

**II. Request:**

At this time, the Railroads seek approval to secure an additional 28 ticket vending machines (20 MNR & 8 LIRR) with expanded capability for smartcard payment processing. With the growth in service and ridership since the original machines' purchase, with the reduction in ticket sellers, and the addition of new stations, these new ticket machines will expand the ticket selling capacity to support these needs at both Railroads. These machines will provide: additional sales venues to accommodate increased ridership particularly supplementing ticketing outlets at high volume outlying stations as well as at Grand Central Terminal (for MNR) and ticket selling outlets at new stations/locations (newly opened or planned stations), as well as ticket sales at stations that currently have no ticket selling capacity. In addition, these machines will introduce the acceptance of smartcards as a payment method which will support and serve as a pilot for the MTA new fare payment strategy that incorporates bank-standard, contactless smart cards. This pilot will provide insight into future requirements for system wide acceptance of smart card transactions in keeping with changes in the electronic payment industry as bank smartcards become a more prevalent method of payment.

III. Budget Impact:

The unit cost of these 28 smart card TVMs is \$61,252. This cost reflects an approximate 7% increase over prices paid by the Railroads for machines purchased in 2005 and reflects increases in raw materials/technical components as well as expanded functionality. The total cost of this purchase is not-to-exceed \$1,892,600 and includes the TVM equipment, integration of new contactless smart card payment processing functionality/components (both Hardware and Software), delivery, installation, testing and commissioning, spare parts for the new machines and one-year warranty on new machines for both Railroads. The total cost of \$1,892,600 is broken down as follows: \$1,338,800/MNR and \$553,800/LIRR. This procurement is to be funded by each Railroad's Operating Budget. A portion of the MNR cost (approx.39%) will be funded by CDOT.

OCTOBER 2012

METRO-NORTH RAILROAD

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Schedules Requiring Two-Thirds Vote:

**B. Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)**  
(Staff Summaries only required for items estimated to be greater than \$1 million)

1. **Request to use RFP Process** **TBD** **Staff Summary Attached**  
**Design and Furnish Third Rail System-Park Avenue Tunnel**

MTA Metro-North Railroad requests permission to use the Request for Proposal (RFP) process to solicit and evaluate proposals from prospective vendors to design, fabricate, test and deliver a complete 6000 ampere aluminum third rail system for Metro-North's Park Avenue Tunnel from 56<sup>th</sup> Street to 99<sup>th</sup> Street. The existing 20-year old Third Rail System has reached the end of its useful life, and the third rail brackets to the system have started to exhibit signs of metal fatigue and corrosion.

The scope of work for the Third Rail System Replacement includes:

- Detailed eng./design of third rail system to ensure compatibility of all system sub-components.
- Preproduction/production test and manufacture of third rail system components.
- Furnish certified test reports for each test performed.
- Provide construction drawings, bill of material, and installation procedures.
- Provide on-site field support during MNR's installation.

In order to assure the selection of the vendor with the necessary aluminum third rail design experience and expertise, it is in the public interest to use the RFP process to properly evaluate the technical and manufacturing capabilities of prospective proposers. The vendor will be selected based on an evaluation of technical capability, past performance, organizational resources, experience of team members, and cost. This procurement will be funded by the MTA Capital Program.

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

2. **Ansaldo STS USA, Inc.** **\$599,749** **Staff Summary Attached**  
**Signal Apparatus-Replace Field Code System at Mott Haven, New York**

Approval is requested to award a 23-month competitively solicited RFP (one proposal received) contract to Ansaldo STS USA, Inc. (Ansaldo), to design and furnish signal apparatus to replace the Field Code System for the Signal Control Point houses in Mott Haven, New York. The current single code signal system provides control for four vital interlockings for the Centralized Traffic Control System. It was installed in 1986-1987 and the equipment is no longer manufactured or supported, is also at the end or beyond its useful life. MNR needs to replace the Field Code System in order to prevent any potential failure with this equipment.

Upgrading the present singular code system at this location into four distinct code systems will minimize the exposure of the operation to failures of any single segment, will greatly reduce maintenance costs and is the most cost effective approach to the system replacement. Also, since the new code system will be micro-processor-based (current system is hard-wired), changes can be made more easily to the system via software rather than complicated and labor-intensive re-wiring. The new system will also allow for flexibility and support options which do not currently exist. Installation will be performed by MNR's forces.

In response to a Request for Proposal, one proposal was received from Ansaldo STS USA, Inc. After considering the proposer's technical capability and price, the Selection Committee unanimously determined that Ansaldo STS USA Inc. is a qualified vendor to provide the necessary single code signal system. Ansaldo is well versed with MNR's signaling infrastructure and operating rules. The MNR Selection Committee found both the technical merits and cost to be satisfactory. Ansaldo will provide all of the required communication and data networking designs, network hardware, power supplies, serial cables, fiber optic cables, interface equipment for the communication network system necessary to meet the Technical specifications and Contract Drawings.

MNR deems Ansaldo's Best and Final Offer of \$599,749 to be fair and reasonable. The period of performance of this contract will be 23 months. This procurement is to be 100% funded by the MNR Capital Program.

3. **Alstom Signaling, Inc.** **\$18,104,751** *Staff Summary Attached*  
**Purchase of Pre-Wired Signal Houses- Port Jervis, Harlem and Waterbury Lines**

Approval is requested for a competitively solicited and negotiated (RFP process, three proposals received; two firms shortlisted), fifteen month purchase contract with Alstom Signaling, Inc. (Alstom) to engineer, fabricate, and furnish signal system equipment for the Port Jervis Line, CP-109 on the Harlem Line, and the Waterbury Branch. Installation will be performed by MNR's forces.

In preparation for a new Positive Train Control (PTC) system, which is required to be in place by December 31, 2015, MNR must make improvements to some of its wayside signal systems. For the Port Jervis Line (NY), the existing wayside-only signal and grade crossing warning systems will be entirely replaced, with the exception of the interlockings and track circuits recently installed between CP Harriman to CP Valley. A new signal block design utilizing cab signal codes was developed for the Port Jervis Line to provide the necessary track capacity for the intended future operating plan and in preparation for the PTC implementation. For the Waterbury Branch (CT to NY), the existing system is currently non-signaled and train movements are currently subject to and controlled per MNR via Operation Under Manual Block System Rules. New interlocking equipment, PTC interface equipment, signal systems, and enclosures for associated locations are to be furnished. For the Harlem Line, CP-109 is a new pre-wired Central Instrument Location (CIL) house with cases and a new vital wayside interlocking is required at/for CP -109.

As a result of the final evaluations of the three proposals received, and in accordance with the criteria for selection, the Committee unanimously recommended Alstom for award. The recommendation is based on the overall quality of their technical and cost proposals. Alstom assembled a team of professionals who have performed similar services successfully for MNR and other rail systems. Alstom's initial proposal of \$18,974,488 was negotiated down to \$18,642,280. It was approximately 25% less than the second low proposal and is 15% less than the engineer's estimate. Alstom proposed technical changes, which were accepted by MNR, which reduced the project cost to \$18,104,751. It is deemed fair and

reasonable for the level of effort anticipated for this project. Board approval is requested in the amount of \$18,104,751 broken down as follows: \$13,885,839 for the Port Jervis Line, \$1,834,147 for CP-109 on the Harlem Line, and \$2,384,765 for the Waterbury Branch. Equipment for the Port Jervis Line and CP-109 is funded by the MTA Capital Program. Equipment associated with the Waterbury Branch is funded by CDOT. Metro-North has conducted a responsibility review and other due diligence with regard to Alstom and has deemed Alstom to be responsible for award.

**Schedules Requiring Majority Vote:**

**E. Miscellaneous Procurement Contracts**

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Non-Competitive)

- |    |                             |                             |                                      |
|----|-----------------------------|-----------------------------|--------------------------------------|
| 4. | ETS Contracting, Inc.       | \$7,500,000 (not-to-exceed) | <i><u>Staff Summary Attached</u></i> |
| 5. | Trio Asbestos Removal Corp. | \$7,500,000 (not-to-exceed) |                                      |

**Indefinite Quantity Asbestos Removal & Other Environmental Remediation Services**

Approval is requested to award two competitively solicited, five-year miscellaneous service contracts (six proposals received), to ETS Contracting, Inc. (ETS) and Trio Asbestos Removal Corp. (Trio) to perform on-call system-wide asbestos, lead and hazardous material abatement services on an as-needed, task order basis.

The scope of services includes the abatement of lead, asbestos, and hazardous material from interior and exterior structures, the preparation of filings, variance requests, and work plans for regulatory agency review/approval, and the containment, testing, and labeling of waste for transport. Work is required throughout MNR's territory in both New York State and Connecticut. ETS and Trio are presently performing these services for MNR in a satisfactory manner.

The objective for contracting with two contractors is to obtain competitive pricing for identified tasks, while maintaining a prequalified source for quick response remediation services. The MNR Selection Committee selected ETS and Trio based on the ranking of their overall scores against the RFP's selection criteria. The solicitation's price schedule was based on the estimated amount of services/tasks MNR anticipates to be required during the next five years applied to the unit price for each of the tasks. Also, ETS and Trio submitted competitive cost proposals with a negligible price variance compared to the in-house estimate. The actual distribution of work to the two vendors will be based on operational requirements and vendor capacity, with the goal of meeting service requirements. As this Board Authorization shall not guarantee any one vendor a fixed amount of work, the overall budget may be reallocated as necessary to ensure the most efficient and timely remediation services.

The cost of these services has increased 1% per year comparing the midpoint of the new contract with the prior contract. The prices will be fixed for the new five-year contracts and are deemed fair and reasonable for the level of service to be provided. The total cost of this service is not-to-exceed \$15,000,000. This procurement is to be funded by the MNR Operating Budget, the MNR Capital Budget and by CDOT on a task-by-task basis.

**G. Miscellaneous Service Contracts**

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Non-Competitive; \$1M RFP; No Staff Summary required if Sealed Bid Procurement.)

- 6. **Walco Electric Co.** **\$300,860 (not-to-exceed)**
- 7. **Sherwood Electromotion Inc.** **\$295,200 (not-to-exceed)**

**Repair and Return of Genesis Locomotive Blower Motor Assemblies**

Approval is requested to award two competitively solicited, two-year miscellaneous service agreements (two bids received) for the pick-up, repair, and delivery of 72 locomotive blower motor assemblies used on MNR's Genesis Locomotives. These contracts are required to complete a retrofit program for MNR's Genesis fleet. The scope of services includes the upgrade of the Inverter windings and the completion of an insulated bearing modification. These repairs ensure the efficient, timely, and safe operation of the Locomotive fleet. MNR does not have the capability to perform this work in-house.

In order to ensure that MNR has a sufficient quantity of blowers to support this retrofit program and to protect against any one vendor not meeting production capacity, the solicitation was structured to allow MNR to award to more than one qualified vendor. The decision to use two vendors will allow MNR to complete this critical program in the most expeditious and cost effective manner while maintaining the quality of the upgraded assemblies. The solicitation of potential bidders included both advertisements placed in required publications as well as additional direct outreach to vendors known to perform this unique type of work. A total of nine vendors received this workscope for their consideration. The solicitation quantities were based on each of the 72 blowers receiving the necessary upgrades.

Two vendors responded to the solicitation, and both Walco Electric and Sherwood Electromotion were deemed responsive and responsible. Walco Electric Company and Sherwood Electromotion Inc. submitted bids in accordance with the solicitation, and awards to each are requested at this time. The awards were based upon the number of upgrades multiplied by the pairs' unit prices. It was anticipated that the work would be evenly dispersed among the two recommended vendors. However, in order to meet the operational requirements in the most efficient and timely manner, the actual distribution of motors to the vendors is to be based upon vendor availability and operational capacity. MNR's Maintenance of Equipment Department in coordination with MNR's Procurement and Material Management Department will manage the distribution of motors and the work performed. As this Board Authorization shall not guarantee any one vendor a fixed amount of work, the overall budget may be reallocated as necessary to ensure the timeliest overhaul/repair of these motors.

Pricing for the agreements is fixed for the duration of these agreements. This is the first upgrade MNR has performed on these units and therefore no historical data is available for cost comparison. The prices for the new agreements are deemed fair and reasonable for the level of services to be provided. The total cost of this procurement is not-to-exceed \$596,060 and it is to be funded by the MNR Operating Budget.

- 8. **East Coast Railroad Services LLC** **\$342,000 (not-to-exceed)**  
**Hi-Rail Equipped Tie & Track Material Loading/Unloading Transport Truck Services w/Operator**  
Approval is requested to award a three-year, competitively solicited (two bids received) miscellaneous service contract to East Coast Railroad Services LLC (ECRS) to provide a Hi-Rail equipped logging truck for unloading ties and track materials along the rights-of-way.

Under the contract, ECRS will provide as-needed a hi-rail equipped tie loading/unloading transport truck and qualified operator. This unique, specialized piece of equipment is needed to load and unload railroad ties and track material along the rights-of-way throughout MNR's operating territory. MNR does not have the capabilities to perform this work with in-house forces.

ECRS is the incumbent firm and low bidder and the overall pricing is 36% lower than the next bidder. Additionally, ECRS's prices when compared to the last three-year contract did not change and will remain fixed under the new three-year contract. This procurement is funded by the MNR Operating Budget.

- |                             |             |
|-----------------------------|-------------|
| 9. Landscape Impressions    | \$1,402,080 |
| 10. Nick Cucchiarella, Inc. | \$587,540   |
| 11. Pocantico Environmental | \$234,400   |
| 12. Dom's Tree Service      | \$348,000   |
| 13. Snow-Away               | \$491,984   |

**Snow Removal Services- MNR Territory in NYS (incl. West of Hudson) and CT**

Approval is requested to award a competitively solicited (12 bids received) miscellaneous service contract to five contractors for a four-year period to provide snow removal and ice treatment services at Metro-North Yards, Stations and Facilities. The scope of services of the bid included all labor, material and equipment necessary for the on-going removal and treatment of snow and ice conditions (i.e.-plowing and spreading of salt, sand/or magnesium chloride) during the winter/snow season (Nov-April). The locations to be serviced include but are not limited to: stairways, platforms, yards, and delivery locations throughout MNR's territory.

This solicitation allowed bidders to submit bids for any or all locations specified in the bid document. As a result of the solicitation, the overall cost of snow removal has decreased 8% per year comparing the midpoint of the prior contract and the new contract. The decrease in prices results in an approximate savings of \$235K per year for snow removal services. Prices quoted for the four year contract are fixed regardless of the volume of calls for service. There are no alternatives to providing the snow removal services at this time, as Metro-North does not have sufficient in-house forces to accomplish the required work throughout the territory. The total cost for the four-year contracts is \$3,064,004. This procurement is to be funded by the MNR Operating Budget.

**H. Modifications to Personal/Miscellaneous Service Contracts**

(Approvals/Staff Summaries required for substantial change orders and change orders that cause the original contract to equal or exceed monetary or durational threshold required for Board approval)

- |                      |           |                               |
|----------------------|-----------|-------------------------------|
| 14. RCM Technologies | \$243,320 | <i>Staff Summary Attached</i> |
|----------------------|-----------|-------------------------------|
- Engineering/Design/Inspection and Construction Phase Services –Cos Cob Substation Upgrade**

Approval is requested to issue a supplemental agreement to RCM Technologies (RCM) to provide the previously unfunded Task No. 5 Construction Support Services and to re-design the routing of the electrical supply duct bank between Cos Cob Supply Substation and Wayside Substation 310. The total not-to-exceed amount of the supplemental agreement is \$243,320 with a 17-month extension to the contract period of performance.

Through the use of the competitive RFP process, Metro-North, utilizing the MTA Board approved GEC Program, awarded a contract on October 1, 2010, to RCM Technologies (RCM) in the amount of

\$168,503, for an original period of performance of 19 months. The scope of services was to develop a package of detailed designs, specifications and construction cost estimates for the upgrade of the Cos Cob West Supply Substation Project.

At this time, MNR requests a supplemental agreement in two parts at a total not-to-exceed cost of \$243,320. The two parts are described as follows:

-a Task for Construction Support Services was included in the original contract; however, at that time they were unfunded because the final design required full development to estimate the costs associated with the construction support services. Upon conclusion of the design, MNR provided an estimate for the necessary construction support services for this work. The cost estimate was set at a not-to-exceed \$178,283. All rates were consistent with the original contract and are deemed fair and reasonable.

-during the design, RCM, as part of the original workscope, performed design services related to the routing of the electrical supply duct bank between Cos Cob and Wayside Substation 310. This work included surveying, environmental engineering and design. After all design work was completed, MNR was notified by the Town of Greenwich of their desire for a future park where MNR had planned to route the electrical supply duct bank. As such, the Town of Greenwich requested that MNR change its design and relocate the duct bank. The cost associated with this re-design effort was negotiated at the not-to-exceed price of \$65,037. The RCM rates to perform this re-design are consistent with the original contract and are deemed fair and reasonable.

A supplemental agreement for these Tasks was negotiated and agreed upon with RCM Technologies in the not-to-exceed amount of \$243,320 with a time extension of 17 months. RCM Technologies' labor and overhead rates are consistent with the original contract and are deemed fair and reasonable for the level of service provided. This procurement is to be funded 100% by CDOT.

# Staff Summary

Item Number B					
Dept & Dept Head Name: Procurement & Material Management Anthony J. Bombace, Jr.					
Division & Division Head Name: Administration – Raymond Burney – Sr. V.P Administration					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	10-29-12	X		
2	MTA Board Mtg.	10-31-12	X		
Internal Approvals					
Order	Approval	Order	Approval		
X	President	RSP	Sr. V.P. Operations		
X	Sen V.P. Admin.	X	V.P. Finance & IT		
X	General Counsel	X	Capital Programs		

SUMMARY INFORMATION	
Vendor Name TBD	Contract Number TBA
Description Design and Furnish Park Avenue Tunnel 6000 Amp Third Rail System Replacement	
Total Amount TBD	
Contract Term (including Options, if any) Twenty-six (26) 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 type="checkbox"/> Federal <input type="checkbox"/> Other:	

- I. **PURPOSE/RECOMMENDATION:** To obtain MTA Board approval to use the RFP process to solicit and evaluate proposals from prospective vendors to design, fabricate, test and deliver a complete 6000 Ampere aluminum third rail system consisting of fiberglass brackets and channels, aluminum contact rail, third rail bracket insulators and other material required for MNR's Park Ave. Tunnel from 56<sup>th</sup> Street to 99<sup>th</sup> Street.
- II. **DISCUSSION:** Metro-North has an immediate requirement to retain a vendor to be responsible for the complete design, layout, component manufacture, testing and ancillary material procurement necessary for a reliable and durable 6000 Ampere aluminum, under running contact rail system to be installed in MNR's Park Avenue Tunnel. Installation is not included in this effort and will be performed separately. This system will replace the existing 150 lb. steel third rail system presently in service from 56<sup>th</sup> Street to 99<sup>th</sup> Street. The existing 20 year old Third Rail System has reached the end of its useful life, and the third rail brackets to the system have started to exhibit signs of metal fatigue and corrosion.

The scope of work for the Third Rail System Replacement includes:

- Detailed engineering/design of aluminum third rail system to ensure compatibility of all system sub-components.
- Preproduction/production test and manufacture of aluminum third rail system components.
- Furnish certified test reports for each test performed.
- Provide construction drawings, bills-of-materials and installation procedures.
- Provide on-site field support during MNR's installation.

An assessment of the prospective vendors' qualifications is required to ensure the following: 1) Comprehension of the Workslope requirements; 2) Relevant experience of the engineering and production team; 3) Preproduction and production testing capability; and 4) manufacturing processes have been developed and implemented to ensure delivery of a quality product suitable for the railroad service environment. In order to assure the selection of the vendor with the necessary experience and expertise, it is in the public interest to use the RFP process to properly evaluate the technical and manufacturing capabilities of prospective proposers. The vendor will be selected based on an evaluation of technical capability, past performance, organizational resources, experience of team members and cost.

## Staff Summary

III. D/M/WBE INFORMATION: TBD

IV. IMPACT ON FUNDING: Funding for this project is included in the MNR Capital Program.

V. ALTERNATIVES:

Metro-North does not have the manufacturing capability to provide third rail components.

# Staff Summary

<b>Item Number</b> C <b>Dept &amp; Dept Head Name:</b> Procurement & Material Management, Anthony Bombace, Jr.						<b>SUMMARY INFORMATION</b>	
<b>Division &amp; Division Head Name:</b> Sen. VP – Administration, Raymond Burney						<b>Vendor Name</b> Ansaldo STS U.S.A.	
						<b>Contract Number</b> 1000010304	
						<b>Description</b> Signal Apparatus- Replace Field Code System at Mott Haven, NY	
						<b>Total Amount</b> \$599,749	
<b>Board Reviews</b>						<b>Contract Term (Including Options, if any)</b> 23 Months	
Order	To	Date	Approval	Info	Other	<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
1	M-N Comm.Mtg.	10-29-12	X			<b>Renewal?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
2	MTA Board Mtg.	10-31-12	X			<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
						<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
<b>Internal Approvals</b>						<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Order	Approval	Order	Approval				
X	President	X	Sr. V.P. Operations				
X	Sr. V.P. Admin.	X	V.P. Planning				
X	V.P. Finance & IT	X	General Counsel				
X	Capital Programs						

**I. PURPOSE/RECOMMENDATION:** MNR requests MTA Board approval to award a contract in the not-to-exceed amount of \$599,749 to Ansaldo STS USA, Inc. (Ansaldo) to design and furnish signal apparatus to replace the Field Code Systems for the Signal Control Point houses in Mott Haven, New York.

The purpose of this contract is to replace the existing single code signal system which provides control for four vital interlockings for the Centralized Traffic Control System. The current single code signal system was installed in 1986-1987 and the equipment is no longer manufactured or supported. This equipment is also at the end or beyond its useful life. At this time, MNR needs to replace the Field Code System in order to prevent any potential failures with this equipment.

**II. DISCUSSION:** MNR requires the services of a vendor to replace the signal system which provides control for the four interlockings in Mott Haven, NY. Upgrading the present singular code system at this location into four distinct code systems will minimize the exposure of the operation to failures of any single segment, will greatly reduce maintenance costs and is the most cost effective approach to the system replacement. Also, since the new code system will be micro-processor-based (current system is hard-wired), changes can be made more easily to the system via software rather than complicated and labor-intensive re-wiring. The new system will also allow for flexibility and support options which do not currently exist. Installation will be performed by MNR's forces.

In January, 2012, a Request for Proposal (RFP) was prepared and advertised in the New York State Contract Reporter and NY Post, El Diario and the Daily Challenge. On March 5, 2012, one technical and cost proposal was received from Ansaldo STS USA in the amount of \$999,574.

A Selection Committee comprised of five members representing MNR's C & S Department and Procurement and Material Management Department evaluated the proposal. The criteria for selection established in the RFP included Technical Capability, Experience, Project Plan and Cost. After the technical evaluation of Ansaldo's proposal, the Selection Committee decided to have a meeting on April 16, 2012 with Ansaldo's proposed project team to discuss and clarify the following:

1. Review of project team structure vs. the MNR specifications
2. Review of proposed hardware and pricing
3. Review of proposed schedule vs. the MNR specification schedule
4. Explore options to reduce price.

# Staff Summary

Ansaldo was requested to submit a revised proposal (Best and Final Offer) as per the clarifications meeting and subsequent response and discussion. Ansaldo's Best and Final Offer is \$599,749.

Ansaldo, a qualified vendor for various signal apparatus, submitted proposal totaling \$599,749. It was deemed fair and reasonable for the level of equipment and services to be provided. The proposed Ansaldo communication equipment modules and their integration into a single, highly dependable Field Code System have been used for both mass transit lines and freight railroads throughout North America and internationally. The incorporation of Ansaldo's MicroLok II system will also contribute to the successful implementation and operation of the system. MicroLok II systems are already deployed at many MNR locations, and have well served the Railroad for many years. Further, Ansaldo has been providing reliable and efficient wayside train control products and systems to MNR for many years, and supports all of its projects with matched teams of engineering, management and training specialists. Ansaldo is well versed with MNR in its signaling infrastructure and operating rules.

**III. D/M/WBE INFORMATION:** The MTA DDCR office did not establish minority participation goals for this contract.

**IV. IMPACT ON FUNDING:** The total cost for this project is \$599,749. The period of performance is 23 months. This procurement is 100% NYS funded from the MNR Capital Program.

**V. ALTERNATIVES:** None. MNR does not have the design and manufacturing capability for this signal apparatus to replace the present Field Code System.

# Staff Summary

Item Number C						<b>SUMMARY INFORMATION</b>																					
Dept & Dept Head Name: Procurement & Material Management, Anthony Bombace, Jr.						Vendor Name Alstom Signaling, Inc.																					
Division & Division Head Name: Sen. VP - Administration, Raymond Burney						Contract Number 6023																					
Board Reviews						Description Port Jervis Line, CP-109/Harlem Line & Waterbury Branch Pre-Wired Signal Houses																					
<table border="1"> <thead> <tr> <th>Order</th> <th>To</th> <th>Date</th> <th>Approval</th> <th>Info</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>M-N Comm.Mtg.</td> <td>10-29-12</td> <td>X</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td>MTA Board Mtg.</td> <td>10-31-12</td> <td>X</td> <td></td> <td></td> </tr> </tbody> </table>						Order	To	Date	Approval	Info	Other	1	M-N Comm.Mtg.	10-29-12	X			2	MTA Board Mtg.	10-31-12	X			Total Amount \$18,104,751			
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1	M-N Comm.Mtg.	10-29-12	X																								
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Internal Approvals						Contract Term (Including Options, if any) Fifteen months																					
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Order	Approval	Order	Approval																								
X	President																										
X	Sr. V.P. Admin.																										
X	V.P. Finance & IT	X	General Counsel																								
X	Capital Programs																										
						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 type="checkbox"/> Federal <input type="checkbox"/> Other:																					

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

To obtain MTA Board approval to award to Alstom Signaling Inc. a contract to engineer, fabricate, and furnish signal system equipment for the Port Jervis Line, CP-109 on the Harlem Line and Waterbury Branch. The period of performance of this contract is 15 months.

**II. DISCUSSION:**

In preparation for a new Positive Train Control (PTC) system, which is required to be in place by December 31, 2015, MNR must make improvements to some of its wayside signal systems. For the Port Jervis Line (NY), the existing wayside-only signal and grade crossing warning systems will be entirely replaced, with the exception of the interlockings and track circuits recently installed between CP Harriman to CP Valley. A new signal block design utilizing cab signal codes was developed for the Port Jervis Line to provide the necessary track capacity for the intended future operating plan and in preparation for the PTC implementation. For the Waterbury Branch (CT to NY), the existing system is currently non-signaled and train movements are currently subject to and controlled per MNR via Operation Under Manual Block System Rules. New interlocking equipment, PTC interface equipment, signal systems, and enclosures for associated locations are to be furnished. For the Harlem Line, CP-109 is a new pre-wired Central Instrument Location (CIL) house with cases and a new vital wayside interlocking is required at/for CP -109.

The scope of work includes:

- Detailed engineering/design of all hardware, software, and system configuration requirements.
- Manufacture and deliver signal equipment with software, control panels, computer engineering application package, portable diagnostic test set, training rack, and spare parts.
- Provide MNR employee training on system servicing and maintenance.
- Provide on site field support during MNR's installation of the equipment.

A Request for Proposal (RFP), dated December 13, 2011, was prepared and advertised in the MTA/MNR website, the New York State Contract Reporter, the New York Post and the Daily Challenge. Direct outreach was made by MNR Procurement to prospective contractors. On April 26, 2012, technical and cost proposals were received from Alstom Signaling (Alstom), GE Transportation Systems Global Signaling (GE), and Ansaldo STS USA (Ansaldo).

## Staff Summary

The criteria for selection established in the RFP is as follows:

1. Submission of a comprehensive Project Plan; Understanding of the workscope requirements and schedule.
2. Past experience with similar projects.
3. Confidence level and commitment of relevant resources to the project.
4. Cost

The Selection Committee was comprised of members representing MNR's Procurement and Material Management, C&S, and Capital Planning & Programming Departments. The Committee evaluated the three proposals received in accordance with the selection criteria of the RFP and MNR's procedures. As a result of the evaluation, the Committee shortlisted Alstom and GE. Ansaldo stated it could not complete the work within the specified time period, and therefore, was no longer considered for the work. Alstom and GE are well experienced and well qualified in the signal system field and proposed equipment that satisfactorily meets the technical requirements as specified. Alstom and GE were requested to submit their Best and Final Offers, and subsequently, Alstom's price of \$18,642,280 was approximately 25% less than GE's and 15% less than the engineer's estimate. It is deemed fair and reasonable for the level of effort anticipated for this project. As a result of final evaluations, and in accordance with the criteria for selection, the Committee unanimously recommended Alstom for award. This recommendation is based on the overall quality of Alstom's technical and cost proposals. Subsequent to this recommendation, Alstom proposed technical changes, which were accepted by MNR's Selection Committee, which lowered the project total by an additional \$537,529, to the final amount of \$18,104,751.

Metro-North has conducted a responsibility review and other due diligence with regard to Alstom and has deemed Alstom to be responsible for award.

### **III. D/M/WBE INFORMATION:**

The MTA Department of Diversity and Civil Rights (DDCR) established a 20% DBE goal for this project. The contract will not be awarded until the MTA Department of Diversity and Civil Rights (DDCR) requirements have been satisfied.

### **IV. IMPACT ON FUNDING:**

At this time, Board approval is requested in the amount of \$18,104,751 broken down as follows: \$13,885,839 for the Port Jervis Line, \$1,834,147 for CP-109 on the Harlem Line, and \$2,384,765 for the Waterbury Branch. Equipment for the Port Jervis Line and CP-109 is funded by the MNR Capital Program. Equipment associated with the Waterbury Branch is funded by CDOT.

### **V. ALTERNATIVES:**

MNR does not have the available in-house staff with both the expertise and experience to complete the full spectrum of design, engineering, and fabrication of signal systems as specified.

# Staff Summary

Item Number <b>G</b>					
Dept & Dept Head Name: Procurement & Material Management, Anthony J. Bombace, Jr.					
Division & Division Head Name: Sen. VP – Administration, Raymond Burney					
<b>Board Reviews</b>					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	10-29-12	x		
2	MTA Board Mtg.	10-31-12	x		
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
x	President	RJD	Sr. V.P. Operations		
x	Sr. V.P. Admin.		V.P. Planning		
x	V.P. Finance & IT	X	General Counsel		
x	Capital Programs	X	Safety & Security		

SUMMARY INFORMATION	
Vendor Name ETS Contracting, Inc. Trio Asbestos Removal Corp.	Contract Number 13766 17600
Description Indefinite Quantity Asbestos Removal & Other Environmental Remediation Services	
Total Amount \$15,000,000 ( not-to-exceed)	
Contract Term (including Options, if any) 5 years	
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 checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

**Narrative**

**I. PURPOSE/RECOMMENDATION:**

Approval is requested to award two competitively solicited, 5-year miscellaneous service contracts (six proposals received), to ETS Contracting, Inc. and Trio Asbestos Removal Corp. to perform on-call system-wide asbestos, lead and hazardous material abatement services on an as-needed, task order basis.

**II. DISCUSSION:**

MNR's Safety and Security Department (Safety) seeks two contractors for the abatement of lead, asbestos, and hazardous material from interior and exterior structures; the preparation of filings, variance requests, and work plans for regulatory agency review/approval; and the containment, testing, and labeling of waste for transport. Work is required throughout MNR's territory in both New York State and Connecticut. ETS and Trio are presently performing these services for MNR in a satisfactory manner.

The objective for contracting with two contractors is to obtain competitive pricing for identified tasks, while maintaining a prequalified source for quick response remediation services. The two contractors, ETS and Trio, received the highest ranking scores based on the criteria for selection in the RFP and are recommended for contract award.

A Request for Proposal (RFP), dated June 29, 2012, was prepared and advertised in the MTA/MNR website, the New York State Contract Reporter, the New York Post and the Daily Challenge. Direct outreach was made by MNR Procurement to 25 additional, prospective contractors. On July 31, 2012, technical and cost proposals were received from Unitech Services Group, Inc., New York Environmental Systems, Trio Asbestos Removal Corp, ETS Contracting, Inc., PAL Environmental Services, and SCE Environmental Group.

The criteria for selection established in the RFP is as follows:

1. Submission of a comprehensive Project Plan; Understanding of the workscope requirements and schedule.
2. Past experience with similar projects.

## Staff Summary

3. Confidence level, commitment of relevant resources to the project.
4. Cost

The Selection Committee was comprised of members representing MNR's Procurement and Material Management, Safety and Security, GCT and Capital Engineering Departments. The Committee evaluated the six proposals received in accordance with the selection criteria of the RFP and MNR's procedures. As a result of the evaluation, the Committee selected ETS Contracting, Inc. (ETS) and Trio Asbestos Removal Corp (Trio) based on the ranking of their overall scores. ETS and Trio are well experienced and well qualified while providing abatement services in New York State and Connecticut.

The solicitation's price schedule was based on the estimated amount of services/tasks MNR anticipates to be required during the next five years applied to the unit price for each of the tasks. Also, ETS and Trio submitted competitive cost proposals with a negligible price variance compared to the in-house estimate. The actual distribution of work to the two vendors will be based on operational requirements and vendor capacity, with the goal of meeting service requirements. As this Board Authorization shall not guarantee any one vendor a fixed amount of work, the overall budget may be reallocated as necessary to ensure the most efficient and timely remediation services.

The cost of these services has increased 1% per year comparing the midpoint of the new contract with the prior contract. The prices will be fixed for the new five-year contracts and are deemed fair and reasonable for the level of service to be provided. The total cost of this service is not-to-exceed \$15,000,000. This procurement is to be funded by the MNR Operating Budget, the MNR Capital Budget and by CDOT on a task-by-task basis.

### **III. D/M/WBE INFORMATION:**

The MTA Department of Diversity and Civil Rights (DDCR) established a 20% DBE goal for this project. The contract will not be awarded until the MTA Department of Diversity and Civil Rights (DDCR) requirements have been satisfied.

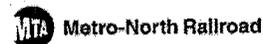
### **IV. IMPACT ON FUNDING:**

Board approval is requested for two awards in the not-to-exceed amount of \$15,000,000 (\$7.5M each), for a duration of 5 years. The total cost of this service is not-to-exceed \$15,000,000. This procurement will be funded by the MNR Operating Budget, the MNR Capital Budget and by CDOT on a task-by-task basis.

### **V. ALTERNATIVES:**

MNR does not have the available in-house staff with both the expertise and experience to complete the full spectrum of lead, asbestos and hazardous material abatement.

**Schedule H: Modifications to Personal Service and Miscellaneous Service Contracts**



Item Number: H

<b>Vendor Name (&amp; Location)</b> RCM Technologies	<b>Contract Number</b> 70364	<b>AWO/Modification #</b> 2
<b>Description</b> GEC Engineering Design Cos Cob Substation Upgrades	<b>Original Amount:</b>	\$168,503
<b>Contract Term (Including Options, if any)</b> Thirty Six (36) Months	<b>Prior Modifications:</b>	\$ 35,423
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Prior Budgetary Increases:</b>	\$ 0.00
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	<b>Current Amount:</b>	\$203,926
<b>Solicitation Type</b> <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	<b>This Request:</b>	\$243,320
<b>Funding Source</b> <input type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input checked="" type="checkbox"/> Other: CDOT	<b>% of This Request to Current Amount:</b>	%119.32
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> Procurement & Material Management, Anthony J. Bombace, Jr.	<b>% of Modifications (Including This Request) to Original Amount:</b>	%144.40

**Purpose/Recommendation:**

Approval is requested to issue a supplemental agreement to the firm RCM Technologies (RCM) to provide previously unfunded Task No. 5 Construction Support Services and to re-design the routing of the electrical supply duct bank between Cos Cob Supply Substation and Wayside Substation 310. The total not-to-exceed amount of the supplemental agreement is \$243,320 with a seventeen (17) month extension to the contract period of performance.

**Discussion:**

Through the use of the competitive RFP process, Metro-North, utilizing the MTA Board approved GEC Program, awarded a contract on October 1, 2010, to the firm RCM Technologies (RCM) in the amount of \$168,503, for an original period of performance of nineteen (19) months. The scope of services was to develop a package of detailed designs, specifications and construction cost estimates for the upgrade of the Cos Cob West Supply Substation. In addition, an unfunded Task No. 5 for Construction Support Services was included in the original contract. At that time construction support services were unfunded because the final design required full development to estimate the costs associated with the construction support services. Upon conclusion of this design, MNR provided an estimate for the necessary construction support services for this work. The cost associated with this construction support services was negotiated at a not-to-exceed-price of \$178,283. All rates are consistent with the original contract and are deemed fair and reasonable.

In addition, during the design, RCM, as part of the workscope, performed design services related to the routing of the electrical supply duct bank between Cos Cob and Wayside Substation 310. This work included surveying, environmental engineering and design. After all design work was completed, MNR was notified by the Town of Greenwich of its desire for a future park where MNR had planned to route the electrical supply duct bank. As such, the Town requested that MNR change its design and relocate the duct bank. The cost associated with this re-design effort was negotiated at the not-to-exceed price of \$65,037. RCM Technologies rates are consistent with the original contract and are deemed fair and reasonable.

**Recommendation and Impact on Funding**

A supplemental agreement for these Tasks was negotiated and agreed upon with RCM Technologies in the not-to-exceed amount of \$243,320 with a time extension of seventeen (17) months. RCM Technologies' labor and overhead rates are consistent with the original contract and are deemed fair and reasonable for the level of service provided. This procurement is to be funded 100% by CDOT.



OCTOBER 2012

MTA LONG ISLAND RAIL ROAD

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote

**Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)**  
(Staff Summaries only required for items estimated to be greater than \$1 million)

1. **TBD** **STBD**  
**RFP**  
**Contract No. TBD**  
LIRR requests approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is therefore in the public interest to use the Request for Proposal (RFP) process pursuant to Section 1265-a of the Public Authorities Law to award a contract to design and furnish a new supervisory control system at Divide Tower (located immediately east of Hicksville Station) and upgrade the associated Remote Terminal Units.
  
2. **TBD** **STBD**  
**RFP**  
**Contract No. 6109**  
LIRR requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is in the public's best interest to use the Request for Proposal (RFP) procurement method pursuant to Section 1265-a of the Public Authorities Law to award a Design/Build Contract for replacement of the direct fixation track fastener system on the Massapequa Park viaduct.
  
3. **TBD** **STBD**  
**RFP**  
**Contract No. TBD**  
LIRR, on behalf of itself and Metro North Railroad (the "Railroads") requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate, and that it is therefore in the public interest to use the Request for Proposal (RFP) process, pursuant to Section 1265-a of the Public Authorities Law, to award a contract for scheduled preventive maintenance, inspections, and remedial unscheduled, and emergency on-call repairs of nineteen (19) LIRR escalators and eleven (13) MNR escalators.

Procurements Requiring Majority Vote

**Schedule F: Personal Service Contracts**

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Non-Competitive; \$1M Competitive)

4. **American Systems Registrar** **\$30,387.50**  
**Two-Year Contract** **Not-to-Exceed**  
**Contract No. TBD**  
LIRR requests MTA Board approval to award a competitively bid, three-year, personal service contract to American Systems Registrar ("ASR"), in the not-to-exceed amount of \$30,387.50, to perform ISO 9001:2008 compliance audits and certification renewals for LIRR's Engineering department. An independent ISO 9001 assessor approved by the American National Standards Institute (ANSI) and the American Society of Quality (ASQ) National Accreditation Board (ANAB) must conduct this certification process. The assessor performs audits on organizations in accordance with the rules established by the ISO9001 Registrar Board to determine if good business practices and effective management controls are being utilized. Prior to soliciting a

competitive bid, LIRR reached out to MTA sister agencies to identify a similar contract that could be piggybacked, or to join this procurement. Although other agencies held similar ISO certifications, none offered competitively let contracts that could be piggybacked for these services, or expressed interest in joining this solicitation. This renewal contract was advertised in the Contract Reporter on July 30, 2012, and the NY Post on August 9, 2012. The bid price schedule required the contractor to provide the number of days required for the work, and was based on the total aggregate of daily rates for recertification assessment audits, travel per diem, and annual recertification fees during the three-year term. LIRR received two bids: the incumbent American Systems Registrars (ASR) - \$30,387.50, and Underwriters Laboratories, Inc. (UL) - \$111,070. ASR's bid of \$30,387.50 is 72.67% less than UL's bid of \$111,070, and at the same rates as those contained within the expiring contract issued in 2010. ASR's pricing is therefore considered fair & reasonable. Funding for the contract is included in LIRR's Operating Budget.

Procurements Requiring Majority Vote

**Schedule G: Miscellaneous Service Contracts**

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Non-Competitive; \$1M RFP; No Staff Summary required if Sealed Bid Procurement)

5. **ARAMARK Uniform Services, a division of \$92,070.42**  
**ARAMARK Uniform & Career Apparel, LLC**  
**Three-Year Contract**  
**Contract No: TBD**

LIRR requests MTA Board approval to award a competitively bid, three-year, miscellaneous service contract to ARAMARK Uniform Services, a division of ARAMARK Uniform & Career Apparel, LLC ("ARAMARK"), in the not-to-exceed amount of \$92,070.42, for the supply and weekly cleaning service of walk-off mats at various LIRR locations, in support of LIRR's Customer Service and Signal departments. Prior to soliciting a competitive bid, LIRR reached out to MTA sister agencies to identify similar contract that could be piggybacked, or to join this procurement. No other agency offered similar contracts, or expressed interest in joining this solicitation. This renewal contract was advertised in the Contract Reporter on July 25, 2012, and the NY Post on July 26, 2012. The bid price schedule is based on fixed pricing for weekly service, and forecasted walk-off mat replacement costs during the three-year term. LIRR received two bids: the incumbent ARAMARK - \$92,070.42; and American Pad-Ex of New York ("American Pad") - \$116,942.40. ARAMARK's bid of \$92,070.42 is 21.26% less than American Pad's bid of \$116,942.40, and 19.18 % less than their expiring contract (\$113,922) awarded in 2009. ARAMARK's pricing is therefore considered fair & reasonable. Funding for the contract is included in LIRR's Operating Budget.

Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)

Staff Summary



Item Number: 1					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date <i>[Signature]</i>					
Division & Division Head Name: Chief Engineer, Kevin Tomlinson					
Division Head Signature & Date <i>[Signature]</i> 10/1/12					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.29.12			
2	MTA Board	10.31.12			
Internal Approvals					
Order	Approval	Order	Approval		
6	President <i>[Signature]</i>	3	VP/CFO <i>[Signature]</i>		
5	Executive VP <i>[Signature]</i>	2	Sr. VP/Operations <i>[Signature]</i>		
4	VP/Gen'l Counsel & Sec'y <i>[Signature]</i>	1	Sr. VP/Administration <i>[Signature]</i>		

SUMMARY INFORMATION	
Vendor Name TBD	Contract Number TBD
Description Divide Supervisory	
Total Amount \$TBD	
Contract Term (Including Options, if any) TBD	
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 type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative:

**I. PURPOSE/RECOMMENDATION:**

LIRR requests approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is therefore in the public interest to use the Request for Proposal (RFP) process pursuant to Section 1265-a of the Public Authorities Law to award a contract to design and furnish a new supervisory control system at Divide Tower (located immediately east of Hicksville Station) and upgrade the associated Remote Terminal Units (RTUs).

**II. DISCUSSION:**

Twenty-eight (28) interlockings along the Main Line between Hicksville and the Ronkonkoma and Port Jefferson Branches are controlled from Divide Tower, utilizing the existing supervisory system. The supervisory system communicates with the RTUs at the interlocking locations to control train movement. The purpose of this project is to renew and/or upgrade the existing supervisory control system at Divide Tower and the associated RTUs. The new/upgraded system will replace the existing proprietary control system installed approximately 25 years ago, which is beyond its useful life and growing increasingly difficult and expensive to maintain.

The utilization of the RFP process will allow the LIRR to better assess which contractors are capable of performing the work within the contract schedule and to work out a fair allocation of risk to insure competitive pricing. Additionally, the RFP process gives the Railroad the ability to negotiate and evaluate factors other than price alone, such as experience with this type of project, past performance, qualifications of key personnel, and safety records. The MTA Board has previously authorized use of the RFP process in connection with a number of signal projects, including the Jamaica Interlocking and the Harold Interlocking contracts.

**III. D/M/WBE INFORMATION:**

MTA Department of Diversity & Civil Rights will be asked to provide M/WBE goals for this contract.

**IV. IMPACT ON FUNDING:**

This contract will be funded by the LIRR's Capital Budget.

**Staff Summary**



**V. ALTERNATIVES:**

The alternative to not undertaking this work is to continue expending increasing funds to maintain the aging current control system along the Main Line and the Port Jefferson Branches. Further, should this work be undertaken, there is no alternative to contracting with a qualified third party, as the LIRR does not have the capability to fabricate the elements required for this effort.

**Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)**

**Staff Summary**



Item Number: 2					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date <i>[Signature]</i>					
Division & Division Head Name: Prog. Management, Richard Oakley					
Division Head Signature & Date <i>[Signature]</i> R.O.					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.29.12			
2	MTA Board	10.31.12			
Internal Approvals					
Order	Approval	Order	Approval		
1	President <i>[Signature]</i>	4	VP/CFO <i>[Signature]</i>		
2	Executive VP <i>[Signature]</i>	5	VP/General Counsel <i>[Signature]</i>		
3	Sr. VP/Operations <i>[Signature]</i>	6	Sr. VP/Administration <i>[Signature]</i>		

SUMMARY INFORMATION	
Vendor Name	Contract Number
TBD	6109
Description	
Massapequa Park Design/Build Track Fastener Replacement Project	
Total Amount	
\$ TBD	
Contract Term (including Options, if any)	
12 Months from Notice of Award	
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 type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

**Narrative:**

**I. PURPOSE/RECOMMENDATION**

LIRR requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate and that it is in the public's best interest to use the Request for Proposal (RFP) procurement method pursuant to Section 1265-a of the Public Authorities Law to award a Design/Build Contract for replacement of the direct fixation track fastener system on the Massapequa Park viaduct.

**II. DISCUSSION**

The Massapequa Park viaduct consists of approximately 7,400 linear feet of double track (14,800 linear feet total track footage) affixed to a concrete deck with a direct fixation rail fastener system that is nearing the end of its useful lifespan. As such, it requires a continuous inspection and maintenance program to ensure rail operations continue safely. A similar project, Merrick and Bellmore Direct Fixation Fastener Replacement, is in the final stages of construction. The Merrick & Bellmore Direct Fixation Fastener Replacement Project also used the design/build RFP method of procurement.

The work required to replace the direct fixation rail fastener system in Massapequa Park consists of providing and installing new direct fixation fasteners, repairing spalled concrete viaduct deck locations and track slab. Most, if not all, work is to be performed on weekends to avoid extensive disruptions to our customers and maintain service. This project involves highly specialized track installation work. Use of the Design/Build methodology will help ensure that the design is consistent with the necessary means and methods, will allow for the most effective use of track outages, and will encourage the selected proposer to identify innovative construction methods to minimize the impact to LIRR's operations. Furthermore, the competitive RFP procurement method allows the LIRR to select a contractor based upon considerations of technical capacity, experience, and completion schedule, and also affords the LIRR the ability to evaluate, refine and negotiate cost.

## Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)

### Staff Summary



Page 2 of 2

In light of the critical nature of the work to be performed and the favorable experience from the Design/Build Merrick and Bellmore Direct Fixation project, the LIRR is progressing this request to use the RFP method of procurement. Use of the RFP procurement method will also permit an earlier commencement and completion of the project resulting in a time savings of approximately 12 months.

#### III. D/M/WBE INFORMATION

MTA Department of Diversity & Civil Rights will be asked to provide M/W/DBE goals for this contract.

#### IV. IMPACT ON FUNDING

Funding for this third party Design/Build construction of the Massapequa Park Viaduct Direct Fixation Fastener Replacement is included in LIRR's 2010 - 2014 Capital Program budget.

#### V. ALTERNATIVES

The alternative is to use the Invitation for Bid (IFB) procurement method. The IFB procurement method does not allow the LIRR to negotiate costs or select a contractor based upon best experience, technical capability and/or proposed work completion schedule. Additionally, an IFB would (i) require drawings to be at the 100% level, thus potentially delaying the start of construction, and (ii) Delay meaningful dialogue with the contractor until after award, thereby preventing the LIRR from being able to negotiate improvements to the construction schedule and incorporate more efficient means and methods for construction

Schedule B: Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts)

Staff Summary



Item Number: 3					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon, CPLC <i>[Signature]</i>					
Division & Division Head Name: <i>James Compton</i> Customer Rev & Technology, James Compton, General Manager					
<b>Board Reviews</b>					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.29.12			
2	MTA Board	10.31.12			
<b>Internal Approvals</b>					
Order	Approval	Order	Approval		
6	President <i>[Signature]</i>	3	VP/CFO <i>[Signature]</i>		
5	Executive VP <i>GPE</i>	2	Sr. VP, Operations <i>[Signature]</i>		
4	VP/Gen'l Counsel & Sec'y <i>[Signature]</i>	1	Sr. VP/Administration <i>[Signature]</i>		

SUMMARY INFORMATION	
Vendor Name TBD	Contract Number TBD
Description: Scheduled and Unscheduled Maintenance and Repair of up to Thirty-two (32) Escalators	
Total Amount: TBD	
Contract Term (Including Options, if any): 3 Years plus (2) One-Year Options	
Options(s) included in Total Amount:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Renewal?	<input checked="" type="checkbox"/> Yes <input 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 type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

Narrative:

**I. PURPOSE/RECOMMENDATION**

LIRR, on behalf of itself and Metro North Railroad (the "Railroads") requests MTA Board approval to adopt a resolution declaring that competitive bidding is impractical or inappropriate, and that it is therefore in the public interest to use the Request for Proposal (RFP) process, pursuant to Section 1265-a of the Public Authorities Law, to award a contract for scheduled preventive maintenance, inspections, and remedial unscheduled, and emergency on-call repairs of nineteen (19) LIRR escalators and an option for up to thirteen (13) MNR escalators.

**II. DISCUSSION**

Collectively, LIRR and MNR operate thirty-two (32) escalators at eighteen (18) stations located throughout Nassau, Suffolk and Westchester counties, and Grand Central Terminal. In order to maintain the safe and continuous operation of this critical equipment for customers using these stations, the Railroads require the services of a third party contractor to provide scheduled preventive maintenance and inspections, and remedial unscheduled, and emergency on-call escalator repairs. Pursuant to a competitive RFP process, the Railroads will award individual three (3) year base contracts, plus two (2) 1-year options, to take effect on or about May 16, 2013. The RFP process will afford the Railroads the ability to evaluate criteria such as contractor experience, resources, technical expertise, and safety record, as well as cost.

**III. D/M/WBE INFORMATION**

The MTA Department of Diversity and Civil Rights has assigned 10% MBE, and 10% WBE Goals for this contract

**IV. IMPACT ON FUNDING**

This contract will be funded by the Railroads' Operating Budget.

**V. ALTERNATIVES**

The alternative is to use the Invitation for Bid process and award to the lowest responsive and responsible bidder, however the RFP method allows the Railroads to consider other factors such as experience, resources, personnel expertise, and safety record.

**VI. FUTURE TASKS:**

The Railroads' escalators require continuous scheduled maintenance, and unscheduled, on-call repairs.

OCTOBER 2012

LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Majority Vote

**Schedule I. Modifications To Purchase and Public Work Contracts**

(Staff Summaries required for individual change orders greater than \$250K. Approval without Staff Summary required for change orders greater than 15% of the adjusted contract amount which are also at least \$50K)

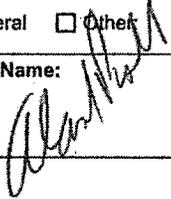
- |    |  |                  |                                      |
|----|--|------------------|--------------------------------------|
| 1. | <b>Tutor Perini Corporation</b><br>Contract No. CH053<br>Modification No. 89 | <b>\$320,457</b> | <b><u>Staff Summary Attached</u></b> |
|----|--|------------------|--------------------------------------|

Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval for revisions to work in connection with the new LIRR Signal and Track Department Facility at Harold.

- |    |  |                    |                                      |
|----|--|--------------------|--------------------------------------|
| 2. | <b>Tutor Perini Corporation</b><br>Contract No. CQ032<br>Modification No. 15 | <b>\$6,347,523</b> | <b><u>Staff Summary Attached</u></b> |
|----|--|--------------------|--------------------------------------|

Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval for the installation of the permanent structure at the Yard Lead Track ("YLT"). This is a scope and budget transfer from an adjacent Contract CQ031.

**Schedule I: Modifications to Purchase and Public Work Contracts  
Item Number 1**

<b>Vendor Name (&amp; Location)</b> Tutor Perini Corporation (Peekskill, New York)	<b>Contract Number</b> CH053	<b>AWO/Modification #</b> 89
<b>Description</b> Construct Harold Structures Part I for the ESA Project	<b>Original Amount:</b>	\$ 139,280,000
<b>Contract Term (including Options, if any)</b> 42 Months	<b>Prior Modifications:</b>	\$ 68,505,090
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A	<b>Prior Budgetary Increases:</b>	\$ 0
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	<b>Current Amount:</b>	\$ 207,785,090
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	<b>This Request</b>	\$320,457
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other	<b>% of This Request to Current Amount:</b>	.15%
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> East Side Access, A. Paskoff, P.E. 	<b>% of Modifications (including This Request) to Original Amount:</b>	49.4%

**Discussion:**

The work under this Contract is for the construction of various civil infrastructure elements in Harold Interlocking and to expand the existing LIRR/AMTRAK right-of-way to enable mainline track diversions and facilitate the future construction of tunnels for the East Side Access (ESA) Project. Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval to modify the Contract to revise the work of relocating LIRR's Signal and Track Department Facility at Harold Interlocking.

As part of this Contract, a permanent road is to be constructed to provide access to the future Amtrak Car Wash. The Contract also includes relocating LIRR's Signal and Track Departments into new trailers because the existing trailers sit in the path of the planned permanent road and are past their useful service life and in need of replacement. In addition a new retaining wall is to be installed in order to provide level ground for the placement of the trailers..

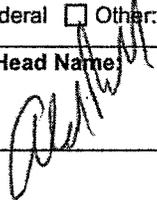
After the award of the Contract, LIRR determined that a new equipment trailer was required to house the signal and control equipment for Harold Tower. This new trailer was placed in the area planned for one of the new Signal and Track Department trailers that were to be installed under this Contract because the equipment trailer needed to be situated adjacent to the Harold Tower and connected to the Tower's utility lines. Therefore, the equipment trailer cannot be moved and one of the trailers for the Signal and Track Departments must be installed in a different location than initially planned. In addition, a crane will now be required to place the new LIRR Signal and Track Department trailers because the new equipment trailer blocks the vehicular access required to deliver and install the Signal and Track Department trailers as initially planned. Finally, the height of the retaining wall needs to be increased to provide sufficient level ground for the new Signal and Track Department trailers.

The Contractor submitted a cost proposal of \$357,245. MTACC's estimate was \$311,400. Negotiations were held, and both parties agreed to \$320,457, which is considered fair and reasonable. There is no time impact associated with the modification.

Schedule I: Modifications to Purchase and Public Work Contracts



Item Number: 2

<b>Vendor Name (&amp; Location)</b> Tutor Perini Corporation (Peekskill, New York)	
<b>Description</b> Plaza Substation and Queens Structures for the ESA Project	
<b>Contract Term (including Options, if any)</b> February 3, 2010 – February 5, 2012 (732 days)	
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A	
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
<b>Requesting Dept/Div &amp; Dept/Div Head Name:</b> East Side Access, A. Paskoff, P.E. 	

<b>Contract Number</b> CQ032	<b>AWO/Modification #</b> 15
<b>Original Amount:</b>	\$ 147,377,000
<b>Prior Modifications:</b>	\$ 1,263,145
<b>Prior Budgetary Increases:</b>	\$ 0
<b>Current Amount:</b>	\$ 148,640,145
<b>This Request</b>	\$ 6,347,523
<b>% of This Request to Current Amount:</b>	4.30%
<b>% of Modifications (including This Request) to Original Amount:</b>	5.16%

**Discussion:**

This Contract is for the structural and architectural rehabilitation to existing facilities along the existing 63<sup>rd</sup> Street Tunnel including construction of Plaza Interlocking and Facility Power Substation B10 for the East Side Access (ESA) Project. In accordance with Article IX of the All-Agency Procurement Guidelines, MTACC is requesting Board approval for the installation of the permanent structure for the Yard Lead Approach tunnel at the Yard Lead Track ("YLT"). This is a scope and budget transfer.

The scope of work for the installation of the permanent structure for the Yard Lead Approach tunnel is currently in Contract CQ031. The CQ031 Contractor, which has a substantial completion date of January 2013, cannot start this work, as anticipated, because part of the YLT is in an area currently occupied by the CQ039 Contractor. Because of prolonged excavation activities at Northern Boulevard, the CQ039 Contractor is not expected to demobilize from the area until November/December of this year which will delay the CQ031 contractor by as much as 120 days. If the CQ031 Contractor is kept on-site beyond that Contract's final completion date, MTA could be exposed to significant compensable delay damages.

Therefore, MTACC has determined that it is in the Project's best interest to transfer this work to Contract CQ032, as it would facilitate logistics by providing the CQ032 Contractor with sole access to and around a major portion of the Plaza Interlocking site, as well as with space for staging. The transfer also would provide a smooth transition and continuous sequence of work at the Plaza Interlocking allowing the CQ032 Contractor to integrate the transferred portion of the YLT into the YLT work already in this Contract. Under this transfer, the CQ032 Contractor would receive the Plaza Interlocking construction site from STA 1178+77.5 to STA 1181+89.5, with the mud slab and waterproofing substrate (shotcrete) in place (work completed by CQ031). This would allow the CQ032 Contractor to start the waterproofing and the structural concrete of the YLT trench without delay and the work could be performed concurrently with the Plaza invert slab and shotcrete of the slurry wall work.

This scope of work was originally in the CQ032 Contract package, but was transferred into Contract CQ031 prior to bid in an effort to accelerate the completion of the CQ032 Contract. As discussed above, however, the prolonged excavation activities at Northern Boulevard have prevented the CQ031 Contractor from starting this work. Accordingly, the work is being transferred back to CQ032.

The Contractor submitted a cost proposal in the amount of \$6,736,700 while MTACC's estimate was \$5,948,020. Negotiations were held and the parties agreed to cost proposal in the amount of \$6,347,523 for the work. The negotiated cost is considered to be fair and reasonable and it falls within ten percent (10%) of MTACC's estimate. The budget for this work will be transferred from the CQ031 budget for which we received a credit of \$6,640,000.

**OCTOBER 2012**

**LIST OF RATIFICATIONS FOR BOARD APPROVAL**

**Procurements Requiring Majority Vote:**

**Schedule K. Ratification of Completed Procurement Actions (Involving Schedule E – J)**  
**(Staff Summaries required for items requiring Board approval.)**

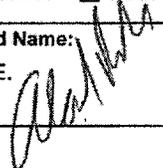
- |           |                                    |                    |                                      |
|-----------|------------------------------------|--------------------|--------------------------------------|
| <b>3.</b> | <b>Yonkers Contracting Company</b> | <b>\$6,535,000</b> | <b><u>Staff Summary Attached</u></b> |
|           | <b>Contract No. CM004</b>          |                    |                                      |
|           | <b>Modification No. 63</b>         |                    |                                      |

Pursuant to Articles IX and X of the All-Agency Procurement Guidelines for Services, MTACC requests that the Board ratify a contract modification for work related to the excavation and lining of Shaft #1 at the 44<sup>th</sup> St. Vent Plant Facility. This is a scope and budget transfer from adjacent Contract CM019.

**Schedule K: Ratification of Completed Procurement Actions**



Item Number 3

<b>Vendor Name (&amp; Location)</b> Yonkers Contracting Company (Yonkers, New York)
<b>Description</b> 44 <sup>th</sup> Street Vent Plant and 245 Park Avenue Entrance for the ESA Project
<b>Contract Term (including Options, if any)</b> 737 Calendar Days
<b>Option(s) included in Total Amount?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Procurement Type</b> <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive
<b>Solicitation Type</b> <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
<b>Funding Source</b> <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:
<b>Requesting Dept/Div&amp;Dept/Div Head Name:</b> East Side Access, A. Paskoff, P.E. 

<b>Contract Number</b> CM004	<b>AWO/Modification #</b> 63
<b>Original Amount:</b>	\$ 40,765,000
<b>Prior Modifications:</b>	\$ 1,444,634
<b>Prior Budgetary Increases:</b>	\$ 0
<b>Current Amount:</b>	\$ 42,209,634
<b>This Request</b>	\$ 6,535,000
<b>% of This Request to Current Amount:</b>	15.48%
<b>% of Modifications (including This Request) to Original Amount:</b>	19.57%

**Discussion:**

The work under this Contract is for the construction of the 44<sup>th</sup> Street Vent Plant Facility and the 245 Park Avenue Entrance for the East Side Access (ESA) Project. In accordance with Articles IX and X of the All-Agency Procurement Guidelines, MTACC is requesting the Board ratify a modification for work related to the excavation and lining of Shaft #1 at the 44<sup>th</sup> Street Vent Plant Facility. This is a scope and budget transfer.

As part of the Board approved Settlement Agreement with the CM009 and CM019 Contractor, the excavation and lining of Shaft #1 was removed from the CM019 Contract. MTACC received a \$7,500,000 credit for this work. Because the Contractor on the adjacent CM004 Contract has the required experience to perform the work, is mobilized on-site and is currently performing separate activities on the shaft, MTACC determined that the work should be transferred to the CM004 contract.

The scope under this modification includes the following activities to be performed by the CM004 Contractor related to Shaft #1:

- Perform one (1) controlled blast
- Excavate and line the 22' 9"x 40' 8" Shaft#1 area from elevation 282.00ft to 233.00ft, excavated muck to be placed in West Cavern for removal by CM019 Contractor
- Provide shaft excavation support by installing rock bolts
- Permanently line the walls and invert slab of Shaft #1

The Contractor submitted a proposal in the amount of \$6,447,146 and the MTACC estimate was \$4,662,635 and the parties agreed to \$5,100,000 for the work which is considered fair and reasonable as it falls within acceptable parameters of the estimate.

The addition of this scope of work impacts the CM004 Contract substantial completion date by an additional 155 days but will have no impact on the overall ESA Project Schedule. The 155 days are compensable impact costs due to the Contractor which equates to \$1,435,000. Therefore, the total for this modification is \$5,100,000 (direct cost) and \$1,435,000 (impact costs) for a total of \$6,535,000.

Funding for this modification will be transferred from the CM019 budget.

In order to prevent delay to adjacent contracts and additional impact costs, the MTACC President approved a retroactive waiver and the Contractor was directed to proceed with this work August 29, 2012.



**Metro-North Railroad**

**Status of Operations &  
Safety Report  
October 2012**



# **MONTHLY OPERATING REPORT**

October 2012

Performance Summary			2012 Data			2011 Data		
			Annual Goal	September	YTD thru September	September	YTD thru September	
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>97.8%</b>	<b>97.0%</b>	<b>97.7%</b>	<b>97.4%</b>	<b>96.7%</b>	
		AM Peak	97.0%	98.5%	98.0%	95.9%	95.6%	
		AM Reverse Peak	97.6%	98.8%	98.2%	97.3%	96.3%	
		PM Peak	98.0%	94.0%	97.1%	98.0%	96.5%	
		<b>Total Peak</b>		<b>96.7%</b>	<b>97.7%</b>	<b>97.0%</b>	<b>96.0%</b>	
		Off Peak Weekday	97.9%	96.3%	97.3%	97.5%	97.1%	
		Weekend	97.9%	98.4%	98.3%	98.0%	97.3%	
		<b>Hudson Line</b>	<b>Overall</b>	<b>98.2%</b>	<b>97.9%</b>	<b>98.1%</b>	<b>97.5%</b>	<b>97.9%</b>
		AM Peak	98.0%	99.7%	99.1%	96.0%	97.4%	
		AM Reverse Peak	98.5%	100.0%	98.2%	97.1%	98.2%	
		PM Peak	98.4%	95.8%	97.8%	97.8%	98.3%	
		<b>Total Peak</b>		<b>98.1%</b>	<b>98.4%</b>	<b>96.9%</b>	<b>97.9%</b>	
		Off Peak Weekday	98.1%	97.9%	97.7%	98.1%	98.1%	
		Weekend	98.2%	97.6%	98.0%	97.6%	97.7%	
		<b>Harlem Line</b>	<b>Overall</b>	<b>98.3%</b>	<b>97.6%</b>	<b>98.2%</b>	<b>98.0%</b>	<b>97.8%</b>
		AM Peak	98.0%	99.6%	98.4%	97.0%	97.4%	
		AM Reverse Peak	98.0%	99.7%	98.5%	98.4%	97.6%	
		PM Peak	98.5%	94.7%	98.0%	97.9%	97.6%	
		<b>Total Peak</b>		<b>97.8%</b>	<b>98.3%</b>	<b>97.6%</b>	<b>97.5%</b>	
		Off Peak Weekday	98.4%	96.7%	97.9%	97.8%	98.0%	
		Weekend	98.5%	98.7%	98.7%	99.2%	98.2%	
		<b>New Haven Line</b>	<b>Overall</b>	<b>97.2%</b>	<b>96.0%</b>	<b>97.0%</b>	<b>96.9%</b>	<b>95.2%</b>
		AM Peak	95.7%	96.9%	96.9%	95.0%	92.9%	
		AM Reverse Peak	96.8%	97.4%	97.8%	96.3%	94.0%	
		PM Peak	97.5%	92.2%	96.0%	98.4%	94.5%	
		<b>Total Peak</b>		<b>95.0%</b>	<b>96.7%</b>	<b>96.5%</b>	<b>93.7%</b>	
		Off Peak Weekday	97.5%	95.1%	96.7%	97.1%	96.0%	
	Weekend	97.4%	98.7%	98.1%	97.4%	96.4%		
<b>Operating Statistics</b>								
	<b>Trains Scheduled</b>			<b>17,177</b>	<b>160,422</b>	<b>17,457</b>	<b>155,645</b>	
	<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>			19.2	15.1	12.2	15.4	
	<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>		1,000	191	954	89	1,403	
	<b>Trains Canceled</b>		160	20	162	10	234	
	<b>Trains Terminated</b>		160	16	186	24	272	
	<b>Percent of Scheduled Trips Completed</b>		99.8%	99.8%	99.8%	99.8%	99.7%	
<b>Consist Compliance</b> <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>	<b>System</b>	<b>Overall</b>	<b>98.6%</b>	<b>99.8%</b>	<b>99.8%</b>	<b>99.3%</b>	<b>98.8%</b>	
		AM Peak	97.7%	99.7%	99.6%	98.5%	97.8%	
		AM Reverse Peak	97.7%	100.0%	99.9%	99.7%	98.9%	
		PM Peak	97.3%	99.7%	99.8%	98.8%	97.6%	
		<b>Total Peak</b>		<b>99.7%</b>	<b>99.7%</b>	<b>98.8%</b>	<b>97.9%</b>	
		Off Peak Weekday	99.3%	99.9%	99.9%	99.6%	99.3%	
		Weekend	99.3%	99.9%	99.8%	99.7%	99.4%	
		<b>Hudson Line</b>	AM Peak	99.0%	100.0%	100.0%	100.0%	99.8%
		PM Peak	99.0%	99.8%	99.9%	99.9%	99.7%	
		<b>Harlem Line</b>	AM Peak	99.0%	100.0%	99.9%	99.6%	99.6%
		PM Peak	99.0%	99.6%	99.9%	99.8%	99.3%	
		<b>New Haven Line</b>	AM Peak	96.0%	99.2%	99.1%	96.7%	94.8%
		PM Peak	95.0%	99.6%	99.7%	97.3%	95.0%	

<b>Categories of Delay</b>	<b>2012 Data</b>			<b>2011 Data</b>		
	August	September	YTD thru September	September	YTD thru September	
<b>Train Delay Incidents Resulting in Late Trains.</b>	<b>Maintenance of Way</b>	179	103	1429	229	1505
	<b>Capital Projects</b>	95	11	196	31	105
	<b>Maintenance of Equipment</b>	116	165	1152	118	1680
	<b>Operations Services</b>	21	19	154	10	165
	<b>Police Incidents</b>	93	21	362	43	390
	<b>Other</b>	95	11	196	9	381
	<b>Customers</b>	67	31	364	58	333
	<b>3rd Party Operations</b> <i>(Other railroads, marine traffic, etc.)</i>	0	0	32	10	238
	<b>Weather and Environmental</b>	118	262	675	86	1276

*(Each delay incurred by a late train is considered a separate train delay incident. Therefore, the number of train delay incidents is higher than the number of late trains for the month.)*

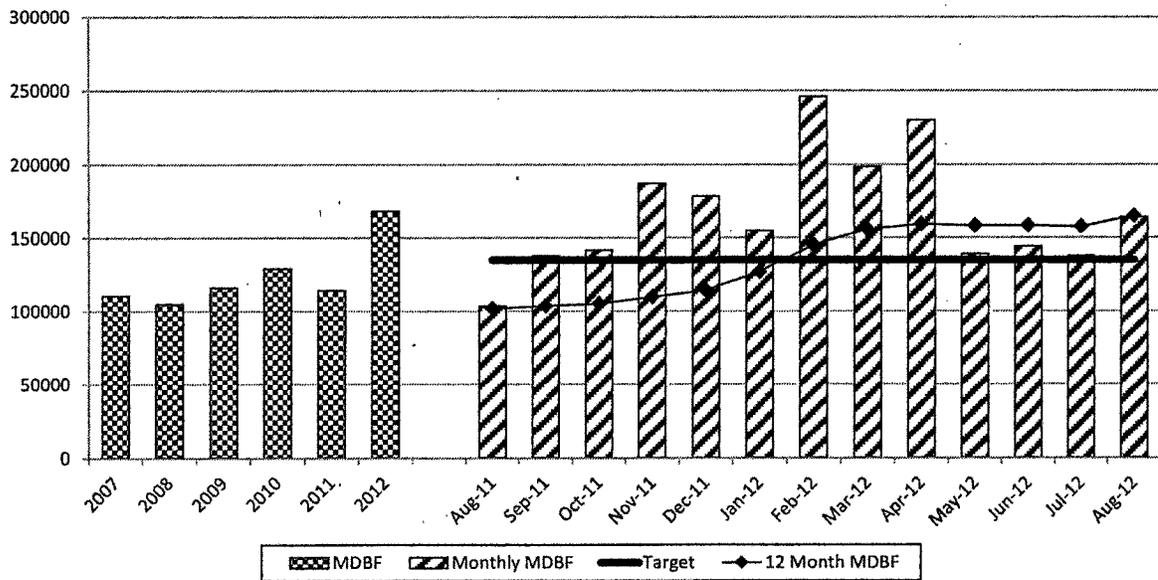
**EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) OR TERMINATED (T) TRAINS**

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			
09/11	Tue	Train 1442 was disabled north of cp106 after lost of cab make up, causing delays.	0	0	0	0	0	0	20	0	1	16	0	0	0	0	0	36	0	1
09/18	Tue	Extremely slippery rail conditions on all three lines, trains instructed not to exceed 40 mph, resulting in massive delays.	0	0	0	0	0	0	51	0	0	54	3	0	0	0	0	105	3	0
09/18	Tue	Wire grounded from cp212-cp216 and from cp223 - Stamford, causing extensive delays.	0	0	0	0	0	0	33	10	0	27	3	1	0	0	0	60	13	1
09/18	Tue	High winds downed trees on the Hudson and Harlem lines and wires on the New Haven line, causing delays.	0	0	0	0	0	0	5	0	0	21	0	1	0	0	0	26	0	1
<b>TOTAL FOR MONTH</b>			0	0	0	0	0	0	109	10	1	118	6	2	0	0	0	227	16	3
																	<b>246</b>			

	Equip-ment Type	Total Fleet Size	2012 Data						2011 Data		
			MDBF Goal (miles)	Aug MDBF (miles)	Primary Failure Goal	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)	12 month MDBF Rolling Avg (miles)	Aug MDBF (miles)	Aug No. of Primary Failures	YTD MDBF thru Aug (miles)
<b>Mean Distance Between Failures</b>	M2	198	80,000	113,897	10	9	122,275	112,103	77,296	13	57,536
	M4/M6	102	60,000	49,602	8	10	87,868	79,714	26,268	20	37,087
	M8	132	200,000	126,103	4	8	130,861	135,510	203,128	1	117,218
	M3	140	120,000	302,172	3	0	746,880	672,713	286,935	1	186,733
	M7	336	440,000	976,439	4	2	619,078	596,211	1,755,968	0	639,434
	Coach	213	290,000	279,697	5	5	354,160	381,612	332,502	4	323,500
	P-32	31	35,000	63,898	5	3	36,936	37,412	21,036	9	33,724
	BL-20	12	12,000	12,028	3	2	9,719	11,323	8,774	2	8,303
	<b>Fleet</b>	<b>1164</b>	<b>135,000</b>	<b>164,082</b>	<b>42</b>	<b>39</b>	<b>168,308</b>	<b>165,091</b>	<b>103,629</b>	<b>55</b>	<b>99,853</b>
	M2/4/6/8		100,000	93,701	22	27	114,613	106,458	54,354	39	51,722
M3/7		300,000	1,127,525	7	2	633,279	605,318	2,042,903	1	479,657	
Diesel/Coach		120,000	161,424	13	10	130,061	141,055	103,629	15	121,262	

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  
2007-2012**



<b>West of Hudson Performance Summary</b>			<b>2012 Data</b>			<b>2011 Data</b>	
			<b>Annual Goal</b>	<b>September</b>	<b>YTD thru September</b>	<b>September</b>	<b>YTD thru September</b>
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>West of Hudson Total</b>	<b>Overall</b>	<b>96.4%</b>	<b>97.3%</b>	<b>97.4%</b>	<b>98.5%</b>	<b>96.2%</b>
		AM Peak	97.3%	97.1%	97.8%	99.2%	95.9%
		PM Peak	96.8%	96.9%	98.0%	98.9%	95.6%
		<b>Total Peak</b>		<b>97.0%</b>	<b>97.9%</b>	<b>99.1%</b>	<b>95.7%</b>
		Off Peak Weekday	95.9%	96.8%	97.3%	97.3%	96.3%
		Weekend	95.9%	98.4%	96.6%	100.0%	96.8%
	<b>Pascack Line</b>	<b>Overall</b>	<b>97.0%</b>	<b>98.2%</b>	<b>98.2%</b>	<b>98.3%</b>	<b>97.5%</b>
	<b>Valley Line</b>	AM Peak	98.0%	98.1%	98.7%	98.9%	98.2%
		PM Peak	97.5%	99.3%	98.5%	98.6%	96.9%
		<b>Total Peak</b>		<b>98.7%</b>	<b>98.6%</b>	<b>98.8%</b>	<b>97.7%</b>
		Off Peak Weekday	96.5%	97.3%	98.1%	97.0%	97.2%
		Weekend	96.5%	99.2%	98.0%	100.0%	97.7%
	<b>Port Jervis Line</b>	<b>Overall</b>	<b>95.5%</b>	<b>95.9%</b>	<b>96.1%</b>	<b>99.4%</b>	<b>94.2%</b>
		AM Peak	96.0%	95.8%	96.6%	100.0%	92.0%
		PM Peak	96.0%	94.2%	97.4%	100.0%	94.3%
	<b>Total Peak</b>		<b>95.0%</b>	<b>97.0%</b>	<b>100.0%</b>	<b>93.3%</b>	
	Off Peak Weekday	95.0%	96.1%	96.2%	98.8%	94.7%	
	Weekend	95.0%	97.1%	94.2%		95.1%	
<b>Operating Statistics</b>	<b>Trains Scheduled</b>		<b>1,600</b>	<b>14,803</b>	<b>1,121</b>	<b>14,080</b>	
	<b>Avg. Delay per Late Train (min)</b> <small>excluding trains canceled or terminated</small>		16.4	20.3	14.8	18.9	
	<b>Trains Over 15 min. Late</b> <small>excluding trains canceled or terminated</small>	80	15	154	5	218	
	<b>Trains Canceled</b>		3	14	1	20	
	<b>Trains Terminated</b>		6	41	0	43	
	<b>Percent of Scheduled Trips Completed</b>	99.8%	99.4%	99.6%	99.9%	99.6%	

## SEPTEMBER 2012 STANDEE REPORT

### East of Hudson

			SEPT 2011	YTD 2011	SEPT 2012	YTD 2012
<b>Daily Average AM Peak</b>	<b>Hudson Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	2	0	0
		<b>Total Standees</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>
	<b>Harlem Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	7	0	5
		<b>Total Standees</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>5</b>
	<b>New Haven Line</b>	Program Standees	0	72 *	0	0
		Add'l Standees	30	124	43	19
		<b>Total Standees</b>	<b>30</b>	<b>196</b>	<b>43</b>	<b>19</b>
<b>EAST OF HUDSON TOTAL - AM PEAK</b>			<b>30</b>	<b>205</b>	<b>43</b>	<b>24</b>
<b>Daily Average PM Peak</b>	<b>Hudson Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	2	0	0
		<b>Total Standees</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>
	<b>Harlem Line</b>	Program Standees	0	0	0	0
		Add'l Standees	3	9	2	1
		<b>Total Standees</b>	<b>3</b>	<b>9</b>	<b>2</b>	<b>1</b>
	<b>New Haven Line</b>	Program Standees	0	81 *	0	0
		Add'l Standees	67	119	9	9
		<b>Total Standees</b>	<b>67</b>	<b>200</b>	<b>9</b>	<b>9</b>
<b>EAST OF HUDSON TOTAL - PM PEAK</b>			<b>70</b>	<b>211</b>	<b>11</b>	<b>10</b>

### West of Hudson

			SEPT 2011	YTD 2011	SEPT 2012	YTD 2012
<b>Daily Average AM Peak</b>	<b>Port Jervis Line</b>	Program Standees	NA	0	0	0
		Add'l Standees	NA	0	0	1
		<b>Total Standees</b>	<b>NA</b>	<b>0</b>	<b>0</b>	<b>1</b>
	<b>Pascack Valley Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
<b>WEST OF HUDSON TOTAL - AM PEAK</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
<b>Daily Average PM Peak</b>	<b>Port Jervis Line</b>	Program Standees	NA	0	0	0
		Add'l Standees	NA	0	0	0
		<b>Total Standees</b>	<b>NA</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Pascack Valley Line</b>	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
<b>WEST OF HUDSON TOTAL - PM PEAK</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### 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.

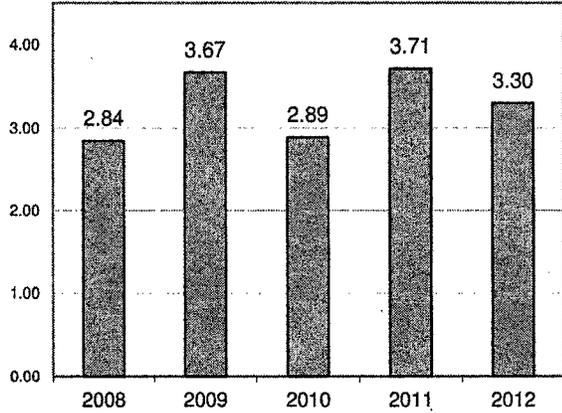
"Additional Standees" reflect the impact of reduced train car consists (as reported in the weekday equipment reports).

**Notes:** These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains. Annulled or terminated trains are not included in this report. Holidays and Special Events for which there are special equipment programs are not included.

\* Programmed Standees based on reduced winter schedule effective February 7 through March 6, 2011 on the New Haven Line.

NA - Port Jervis Line train service was suspended due to extensive damage from tropical storm.

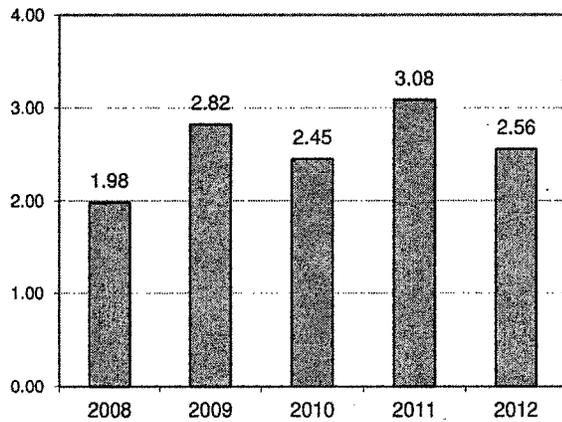
## MTA Metro-North Railroad Summary of Employee Injuries thru August



Total Employee Injuries

Year	Total	Total FI*
2008	119	2.84
2009	156	3.67
2010	119	2.89
2011	154	3.71
2012	138	3.30

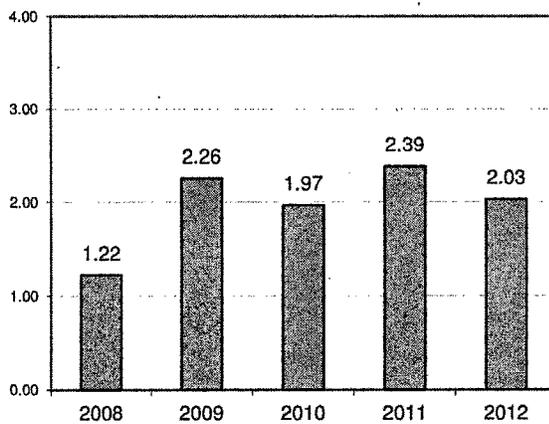
% change from last year: -11.1%  
2012 Total FI Goal 2.90



Employee FRA Reportable Injuries

Year	Total	FRA FI*
2008	83	1.98
2009	120	2.82
2010	101	2.45
2011	128	3.08
2012	107	2.56

% change from last year: -17.1%  
2012 FRA FI Goal 2.50



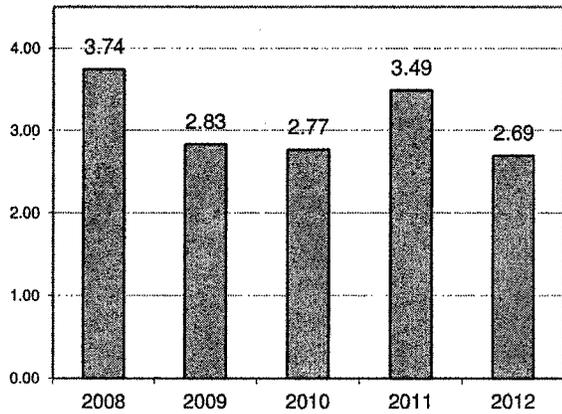
Employee Lost Time and Restricted Duty Injuries

Year	LT	RD	LT FI*	RD FI*	LT&RD FI*
2008	32	19	0.76	0.45	1.22
2009	87	9	2.05	0.21	2.26
2010	67	14	1.63	0.34	1.97
2011	76	23	1.83	0.55	2.39
2012	78	7	1.86	0.17	2.03

% change from last year: -14.8%  
2012 LT&RD FI Goal 2.00

\* - Injuries per 200,000 hours worked

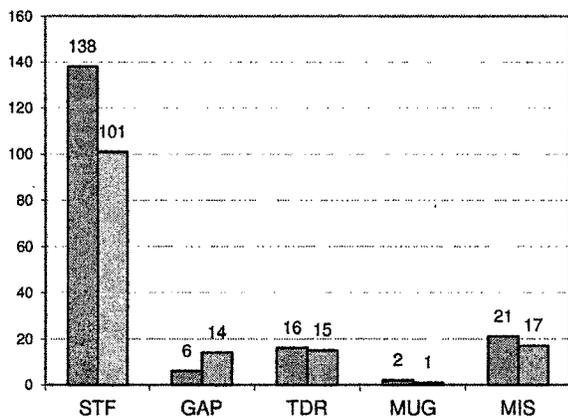
## MTA Metro-North Railroad Summary of Customer/Contractor Injuries thru August



Total Customer Injuries

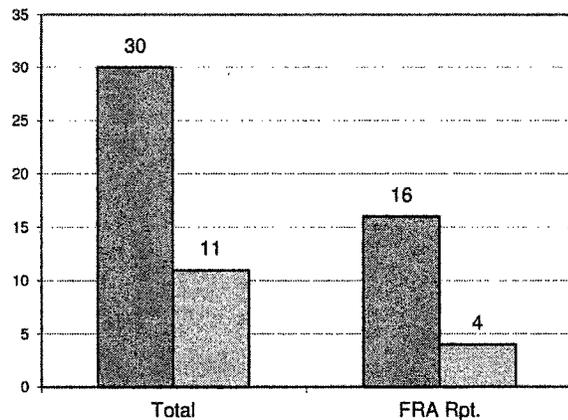
Year	Total	Total FI*
2008	202	3.74
2009	146	2.83
2010	144	2.77
2011	183	3.49
2012	148	2.69

% change from last year: -22.8%  
2012 Total FI Goal 2.70



Top 5 Customer Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Mugging	Misc.
2011	138	6	16	2	21
2012	101	14	15	1	17



Contractor Injuries

Year	Total	FRA Rpt.
2011	30	16
2012	11	4
% Chg	-63.3%	-75.0%

\* - Injuries per 1,000,000 rides



# **Metro-North Railroad**

## **Financial and Ridership Report October 2012**



**FINANCIAL STATEMENTS**  
**MONTH ENDED: AUGUST 2012**

**OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS**

**MTA METRO-NORTH RAILROAD  
AUGUST 2012 FINANCIAL AND RIDERSHIP REPORT  
EXECUTIVE SUMMARY**

Overall August year-to-date financial results were favorable vs. the Mid-Year Forecast. Total operating revenue was 0.3% higher due to higher GCT retail revenue (higher advertising revenue from digital displays and lower retail tenant service costs) partly offset by lower farebox revenue. Operating expenses were 2.7% lower than the Mid-Year Forecast primarily due to lower non-payroll costs as a result of expenditure timing differences and management efforts to control material usage, claims expense and overtime. Capital program expenditures (and reimbursements) were \$11.8 million lower than the Mid-Year Forecast also due to timing differences and the rescheduling of project activity. These favorable results, as well as catch-up reimbursements received for prior year capital project expenditures, reduced Metro-North subsidy requirements from both the MTA and CDOT.

**Ridership**

Total ridership was 7.3 million for August and 56.1 million year-to-date which was a 3.6% increase over the same period in 2011. This was a reflection of continued regional economic growth, mild weather, as well as our consistently high levels of service reliability and on-time performance.

**East of Hudson**

- Month of August ridership of 7.2 million was 0.3% lower than the Mid-Year Forecast and 9.8% higher than 2011.
- August year-to-date ridership was 55.0 million, or 0.7% lower than the Mid-Year Forecast and 3.9% above last year.
- Commutation ridership was 0.4% lower than the Mid-Year Forecast for the month and year-to-date. Compared to 2011, year-to-date commutation ridership was 2.5% higher.
- Non-commutation ridership for August was 0.1% lower than the Mid-Year Forecast and 14.6% over last year; year-to-date was 1.0% lower than the Mid-Year Forecast and 5.9% higher than 2011.

**West of Hudson**

- August year-to-date ridership was 2.1% lower than the Mid-Year Forecast and 7.7% lower than 2011 due to a slower than projected recovery of ridership losses following the suspension of the Port Jervis Line service in 2011 due to Tropical Storm Irene.

**Revenue and Reimbursements**

Total Revenue and Reimbursements of \$543.1 million through August was \$10.4 million, or 1.9% lower than the Mid-Year Forecast:

- Fare Box Revenue of \$391.7 million was \$1.8 million (0.5%) lower than the Mid-Year Forecast due to lower ridership.
- Other Operating Revenue of \$33.8 million was \$3.2 million above the Mid-Year Forecast due to lower tenant service costs combined with higher advertising revenue from GCT digital displays.
- Capital and Other Reimbursements of \$117.7 million was \$11.8 million lower than the Mid-Year Forecast due to scheduling changes in a number of projects, the most significant of which were Track Program, Main Line High Speed Turnouts, East Side Access, Cos Cob West Substation, Replace Undergrade Bridge Timbers, and NHL Waterbury Branch CWR Replacement.

**Expenses**

Total non-reimbursable and reimbursable expenses of \$945.1 million through August were \$34.5 million lower than the Mid-Year Forecast.

- \$30.0 million was attributable to schedule changes in locomotive overhauls; lower material usage resulting from the combined effect of new M-8 cars as well as continued strategic procurement efforts; lower West of Hudson NJT subsidy; and timing differences in expenditures on capital projects.
- Total Labor costs (operating and capital) were \$4.8 million (0.9%) below the Mid-Year Forecast

**Financial Performance Measures**

- Adjusted Farebox Operating Ratio of 70.3% for August year-to-date was 2.8 percentage points better than the Mid-Year Forecast due to lower expenses.
- Adjusted Cost per Passenger of \$11.23 for the period was \$0.35 lower than the Mid-Year Forecast due to lower expenses.
- Revenue per Passenger of \$7.21 for the period was \$0.01 higher than the Mid-Year Forecast.

**MTA METRO-NORTH RAILROAD  
AUGUST 2012 FINANCIAL REPORT  
YEAR-TO-DATE ACTUAL VERSUS MID-YEAR FORECAST**

**REVENUE**

**Total Revenue and Reimbursements** – August year-to-Date is \$543.1 million which is \$10.4 million (1.9%) lower than the Mid-Year Forecast.

- **Farebox Revenue** of \$391.7 million was \$1.8 million (0.5%) lower than the Mid-Year Forecast due to lower commutation and non-commutation ridership, primarily on the New Haven Line. For the month of August, fare-box revenue was on target vs. the Mid-Year Forecast.
- **Other Operating Revenue** – year-to-date and month were higher than the Mid-Year Forecast by \$3.2 million (10.5%) and \$0.4 million (10.8%) respectively due to higher advertising revenue from GCT digital displays combined with lower service costs for GCT retail tenants.
- **Capital and Other Reimbursements** – Timing and scheduling changes versus Mid-Year Forecast resulted in actual year-to-date reimbursements \$11.8 million lower than the Mid-Year Forecast. Most of this was attributable to the following capital projects: CDOT C-29 Track Program, Main Line High Speed Turnouts, Cos Cob West Substation, Replace Undergrade Bridge Timbers and NHL Waterbury Branch CWR Replacement. For the month of August, Capital and Other Reimbursements were \$4.2 million lower than the Mid-Year Forecast.

**EXPENSES**

**Total Expenses** – Year-to-date non-reimbursable and reimbursable expense of \$945.1 million was \$34.5 million lower than the Mid-Year Forecast. For the month, total expenses were \$10.3 million or 7.9% lower than the Mid-Year Forecast.

- **Labor Expense** (including fringe and overhead recoveries) was \$525.3 million YTD. This was \$4.8 million (0.9%) lower than Mid-Year Forecast and \$0.5 million higher for the month. The year-to-date net favorable variance was primarily due to vacancies, favorable healthcare premiums, and lower employee claim payments associated with on-going efforts to reduce injuries and promote a safe work environment.
- **Non-Labor Expenses**  
YTD non-labor expenses were \$228.1 million, \$30.0 million lower than the Mid-Year Forecast and \$10.3 million lower for the month.
  - **Electric Power** – \$3.6 million lower year-to-date and \$2.1 million lower for the month primarily due to a one-time credit in August for East Side Access project electricity that was charged to GCT operating costs.
  - **Maintenance & Other Operating Contracts** – year-to-date expenses were \$66.6 million, \$10.0 million lower than the Mid-Year Forecast primarily due to rescheduled Genesis locomotive overhaul costs and M-2 car disposals, as well as lower MTA Police services and utility expenses. For the month, expenses were \$4.0 million lower than the Mid-Year Forecast.
  - **Professional Services** – \$20.6 million year-to-date expense was \$2.8 million lower vs. the Mid-Year Forecast mainly due to timing of audit, medical and IT service fees. For the month, expenses were \$0.1 million lower than the Mid-Year Forecast.
  - **Materials & Supplies** – \$52.3 million year-to-date expense was \$8.2 million below the Mid-Year Forecast due to timing differences in reimbursable capital project activity (\$4.5 million primarily in track programs). The remainder of the variance is due to strategic procurement and maintenance initiatives that reduced costs in rolling stock parts. For the month, expenses were \$3.5 million lower than the Mid-Year Forecast.
  - **Other Business Expenses** – \$12.2 million, \$5.3 million lower than the Mid-Year Forecast primarily due to a lower than estimated settlement of 2011 subsidies to NJ Transit resulting from reduced service levels on the Port Jervis line caused by Tropical Storm Irene. For the month, expenses were \$1.2 lower than the Mid-Year Forecast.
- **Depreciation and Other Non Cash Liability Adjustments** – \$191.7 million in total which was \$0.2 million above the Mid-Year Forecast year-to-date due to favorable depreciation expense (timing) and minimal payments for Environmental Remediation, offset by an increase of \$4.5 million for Other Post Employment Benefit (OPEB) obligation based on updated actuarial estimate. For the month, expenses were \$0.4 lower than the Mid-Year Forecast.

**CASH DEFICIT**

Cash Deficit through August of \$144.7 million was \$38.6 million favorable to the Mid-Year Forecast. This was due to a combination of lower overall expenses (as noted above) and catch-up reimbursements from MTA and CDOT for 2011 capital project work.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August 2012**  
(\$ in millions)

SCHEDULE I - A

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$50.517	\$50.477	(\$0.040)	(0.1)	\$0.000	\$0.000	\$0.000	-	\$50.517	\$50.477	(\$0.040)	(0.1)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	3.296	3.651	0.355	10.8	0.000	0.000	0.000	-	3.296	3.651	0.355	10.8
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	8.657	7.226	(1.631)	(18.4)	8.657	7.226	(1.631)	(18.4)
CDOT	0.000	0.000	0.000	-	9.422	6.715	(2.706)	(28.7)	9.422	6.715	(2.706)	(28.7)
Other	0.000	0.000	0.000	-	0.652	0.813	0.160	24.6	0.652	0.813	0.160	24.6
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	18.931	14.754	(4.177)	(22.1)	18.931	14.754	(4.177)	(22.1)
<b>Total Revenue/Receipts</b>	<b>\$53.813</b>	<b>\$54.127</b>	<b>\$0.314</b>	<b>0.6</b>	<b>\$18.931</b>	<b>\$14.754</b>	<b>(\$4.177)</b>	<b>(22.1)</b>	<b>\$72.744</b>	<b>\$68.882</b>	<b>(\$3.863)</b>	<b>(5.3)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$34.691	\$34.703	(\$0.012)	(0.0)	\$4.207	\$3.211	\$0.996	23.7	\$38.898	\$37.914	\$0.984	2.5
Overtime	4.317	4.373	(0.056)	(1.3)	1.364	1.732	(0.368)	(27.0)	5.680	6.105	(0.424)	(7.5)
Health and Welfare	7.032	6.905	0.127	1.8	1.163	1.000	0.163	14.1	8.195	7.905	0.291	3.5
OPEB Current Payment	1.494	1.565	(0.070)	(4.7)	0.000	0.000	0.000	-	1.494	1.565	(0.070)	(4.7)
Pensions	5.741	5.730	0.010	0.2	0.759	0.580	0.179	23.6	6.500	6.310	0.189	2.9
Other Fringe Benefits	8.042	9.218	(1.175)	(14.6)	0.955	0.903	0.052	5.5	8.997	10.121	(1.123)	(12.5)
Reimbursable Overhead	(4.092)	(3.096)	(0.996)	(24.3)	4.031	3.341	0.690	17.1	(0.061)	0.245	(0.306)	*
<b>Total Labor</b>	<b>\$57.225</b>	<b>\$59.398</b>	<b>(\$2.173)</b>	<b>(3.8)</b>	<b>\$12.479</b>	<b>\$10.767</b>	<b>\$1.712</b>	<b>13.7</b>	<b>\$69.704</b>	<b>\$70.165</b>	<b>(\$0.460)</b>	<b>(0.7)</b>
<i>Non-Labor:</i>												
Electric Power	\$6.741	\$4.644	\$2.097	31.1	\$0.000	\$0.004	(\$0.004)	-	\$6.741	\$4.649	\$2.092	31.0
Fuel	\$2.064	\$2.164	(\$0.100)	(4.8)	\$0.000	\$0.000	(\$0.000)	-	\$2.064	\$2.165	(\$0.100)	(4.9)
Insurance	0.935	0.914	0.021	2.2	0.425	0.379	0.046	10.8	1.361	1.294	0.067	4.9
Claims	0.058	0.269	(0.211)	*	0.000	0.000	0.000	-	0.058	0.269	(0.211)	*
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	10.319	6.116	4.203	40.7	0.999	1.252	(0.253)	(25.3)	11.318	7.368	3.950	34.9
Professional Service Contracts	2.369	2.193	0.175	7.4	0.601	0.904	(0.303)	(50.5)	2.970	3.098	(0.128)	(4.3)
Materials & Supplies	6.097	5.325	0.772	12.7	4.090	1.406	2.684	65.6	10.187	6.732	3.455	33.9
Other Business Expenses	1.553	0.639	0.914	58.8	0.337	0.041	0.296	87.9	1.890	0.680	1.210	64.0
<b>Total Non-Labor</b>	<b>\$30.137</b>	<b>\$22.266</b>	<b>\$7.871</b>	<b>26.1</b>	<b>\$6.452</b>	<b>\$3.987</b>	<b>\$2.465</b>	<b>38.2</b>	<b>\$36.590</b>	<b>\$26.254</b>	<b>\$10.336</b>	<b>28.2</b>
<i>Other Adjustments:</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$87.363</b>	<b>\$81.664</b>	<b>\$5.698</b>	<b>6.5</b>	<b>\$18.931</b>	<b>\$14.754</b>	<b>\$4.177</b>	<b>22.1</b>	<b>\$106.294</b>	<b>\$96.419</b>	<b>\$9.875</b>	<b>9.3</b>
Depreciation	18.432	17.929	0.503	2.7	0.000	0.000	0.000	-	18.432	17.929	0.503	2.7
OPEB Obligation	5.000	5.070	(0.071)	(1.4)	0.000	0.000	0.000	-	5.000	5.070	(0.071)	(1.4)
Environmental Remediation	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Expenses</b>	<b>\$110.795</b>	<b>\$104.664</b>	<b>\$6.131</b>	<b>5.5</b>	<b>\$18.931</b>	<b>\$14.754</b>	<b>\$4.177</b>	<b>22.1</b>	<b>\$129.726</b>	<b>\$119.418</b>	<b>\$10.308</b>	<b>7.9</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$56.982)</b>	<b>(\$50.536)</b>	<b>\$6.445</b>	<b>11.3</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$56.982)</b>	<b>(\$50.536)</b>	<b>\$6.445</b>	<b>11.3</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	18.432	17.929	(0.503)	(2.7)	0.000	0.000	0.000	-	18.432	17.929	(0.503)	(2.7)
Operating/Capital	(2.004)	(1.237)	0.767	38.3	0.000	0.000	0.000	-	(2.004)	(1.237)	0.767	38.3
Other Cash Adjustments	(1.729)	(11.305)	(9.575)	*	0.000	0.000	0.000	-	(1.729)	(11.305)	(9.575)	*
<b>Total Cash Conversion Adjustments</b>	<b>\$14.699</b>	<b>\$5.387</b>	<b>(\$9.311)</b>	<b>(63.3)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$14.699</b>	<b>\$5.387</b>	<b>(\$9.311)</b>	<b>(63.3)</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$42.283)</b>	<b>(\$45.149)</b>	<b>(\$2.866)</b>	<b>(6.8)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$42.283)</b>	<b>(\$45.149)</b>	<b>(\$2.866)</b>	<b>(6.8)</b>

- Results are preliminary and subject to audit review.  
- Differences are due to rounding.  
\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August Year-To-Date**  
(\$ in millions)

SCHEDULE I - B

	Nonreimbursable				Reimbursable				Total			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent			Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$393.489	\$391.701	(\$1.788)	(0.5)	\$0.000	\$0.000	\$0.000	-	\$393.489	\$391.701	(\$1.788)	(0.5)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	30.557	33.777	3.220	10.5	0.000	0.000	0.000	-	30.557	33.777	3.220	10.5
<i>Capital &amp; Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	66.916	59.090	(7.826)	(11.7)	66.916	59.090	(7.826)	(11.7)
CDOT	0.000	0.000	0.000	-	56.016	51.137	(4.879)	(8.7)	56.016	51.137	(4.879)	(8.7)
Other	0.000	0.000	0.000	-	6.514	7.435	0.921	14.1	6.514	7.435	0.921	14.1
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	129.446	117.661	(11.784)	(9.1)	129.446	117.661	(11.784)	(9.1)
<b>Total Revenue/Receipts</b>	<b>\$424.046</b>	<b>\$425.477</b>	<b>\$1.431</b>	<b>0.3</b>	<b>\$129.446</b>	<b>\$117.661</b>	<b>(\$11.784)</b>	<b>(9.1)</b>	<b>\$553.492</b>	<b>\$543.139</b>	<b>(\$10.353)</b>	<b>(1.9)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$264.020	\$264.292	(\$0.272)	(0.1)	\$30.164	\$27.345	\$2.818	9.3	\$294.184	\$291.638	\$2.547	0.9
Overtime	33.699	33.666	0.032	0.1	11.627	12.490	(0.864)	(7.4)	45.326	46.157	(0.831)	(1.8)
Health and Welfare	53.165	52.235	0.930	1.7	8.592	8.159	0.433	5.0	61.757	60.395	1.363	2.2
OPEB Current Payment	12.022	12.464	(0.442)	(3.7)	0.000	0.000	0.000	-	12.022	12.464	(0.442)	(3.7)
Pensions	44.028	43.723	0.305	0.7	5.368	4.678	0.689	12.8	49.395	48.401	0.994	2.0
Other Fringe Benefits	60.310	58.957	1.353	2.2	7.411	7.583	(0.171)	(2.3)	67.721	66.539	1.182	1.7
Reimbursable Overhead	(27.379)	(24.318)	(3.061)	(11.2)	27.025	24.022	3.003	11.1	(0.353)	(0.296)	(0.058)	(16.3)
<b>Total Labor</b>	<b>\$439.865</b>	<b>\$441.019</b>	<b>(\$1.154)</b>	<b>(0.3)</b>	<b>\$90.187</b>	<b>\$84.278</b>	<b>\$5.909</b>	<b>6.6</b>	<b>\$530.052</b>	<b>\$525.297</b>	<b>\$4.755</b>	<b>0.9</b>
<i>Non-Labor:</i>												
Electric Power	\$51.231	\$47.438	\$3.793	7.4	\$0.000	\$0.153	(\$0.153)	-	\$51.231	\$47.591	\$3.640	7.1
Fuel	\$18.046	\$18.565	(\$0.518)	(2.9)	\$0.000	\$0.001	(\$0.001)	-	\$18.046	\$18.565	(\$0.519)	(2.9)
Insurance	7.260	7.100	0.160	2.2	3.111	2.764	0.346	11.1	10.371	9.865	0.507	4.9
Claims	0.238	0.235	0.002	1.0	0.000	0.000	0.000	-	0.238	0.235	0.002	1.0
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	64.578	54.345	10.234	15.8	12.100	12.302	(0.202)	(1.7)	76.678	66.647	10.031	13.1
Professional Service Contracts	16.820	14.583	2.236	13.3	6.667	6.057	0.610	9.2	23.487	20.640	2.847	12.1
Materials & Supplies	44.513	40.882	3.631	8.2	16.006	11.460	4.546	28.4	60.519	52.342	8.177	13.5
Other Business Expenses	16.112	11.531	4.581	28.4	1.375	0.646	0.729	53.0	17.487	12.177	5.310	30.4
<b>Total Non-Labor</b>	<b>\$218.798</b>	<b>\$194.678</b>	<b>\$24.120</b>	<b>11.0</b>	<b>\$39.259</b>	<b>\$33.383</b>	<b>\$5.875</b>	<b>15.0</b>	<b>\$258.057</b>	<b>\$228.061</b>	<b>\$29.995</b>	<b>11.6</b>
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Non-Cash Liability Adjs.</b>	<b>\$658.663</b>	<b>\$635.697</b>	<b>\$22.965</b>	<b>3.5</b>	<b>\$129.446</b>	<b>\$117.661</b>	<b>\$11.784</b>	<b>9.1</b>	<b>\$788.109</b>	<b>\$753.359</b>	<b>\$34.750</b>	<b>4.4</b>
Depreciation	150.001	147.359	2.642	1.8	0.000	0.000	0.000	-	150.001	147.359	2.642	1.8
OPEB Obligation	39.998	44.520	(4.522)	(11.3)	0.000	0.000	0.000	-	39.998	44.520	(4.522)	(11.3)
Environmental Remediation	1.528	(0.150)	1.678	*	0.000	0.000	0.000	-	1.528	(0.150)	1.678	*
<b>Total Expenses</b>	<b>\$850.190</b>	<b>\$827.427</b>	<b>\$22.763</b>	<b>2.7</b>	<b>\$129.446</b>	<b>\$117.661</b>	<b>\$11.784</b>	<b>9.1</b>	<b>\$979.636</b>	<b>\$945.088</b>	<b>\$34.548</b>	<b>3.5</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$426.144)</b>	<b>(\$401.949)</b>	<b>\$24.195</b>	<b>5.7</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$426.144)</b>	<b>(\$401.949)</b>	<b>\$24.195</b>	<b>5.7</b>
<i>Cash Conversion Adjustments:</i>												
Depreciation	150.001	147.359	(2.642)	(1.8)	0.000	0.000	0.000	-	150.001	147.359	(2.642)	(1.8)
Operating/Capital	(10.477)	(8.274)	2.203	21.0	0.000	0.000	0.000	-	(10.477)	(8.274)	2.203	21.0
Other Cash Adjustments	103.323	118.174	14.851	14.4	0.000	0.000	0.000	-	103.323	118.174	14.851	14.4
<b>Total Cash Conversion Adjustments</b>	<b>\$242.847</b>	<b>\$257.259</b>	<b>\$14.412</b>	<b>5.9</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$242.847</b>	<b>\$257.259</b>	<b>\$14.412</b>	<b>5.9</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$183.297)</b>	<b>(\$144.690)</b>	<b>\$38.607</b>	<b>21.1</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$183.297)</b>	<b>(\$144.690)</b>	<b>\$38.607</b>	<b>21.1</b>

- Results are preliminary and subject to audit review.  
- 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 - 2011 MID-YEAR FORECAST**  
**AUG, 2012**  
**(\$ 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	\$0.355	10.8%	Reflects higher GCT net retail partially offset by lower advertising.	\$3.220	10.5%	Reflects higher GCT advertising revenue from digital displays retail revenue due to lower tenant service costs.
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$4.177)	(22.1%)	Lower reimbursements reflect scheduling changes in capital project expenditures.	(\$11.784)	(9.1%)	Lower reimbursements reflect scheduling changes in capital project expenditures.
PAYROLL	Reimb	\$0.996	23.7%	Reflects lower than projected activity on the following projects: Waterbury Branch Rail Replacement, Replace/Repair Undergrade Bridges, NHL Bridge Timber Replacement, West Haven Station and NHL Concrete Tie Program	\$2.819	9.3%	Reflects lower than projected activity on the C-29 Track program, Mainline Turnouts and the Waterbury Branch Rail Replacement projects. In addition, vacancies (MTA BSC & Capital Administrative positions) and delays in Positive Train Control, NHL Stations, and Cos Cob West Substation projects contributed to the favorable vacancies.
OVERTIME	Reimb	(\$0.368)	(27.0%)	Reflects higher than projected activity on the Waterbury Branch - CWR Replacement and the C-28 Track Program	(\$0.864)	(7.4%)	Reflects higher than projected activity on the West Haven Station and the Waterbury Branch Rail Replacement projects partially offset by delays on the Positive Train Control project.
HEALTH AND WELFARE	Reimb	\$0.163	14.1%	Reflects lower project activity.	\$0.433	5.0%	Reflects lower project activity.
PENSIONS	Reimb	\$0.179	23.6%	Reflects lower project activity.	\$0.690	12.9%	Reflects lower project activity.
OTHER FRINGE BENEFITS	Non-Reimb	(\$1.175)	(14.6%)	Reflects higher employee claims payments and reimbursements.	\$1.353	2.2%	
	Reimb	\$0.052	5.5%	Reflects lower labor costs, rate differentials, and project adjustments	(\$0.171)	(2.3%)	Reflects lower labor costs, rate differentials, and project adjustments
REIMBURSABLE OVERHEAD	Non-Reimb	(\$0.996)	(24.3%)	Reflects lower capital project activity for: NHL - Waterbury Branch Rail Replacement, NHL Bridge Timber Replacement, Replace/Repair Undergrade Bridges, Positive Train Control and New Haven Line Stations - Ph II.	(\$3.061)	(11.2%)	Reflects lower capital project activity for: CDOT C29 Track Program, ESA Engineering (FA Design Support), Mainline/High Speed Turnouts, Positive Train Control, NHL Bridge Timber Replacement Program and Devon Bridge Repairs.
	Reimb	\$0.690	17.1%	Reflects lower project activity as noted above.	\$3.003	11.1%	Reflects lower project activity as noted above.

**MTA METRO-NORTH RAILROAD**  
**ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2011 MID-YEAR FORECAST**  
**AUG, 2012**  
**(\$ 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
		\$	%		\$	%	
ELECTRIC POWER	Non-Reimb	\$2.097	31.1%	Reflects \$2.2m credit for East Side Access electricity usage originally charged to GCT operations. (2009-2012).	\$3.793	7.4%	Reflects \$2.2M credit for East Side Access electricity usage originally charged to GCT (2009-2012).
INSURANCE	Reimb	\$0.046	10.8%	Reflects lower project activity.	\$0.346	11.1%	Reflects lower project activity.
CLAIMS	Non-Reimb	(\$0.211)	*	Primarily due to higher net claims expenses for the period.	\$0.002	1.0%	
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb	\$4.203	40.7%	Lower than projected expenditures reflect timing differences for locomotive overhauls and M-2 car disposal, and lower costs for ferry services.	\$10.234	15.8%	Lower than projected expenditures reflect timing differences for locomotive overhauls and M-2 car disposal, and lower costs for ferry and Police services, roadway vehicle maintenance and right-of-way and facility services.
	Reimb	(\$0.253)	(25.3%)	Reflects correction of prior period Ferry service costs partially offset by project delays on the Cos Cob West Substation project and Guard Booth project at Stamford and East Bridgeport Yards.	(\$0.202)	(1.7%)	Reflects costs for the New Haven Independent Wheel True Shop (not included in the forecast) partially offset by lower activity on the Danbury Branch Signal System and West Haven Station projects.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$0.175	7.4%	Favorable variance reflects lower cost for IT equipment & services, partially offset by higher financial services/bank fees.	\$2.236	13.3%	Favorable variance reflects lower cost for IT equipment & services, outside audit services, medical services and legal expenses.
	Reimb	(\$0.303)	(50.5%)	Reflects costs on the West Haven Station (not forecasted) partially offset by delays on the Radio Frequency Rebanding, Mainline Turnouts and the Design Guard Booths at Stamford & East Bridgeport projects.	\$0.610	9.1%	Reflects timing delays on the Mainline High Speed Turnouts project, lower activity on the M8 project, and the reclass of Radio Frequency Rebanding costs to the material category, partially offset by higher activity on the West Haven Station project.
MATERIAL AND SUPPLIES	Non-Reimb	\$0.772	12.7%	Primarily due to lower rolling stock parts & supplies usage, radio equipment and favorable inventory valuation adjustments.	\$3.631	8.2%	Primarily due to lower rolling stock parts & supplies usage due to lower requirements for the new M-8 car fleet and adjusted maintenance program on the older NHL cars.
	Reimb	\$2.684	65.6%	Lower cost for Waterbury Branch Rail Replacement and timing differences on the NH Yard Component Changeout shop and Public Safety Radio projects.	\$4.546	28.4%	Reflects lower cost for the Waterbury Branch Rail Replacement & Cyclical Track program projects and timing differences in the C-29 Track program and the NH Rail Yard Component Change Out Shop projects.

**MTA METRO-NORTH RAILROAD**  
**ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY**  
**EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS**  
**JULY FINANCIAL PLAN - 2011 MID-YEAR FORECAST**  
**AUG, 2012**  
**(\$ 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 BUSINESS EXPENSES	Non-Reimb	\$0.914	58.8%	Favorable variance reflects lower NJT Subsidy Payments.	\$4.581	28.4%	Favorable variance primarily reflects lower NJT subsidy payments due to lower than estimated 2011 costs for Pt. Jervis Line service.
	Reimb	\$0.296	87.9%	Reflects timing differences on the PBX Equipment Upgrade and Positive Train Control projects.	\$0.729	53.0%	Reflects timing differences on the PBX Equipment Upgrade and Positive Train Control projects.
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.000	-		\$1.678	*	Primarily due to fewer projects requiring remediation. Many large projects are winding down, new projects are generally smaller in scope and require less remediation.
OPERATING CAPITAL	Non-Reimb	\$0.767	38.3%	Reflects timing differences on the Replacement of Wrecking Crane, GIS Expansion, Vehicle Replacement and Bridge Walkways Installation projects, as well as lower activity on Snowmelter Cabinets.	\$2.203	21.0%	Reflects lower activity on the Snowmelter Cabinets, Replacement of DC Substation Signal House Roofs, Repair of Boring Machines at Harmon Shop, and timing differences in the following projects: Replacement of Wrecking Crane, Purchase Vertical Lift Systems for Harmon Shop, Bridge Walkways Installation and Harmon Material Distribution Center Roof Replacement projects.

\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
(\$ in millions)

SCHEDULE #

	August 2012				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Receipts	\$51.316	\$53.430	\$2.114	4.1	\$398.244	\$398.043	(\$0.201)	(0.1)
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	5.247	1.051	(4.196)	(80.0)	51.719	50.023	(1.696)	(3.3)
<i>Capital &amp; Other Reimbursements:</i>								
MTA	8.958	12.146	3.188	35.6	98.222	104.077	5.855	6.0
CDOT	9.443	7.489	(1.954)	(20.7)	75.880	72.452	(3.428)	(4.5)
Other	0.417	2.016	1.599	*	9.701	14.000	4.299	44.3
Total Capital and Other Reimbursements	18.818	21.651	2.833	15.1	183.803	190.529	6.726	3.7
<b>Total Receipts</b>	<b>\$75.381</b>	<b>\$76.132</b>	<b>\$0.751</b>	<b>1.0</b>	<b>\$633.766</b>	<b>\$638.595</b>	<b>\$4.829</b>	<b>0.8</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$43.243	\$40.355	\$2.888	6.7	\$297.488	\$289.183	\$8.305	2.8
Overtime	7.022	7.341	(0.319)	(4.5)	47.321	46.956	0.365	0.8
Health and Welfare	8.033	13.470	(5.437)	(67.7)	69.674	71.246	(1.572)	(2.3)
OPEB Current Payment	1.627	2.330	(0.703)	(43.2)	12.984	13.737	(0.753)	(5.8)
Pensions	5.890	5.868	0.022	0.4	31.710	31.636	0.074	0.2
Other Fringe Benefits	10.147	10.441	(0.294)	(2.9)	73.157	69.156	4.001	5.5
GASB Account	0.729	0.729	0.000	0.0	5.832	5.832	0.000	0.0
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Labor</b>	<b>\$76.691</b>	<b>\$80.534</b>	<b>(\$3.843)</b>	<b>(5.0)</b>	<b>\$538.166</b>	<b>\$527.746</b>	<b>\$10.420</b>	<b>1.9</b>
<i>Non-Labor:</i>								
Electric Power	\$7.378	\$6.549	\$0.829	11.2	\$50.368	\$47.061	\$3.307	6.6
Fuel	\$2.564	\$1.711	0.853	33.3	\$16.928	\$14.090	\$2.838	16.8
Insurance	1.475	3.468	(1.993)	*	10.406	11.316	(0.910)	(8.7)
Claims	0.058	0.494	(0.436)	*	0.413	0.842	(0.429)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	11.047	9.215	1.832	16.6	80.278	66.771	13.507	16.8
Professional Service Contracts	2.992	5.102	(2.110)	(70.5)	22.388	21.315	1.073	4.8
Materials & Supplies	10.860	7.144	3.716	34.2	66.065	59.110	6.955	10.5
Other Business Expenditures	4.599	7.064	(2.465)	(53.6)	32.051	35.034	(2.983)	(9.3)
<b>Total Non-Labor</b>	<b>\$40.973</b>	<b>\$40.747</b>	<b>\$0.226</b>	<b>0.6</b>	<b>\$278.897</b>	<b>\$255.539</b>	<b>\$23.358</b>	<b>8.4</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Post Employment Benefits	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures</b>	<b>\$117.664</b>	<b>\$121.281</b>	<b>(\$3.617)</b>	<b>(3.1)</b>	<b>\$817.063</b>	<b>\$783.285</b>	<b>\$33.778</b>	<b>4.1</b>
<b>Net Cash Deficit ( excludes Opening Cash Balance)</b>	<b>(\$42.283)</b>	<b>(\$45.149)</b>	<b>(\$2.866)</b>	<b>(6.8)</b>	<b>(\$183.297)</b>	<b>(\$144.690)</b>	<b>\$38.607</b>	<b>21.1</b>
<b>Subsidies</b>								
MTA	36.504	32.964	(3.540)	(9.7)	122.069	88.080	(33.989)	(27.8)
CDOT	5.779	9.756	3.977	68.8	52.642	51.237	(1.405)	(2.7)
<b>Total Subsidies</b>	<b>\$42.283</b>	<b>\$42.720</b>	<b>\$0.437</b>	<b>1.0</b>	<b>\$174.711</b>	<b>\$139.317</b>	<b>(\$35.394)</b>	<b>(20.3)</b>
<b>Cash Timing and Availability Adjustment</b>	<b>\$0.000</b>	<b>\$2.429</b>	<b>\$2.429</b>	<b>-</b>	<b>\$8.586</b>	<b>5.373</b>	<b>(\$3.213)</b>	<b>(37.4)</b>

-- Results are preliminary and subject to audit review.  
-- Differences are due to rounding.  
\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS**  
(\$ in millions)

Generic Receipt or Expense Category	August, 2012			Year-To-Date as of August 31, 2012		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
FAREBOX RECEIPTS	2.114	4.1%	Receipt timing difference.	(0.201)	(0.1%)	
OTHER REVENUE	(4.196)	(80.0%)	Lower net GCT retail revenues due to payment timing difference for GCT retail expenses, partially offset by higher miscellaneous receipts.	(1.696)	(3.3%)	
CAPITAL AND OTHER REIMBURSEMENTS: MTA	3.188	35.6%	Primarily due to receipt timing difference, as well as higher project activity.	5.855	6.0%	Payment of prior period bills, partially offset by lower project activity.
CDOT	(1.954)	(20.7%)	Lower project activity, partially offset by receipt timing difference.			
OTHER	1.599	*	Receipt timing difference and higher project activity.	4.299	44.3%	Receipt timing difference as well as higher project activity.
PAYROLL	2.888	6.7%	Primarily due to lower capital project payroll costs, and a timing difference in the payment of employee railroad retirement taxes.	8.305	280.0%	
HEALTH AND WELFARE	(5.437)	(67.7%)	Timing difference in payments for NYSHIP premiums.	(1.572)	(2.3%)	
OPEB CURRENT PAYMENT	(0.703)	(43.2%)	Timing difference in payments for agreement retiree health benefits.	(0.753)	(5.8%)	Timing difference in payments for retiree health benefits.
OTHER FRINGE BENEFITS				4.001	5.5%	Lower employee claim payments for the period, as well as lower railroad retirement tax payments as a result of lower payroll costs.
ELECTRIC POWER	0.829	11.2%	Primarily due to payment timing differences for Traction Power.	3.307	6.6%	Primarily due to lower usage on the Harlem Hudson Line and timing differences in payments, partially offset by higher price. Also contributing to the favorable variance are lower than Non-Traction Power costs.
FUEL	0.853	33.3%	Payment timing differences for Revenue Vehicle Fuel.	2.838	16.8%	Payment timing differences for NHL fuel, as well as lower consumption, partially offset by higher prices.
INSURANCE	(1.993)	*	Payment timing difference for force account, property, and excess liability, partially offset by lower payment in the month for automobile insurance.	(0.910)	(8.7%)	Primarily due to timing difference in premium payment for force account insurance.
CLAIMS	(0.436)	*	Higher claim payment settlements in the month.	(0.429)	*	Higher claim payments for the period (timing)

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**CASH RECEIPTS AND EXPENDITURES**  
**EXPLANATION OF VARIANCE BETWEEN FORECAST AND ACTUAL RESULTS**  
(\$ in millions)

Generic Receipt or Expense Category	August, 2012			Year-To-Date as of August 31, 2012		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	1.832	16.6%	Payment timing difference for revenue vehicle maintenance, railcar disposal, and other miscellaneous contractual services, partially offset by a payment in the month for MTA Police services (Forecasted in September).	13.507	16.8%	Payment timing difference for capital related projects, NHL Police services, revenue vehicle maintenance, occupancy expenses, as well as other maintenance services.
PROFESSIONAL SERVICE CONTRACTS	(2.110)	(70.5%)	Payment timing difference for capital engineering services, NHL BSC charges, advertising services, and medical services, partially offset by lower I.T. hardware purchases.	1.073	4.8%	Timing difference for capital engineering services (Mainline/High Speed Turnouts, M8 Specifications, Radio Frequency Rebanding and other), audit charges, and medical services, partially offset by higher payments for data center charges, financial services, advertising charges, and other services.
MATERIALS & SUPPLIES	3.716	34.2%	Lower purchases due to timing for capital projects, as well as non-capital purchases for truck/suspension material, and radio equipment.	6.955	10.5%	Lower material purchases for truck/suspension, power and propulsion, as well as timing in material purchases for capital projects (fiber optic cables, snow melter cabinets, NHL bridge timbers, track projects and various other).
OTHER BUSINESS EXPENSES	(2.465)	(53.6%)	Primarily due to payment timing for NJT subsidy, partially offset by lower capital projects expenses.	(2.983)	(9.3%)	Primarily due to payment timing for NJT subsidy, partially offset by lower travel, printing & stationery and other miscellaneous expenses.
MTA SUBSIDY RECEIPTS	(3.540)	(9.7%)	Lower subsidy draw due to a higher CDOT subsidy payment (timing), as well as the change in the available bank balance, partially offset by a lower net cash deficit.	(33.989)	(27.8%)	Lower subsidy draw due to lower net cash deficit, partially offset by the change in the available bank balance, as well as lower CDOT subsidy payments.
CDOT SUBSIDY RECEIPTS	3.977	68.8%	Payment timing difference	(1.405)	(2.7%)	
TOTAL SUBSIDY RECEIPTS	0.437	1.0%		(35.394)	(20.3%)	

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**CASH CONVERSION (CASH FLOW ADJUSTMENT)**  
(\$ in millions)

	August 2012				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$0.799	\$2.953	\$2.154	*	\$4.755	\$6.342	\$1.587	33.4
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	1.951	(2.600)	(4.551)	*	21.162	16.246	(4.916)	(23.2)
<i>Capital &amp; Other Reimbursements:</i>		0.000			0.000	0.000		
MTA	0.101	4.920	4.819	*	31.306	44.987	13.681	43.7
CDOT	0.021	0.774	0.752	*	19.864	21.315	1.451	7.3
Other	(0.235)	1.203	1.439	*	3.187	6.565	3.378	*
Total Capital and Other Reimbursements	(0.113)	6.897	7.010	*	54.357	72.868	18.510	34.1
<b>Total Revenue/Receipts</b>	<b>\$2.637</b>	<b>\$7.250</b>	<b>\$4.614</b>	<b>*</b>	<b>\$80.274</b>	<b>\$95.456</b>	<b>\$15.182</b>	<b>18.9</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	(\$4.345)	(\$2.441)	\$1.904	43.8	(\$3.304)	\$2.455	\$5.758	*
Overtime	(1.342)	(1.236)	0.105	7.8	(1.995)	(0.799)	1.196	59.9
Health and Welfare	0.163	(5.565)	(5.728)	*	(7.917)	(10.851)	(2.935)	(37.1)
OPEB Current Payment	(0.133)	(0.765)	0.000		(0.962)	(1.273)	(0.311)	(32.4)
Pensions	0.610	0.442	(0.167)	(27.4)	17.685	16.765	(0.920)	(5.2)
Other Fringe Benefits	(1.150)	(0.320)	0.829	72.1	(5.436)	(2.617)	2.819	51.9
GASB Account	(0.729)	(0.729)	0.000	0.0	(5.832)	(5.832)	0.000	0.0
Reimbursable Overhead	(0.061)	0.245	0.306	*	(0.353)	(0.296)	0.058	16.3
<b>Total Labor</b>	<b>(\$6.987)</b>	<b>(\$10.369)</b>	<b>(\$3.383)</b>	<b>(48.4)</b>	<b>(\$8.114)</b>	<b>(\$2.449)</b>	<b>\$5.665</b>	<b>69.8</b>
<i>Non-Labor:</i>								
Electric Power	(\$0.637)	(\$1.900)	(\$1.263)	*	\$0.863	\$0.530	(\$0.333)	(38.6)
Fuel	(\$0.500)	\$0.454	\$0.953	*	\$1.118	\$4.475	\$3.357	*
Insurance	(0.114)	(2.174)	(2.060)	*	(0.035)	(1.451)	(1.417)	*
Claims	0.000	(0.225)	(0.225)	*	(0.175)	(0.607)	(0.431)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	0.271	(1.847)	(2.118)	*	(3.600)	(0.124)	3.476	96.6
Professional Service Contracts	(0.022)	(2.004)	(1.982)	*	1.099	(0.675)	(1.774)	*
Materials & Supplies	(0.673)	(0.412)	0.260	38.7	(5.546)	(6.768)	(1.222)	(22.0)
Other Business Expenses	(2.709)	(6.384)	(3.675)	*	(14.564)	(22.857)	(8.293)	(56.9)
<b>Total Non-Labor</b>	<b>(\$4.383)</b>	<b>(\$14.493)</b>	<b>(\$10.110)</b>	<b>*</b>	<b>(\$20.840)</b>	<b>(\$27.478)</b>	<b>(\$6.637)</b>	<b>(31.8)</b>
<i>Other Adjustments:</i>								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
<b>Total Other Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenditures Adjustments before Non-Cash Liability Adj's.</b>	<b>(\$11.370)</b>	<b>(\$24.862)</b>	<b>(\$13.492)</b>	<b>*</b>	<b>(\$28.954)</b>	<b>(\$29.926)</b>	<b>(\$0.972)</b>	<b>(3.4)</b>
Depreciation	18.432	17.929	(0.503)	(2.7)	150.001	147.359	(2.642)	(1.8)
OPEB Obligation	5.000	5.070	0.071	(1.4)	39.998	44.520	4.522	(11.3)
Environmental Remediation	0.000	0.000	0.000	-	1.528	(0.150)	(1.678)	*
<b>Total Expenditures Adjustments</b>	<b>\$12.062</b>	<b>(\$1.863)</b>	<b>(\$13.925)</b>	<b>*</b>	<b>\$162.573</b>	<b>\$161.803</b>	<b>(\$0.770)</b>	<b>(0.5)</b>
<b>Total Cash Conversion Adjustments</b>	<b>\$14.699</b>	<b>\$5.387</b>	<b>(\$9.311)</b>	<b>(63.3)</b>	<b>\$242.847</b>	<b>\$257.259</b>	<b>\$14.412</b>	<b>5.9</b>

-- Results are preliminary and subject to audit review.  
-- Differences are due to rounding.  
\* Variance exceeds 100%.

**MTA METRO-NORTH RAILROAD**  
**2012 July Financial Plan**  
**Non-Reimbursable/Reimbursable Overtime**  
**(\$ in millions)**

	August						August Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<b>NON-REIMBURSABLE OVERTIME</b>												
<u>Scheduled Service</u> <sup>1</sup>	33,629	\$1.8	33,690	\$1.8	(61)	\$0.0	301,390	\$16.1	310,961	\$16.3	(9,570)	(\$0.2)
					-0.2%	0.3%					-3.2%	-1.3%
<u>Unscheduled Service</u>	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0
					-	-					-	-
<u>Programmatic/Routine Maintenance</u>	20,881	\$0.9	20,907	\$1.0	(26)	(\$0.1)	153,951	\$6.7	122,877	\$5.8	31,074	\$0.9
					-0.1%	-6.6%					20.2%	14.1%
<u>Unscheduled Maintenance</u>	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0
					-	-					-	-
<u>Vacancy/Absentee Coverage</u> <sup>2</sup>	24,547	\$1.1	25,951	\$1.2	(1,404)	(\$0.1)	145,158	\$6.3	141,983	\$6.3	3,175	\$0.0
					-5.7%	-8.8%					2.2%	0.7%
<u>Weather Emergencies</u>	9,661	\$0.4	3,245	\$0.2	6,416	\$0.3	81,925	\$3.8	80,065	\$3.8	1,860	(\$0.1)
					66.4%	64.4%					2.3%	-1.9%
<u>Safety/Security/Law Enforcement</u> <sup>3</sup>	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0
					-	-					-	-
<u>Other</u> <sup>4</sup>	2,125	\$0.1	6,134	\$0.3	(4,009)	(\$0.2)	19,615	\$0.8	32,897	\$1.5	(13,282)	(\$0.7)
					*	*					-67.7%	-82.4%
Subtotal	90,844	\$4.3	89,927	\$4.4	917	(\$0.1)	702,039	\$33.7	688,783	\$33.7	13,256	\$0.0
					1.0%	-1.3%					1.9%	0.1%
<b>REIMBURSABLE OVERTIME</b>	27,645	\$1.4	36,504	\$1.7	(8,859)	(\$0.4)	225,880	\$11.6	252,586	\$12.5	(26,705)	(\$0.9)
					-32.0%	-27.0%					-11.8%	-7.4%
<b>TOTAL OVERTIME</b>	<b>118,489</b>	<b>\$5.7</b>	<b>126,431</b>	<b>\$6.1</b>	<b>(7,942)</b>	<b>(\$0.4)</b>	<b>927,920</b>	<b>\$45.3</b>	<b>941,369</b>	<b>\$46.2</b>	<b>(13,449)</b>	<b>(\$0.8)</b>
					-6.7%	-7.5%					-1.4%	-1.8%

Totals may not add due to rounding.

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

\* Exceeds 100%

<sup>1</sup> Includes Service Delay and Tour Length related overtime.

<sup>2</sup> Excludes T&E crew coverage (included in Direct Service category)

<sup>3</sup> Not Applicable

<sup>4</sup> Reflects overtime for Customer Service and Material Management Depts as well as other administrative functions. Also reflects timing differences related to payroll and calendar cutoff dates.

MTA METRO-NORTH RAILROAD  
2012 July Financial Plan  
Non-Reimbursable/Reimbursable Overtime  
(\$ in millions)

	August			August Year-to-Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
Scheduled Service <sup>1</sup>	(61)	\$0.0		(9,570)	(\$0.2)	
	-0.2%	0.3%		-3.2%	-1.3%	
Unscheduled Service	0	\$0.0		0	\$0.0	
	-	-		-	-	
Programmatic/Routine Maintenance	(26)	(\$0.1)		31,074	\$0.9	Better than anticipated rolling stock performance resulted in lower overtime requirements for car fleet maintenance (fewer traction motor failures due to a modification to component parts, change in maintenance cycle for older NHL car fleet and mild winter). Also, fewer right-of-way maintenance needs led to favorable results.
	-0.1%	-6.6%		20.2%	14.1%	
Unscheduled Maintenance	0	\$0.0		0	\$0.0	
	-	-		-	-	
Vacancy/Absentee Coverage <sup>2</sup>	(1,404)	(\$0.1)		3,175	\$0.0	
	-5.7%	-8.8%		2.2%	0.7%	
Weather Emergencies	6,416	\$0.3		1,860	(\$0.1)	
	66.4%	64.4%		2.3%	-1.9%	
Safety/Security/Law Enforcement <sup>3</sup>	0	\$0.0		0	\$0.0	
	-	-		-	-	
Other <sup>4</sup>	(4,009)	(\$0.2)	Reflects timing differences related to payroll and calendar cutoff dates.	(13,282)	(\$0.7)	Higher overtime due to ticket seller and customer service representative vacancies. Also reflects timing differences related to payroll and calendar cutoff dates.
	*	*		-67.7%	-82.4%	
Subtotal	917	(\$0.1)		13,256	\$0.0	
	1.0%	-1.3%		1.9%	0.1%	
<b>REIMBURSABLE OVERTIME</b>	(8,859)	(\$0.4)	Higher activity on the Waterbury branch line rail replacement project.	(26,705)	(\$0.9)	Higher activity on the East Side Access project due to track availability constraints. Also, higher activity on the Waterbury branch line rail replacement project, on the Danbury branch line signal system project, and on the West Haven Station project to return track 3 to service.
	-32.0%	-27.0%		-11.8%	-7.4%	
<b>TOTAL OVERTIME</b>	<b>(7,942)</b>	<b>(\$0.4)</b>		<b>(13,449)</b>	<b>(\$0.8)</b>	

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

\* Exceeds 100%

<sup>1</sup> Includes Service Delay and Tour Length related overtime.

<sup>2</sup> Excludes T&E crew coverage (included in Direct Service category)

<sup>3</sup> Not Applicable

<sup>4</sup> Reflects overtime for Customer Service and Material Management Depts as well as other administrative functions. Also reflects timing differences related to payroll and calendar cutoff dates.

**MTA METRO-NORTH RAILROAD  
2012 Overtime Report  
Overtime Legend**

**REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS**

<b><u>Type</u></b>	<b><u>Definition</u></b>
<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**  
**2012 MID YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**August 31, 2012**

<u>Department</u>	2012 Mid Year Forecast	Actual	Favorable (Unfavorable) Variance
<b>Administration</b>			
President	3	3	-
Labor Relations	9	9	0
Safety	18	16	2
COS/Corporate & Public Affairs	16	15	1
Legal	18	16	2
Claims Services	13	13	0
Environmental Compliance & Svce	7	7	-
VP Administration	3	3	-
VP Human Resources	4	3	1
Human Resources	24	25	(1)
Training	49	44	5
Employee Relations & Diversity	4	2	2
VP Planning	2	2	-
Operations Planning & Analysis	16	16	0
Capital Planning & Programming	10	11	(1)
Business Development, Facilities & Mktg (4)	21	22	(1)
Long Range Planning	7	7	-
VP Finance & Information Systems	2	1	1
Controller	78	78	0
Information Technology & Project Mgmt	92	84	8
Budget	14	14	0
Customer Service (2) (3)	42	43	(1)
Procurement & Material Mgmt (5)	33	37	(4)
<b>Total Administration</b>	<b>485</b>	<b>471</b>	<b>14</b>
<b>Operations</b>			
Operations Administration	49	51	(2)
Operations Services	1,726	1,695	31
Customer Service (2) (3)	227	221	6
Business Development, Facilities & Mktg (4)	38	36	2
Metro-North West	27	26	1
<b>Total Operations</b>	<b>2,067</b>	<b>2,029</b>	<b>38</b>
<b>Maintenance</b>			
GCT	361	354	7
Maintenance of Equipment	1,270	1,258	12
Maintenance of Way	1,659	1,595	64
Procurement & Material Mgmt (5)	118	116	2
<b>Total Maintenance</b>	<b>3,408</b>	<b>3,323</b>	<b>85</b>
<b>Engineering/Capital</b>			
Construction Management	37	32	5
Engineering & Design	54	56	(2)
<b>Total Engineering/Capital</b>	<b>91</b>	<b>88</b>	<b>3</b>
<b>Total Positions</b>	<b>6,051</b>	<b>5,911</b>	<b>140</b>
<b>Non-Reimbursable</b>	<b>5,399</b>	<b>5,366</b>	<b>33</b>
<b>Reimbursable</b>	<b>652</b>	<b>545</b>	<b>107</b>
<b>Total Full-Time</b>	<b>6,050</b>	<b>5,910</b>	<b>140</b>
<b>Total Full-Time-Equivalents (of part-time positions)</b>	<b>1</b>	<b>1</b>	<b>-</b>

(2) Includes 2 part-time positions equal to 1 FTE.

(3) Customer Service positions includes administrative positions for Customer Info. Center and operations positions for Ticket Selling & Station Cleaning functions.

(4) Business Development, Facilities and Marketing includes administrative positions and operations positions for Commissary services.

(5) Procurement & Material Management positions includes maintenance positions for material distribution/storeroom functions and administrative positions for Contracts Mgmt, Purchasing, and Procurement Administration functions.

**MTA METRO-NORTH RAILROAD**  
**2012 MID YEAR FORECAST VS. ACTUALS**  
**TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS**  
**August 31, 2012**

FUNCTION/OCCUPATION	2012 Mid Year Forecast	Actual	Favorable (Unfavorable) Variance
<b>Administration (1)</b>			
Managers/Supervisors	55	61	(6)
Professional, Technical, Clerical	430	410	20
Operational Hourlies	-	-	-
<b>Total Administration</b>	<b>485</b>	<b>471</b>	<b>14</b>
<b>Operations (1)</b>			
Managers/Supervisors	30	28	2
Professional, Technical, Clerical	479	456	23
Operational Hourlies	1,558	1,545	13
<b>Total Operations</b>	<b>2,067</b>	<b>2,029</b>	<b>38</b>
<b>Maintenance (1)</b>			
Managers/Supervisors	57	47	10
Professional, Technical, Clerical	1,005	968	37
Operational Hourlies	2,346	2,308	38
<b>Total Maintenance</b>	<b>3,408</b>	<b>3,323</b>	<b>85</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	27	25	2
Professional, Technical, Clerical	64	63	1
Operational Hourlies	-	-	-
<b>Total Engineering/Capital</b>	<b>91</b>	<b>88</b>	<b>3</b>
<b>Public Safety</b>			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
<b>Total Public Safety</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Positions</b>			
Managers/Supervisors	169	161	8
Professional, Technical, Clerical	1,978	1,897	81
Operational Hourlies	3,904	3,853	51
<b>Total Positions</b>	<b>6,051</b>	<b>5,911</b>	<b>140</b>

**Notes**

(1) Reflects allocation of Customer Service, Business Development and Procurement & Material Management functions between Administration, Operations and Maintenance categories.

Totals may differ due to rounding.

**MTA METRO-NORTH RAILROAD  
2012 MID YEAR FORECAST VS. ACTUALS**

August 31, 2012

<u>Agency-wide (Non-Reimbursable and Reimbursable)</u>	<u>2012 Mid Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Explanation of Variances</u>
<i>Functional Classification:</i>				
Operations (1)	2,067	2,029	38	Reflects vacancies in operation services staffing (RTCs, Operations Managers, Car Cleaners, and T&E positions)
Maintenance (1)	3,408	3,323	85	Reflects vacancies in Maintenance of Way positions (trackmen, vehicle & machine operators, signalman and maintainers, electricians, and building maintenance forces) and Maintenance of Equipment carmen and electricians.
Administration (1)	485	471	14	Reflects timing differences in hiring Training staff and IT personnel.
Engineering / Capital	91	88	3	
<b>Total Agency-wide Headcount</b>	<b>6,051</b>	<b>5,911</b>	<b>140</b>	
Non-Reimbursable	5,399	5,366	33	
Reimbursable	652	545	107	

**Notes**

(1) Reflects allocation of Customer Service, Business Development and Procurement & Material Management functions between Administration, Operations and Maintenance categories.

**MTA METRO-NORTH RAILROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**UTILIZATION**  
(in millions)

	<u>Month of August</u>		<u>Variance</u>		<u>Year-to-Date August</u>		<u>Variance</u>		
	<u>Forecast</u>	<u>Actual</u>	<u>Fav (Unfav)</u>		<u>Forecast</u>	<u>Actual</u>	<u>Fav (Unfav)</u>		
			<u>Amount</u>	<u>%</u>			<u>Amount</u>	<u>%</u>	
<u>Farebox Revenue</u>									
Harlem Line	\$14.733	\$14.781	\$0.048	0.3	\$116.702	\$116.641	(\$0.061)	-0.1	
Hudson Line	\$10.968	\$11.132	\$0.164	1.5	\$85.131	\$85.219	\$0.088	0.1	
New Haven Line	\$24.768	\$24.518	(\$0.250)	-1.0	\$191.270	\$189.465	(\$1.805)	-0.9	
Total Farebox Revenue	\$50.470	\$50.432 <sup>(1)</sup>	(\$0.038)	-0.1	\$393.102	\$391.325 <sup>(1)</sup>	(\$1.777)	-0.5	
<u>Ridership</u>									
Harlem Line	2.300	2.312	0.012	0.5	18.006	17.982	(0.023)	-0.1	
Hudson Line	1.415	1.433	0.018	1.2	10.749	10.736	(0.013)	-0.1	
New Haven Line	3.500	3.448	(0.052)	-1.5	26.576	26.252	(0.324)	-1.2	
Total Ridership East of Hudson	7.215	7.193	(0.023)	-0.3	55.331	54.970	(0.360)	-0.7	
West of Hudson	0.164	0.157	(0.007)	-4.4	1.181	1.157	(0.024)	-2.1	
Total Ridership	7.379	7.349	(0.030)	-0.4	56.512	56.127	(0.385)	-0.7	

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.045 million for the month and \$0.376 million year-to-date.

**East of Hudson:**

Through August, East of Hudson ridership year-to-date ridership was 55.3 million, 0.7% lower than the Mid-Year Forecast, but 3.9% higher than 2011. For the month ridership of 7.2 million was 0.3% lower than the Mid-Year Forecast and 9.8% higher than August 2011.

Commutation ridership was 0.4% lower for the month and year-to-date vs. the Mid-Year Forecast. Compared to 2011, August year-to-date commutation ridership was 2.5% higher. Non-commutation ridership was 1.0% below the forecast year-to-date, but 5.9% higher than 2011. For the month, non-commutation ridership was 0.1% lower than forecast but 14.6% better than 2011.

**West of Hudson:**

West of Hudson ridership was 4.4% lower for the month and 2.1% lower year-to-date versus the 2012 Mid-Year Forecast due to slower than projected recovery of ridership losses following the three month suspension of Port Jervis Line service in 2011.

**MTA METRO-NORTH RAILROAD  
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
MONTHLY PERFORMANCE INDICATORS \*  
AUGUST 2012**

	<u>MONTH</u>			<u>VARIANCE</u>	
	<u>2012</u>	<u>FORECAST</u>	<u>2011</u>	<u>FORECAST</u>	<u>2011</u>
Farebox Operating Ratio					
Standard <sup>(1)</sup>	63.3%	58.8%	56.2%	4.5%	7.1%
Adjusted <sup>(2)</sup>	69.5%	64.0%	62.7%	5.5%	6.8%
Cost per Passenger					
Standard <sup>(1)</sup>	\$11.22	\$12.05	\$12.62	\$0.83	\$1.40
Adjusted <sup>(2)</sup>	\$11.05	\$11.89	\$12.48	\$0.84	\$1.43
Passenger Revenue/Passenger <sup>(3)</sup>	\$7.10	\$7.08	\$7.09	\$0.02	\$0.01
	<u>YEAR-TO-DATE</u>			<u>VARIANCE</u>	
	<u>2012</u>	<u>FORECAST</u>	<u>2011</u>	<u>FORECAST</u>	<u>2011</u>
Farebox Operating Ratio					
Standard <sup>(1)</sup>	63.2%	61.2%	60.3%	2.0%	2.9%
Adjusted <sup>(2)</sup>	70.3%	67.5%	67.6%	2.8%	2.7%
Cost per Passenger					
Standard <sup>(1)</sup>	\$11.41	\$11.75	\$11.85	\$0.34	\$0.44
Adjusted <sup>(2)</sup>	\$11.23	\$11.58	\$11.72	\$0.35	\$0.49
Passenger Revenue/Passenger <sup>(3)</sup>	\$7.21	\$7.20	\$7.14	\$0.01	\$0.07

(1) 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 and Business Service Center costs.

(2) 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.

(3) Includes Bar Car Services.

\* Includes East and West of Hudson revenues and expenses.

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**MTA METRO-NORTH RAILROAD**

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**MONTHLY RIDERSHIP REPORT**

**AUGUST 2012**

Operations Planning & Analysis Department  
October, 2012

# AUGUST 2012 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

## EXECUTIVE SUMMARY

### August

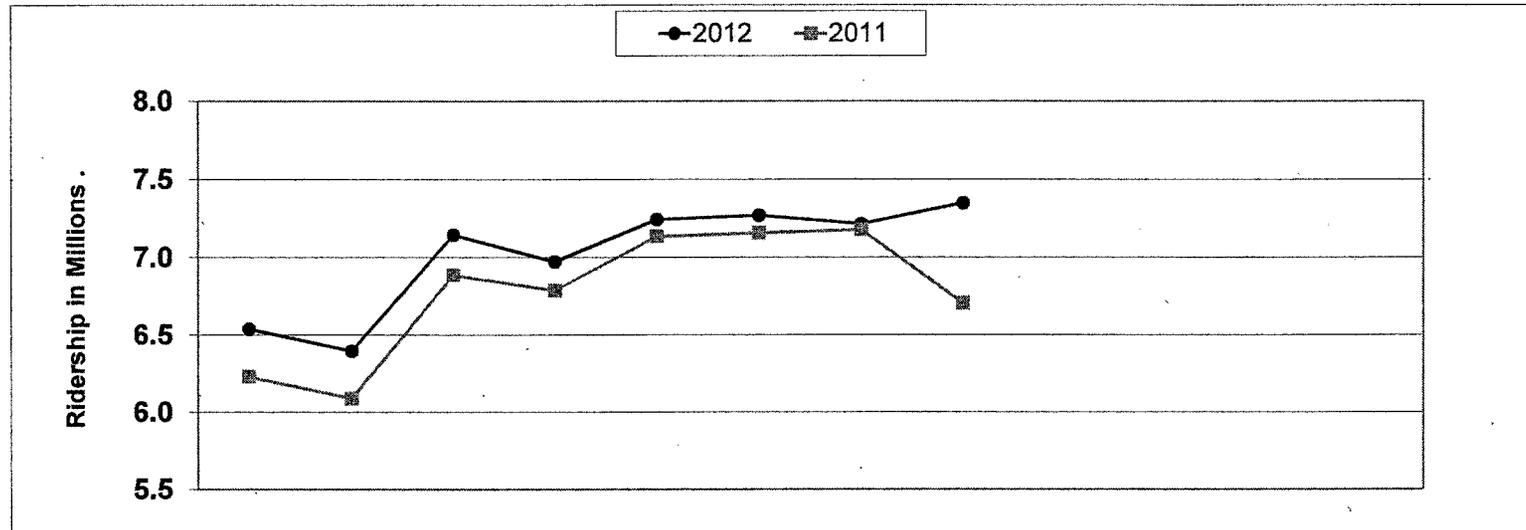
- August 2012 **Total MNR System Ridership** was 7.398 million vs. 6.752 million in August 2011, an increase of 645,893 passengers (+9.6%).
- August 2012 **Total Rail Ridership** was 7,349 million vs. 6.705 million in August 2011, an increase of 644,384 passengers (+9.6%).
  - **Rail Commutation Ridership** was +6.0% vs. 2011
  - **Rail Non-commutation Ridership** was +14.6% vs. 2011
- August 2012 **East of Hudson Ridership** was 7.193 million vs. 6.552 million in August 2011, an increase of 640,889 passengers (+9.8%).
- August 2012 **West of Hudson Ridership** was 0.157 million vs. 0.153 million in August 2011, an increase of 3,495 passengers (+2.3%).
- August 2012 **Connecting Services Ridership** was 0.049 million vs. 0.048 million in August 2011, an increase of 1,509 passengers (+3.1%).
- August 2012 **Rail Revenue** was \$51.6 million vs. \$47.0 million in August 2011, an increase of \$4,611,851 (+9.8%).

### Year To Date

- 2012 YTD **Total MNR System Ridership** was 3.6% above '11 and 0.7% below forecast.
- 2012 YTD **Total Rail Ridership** was 3.6% above '11 and 0.7% below forecast.
- 2012 YTD **East of Hudson Ridership** was 3.9% above '11 and 0.7% below forecast.
- 2012 YTD **West of Hudson ridership** was 7.7% below '11 and 2.1% below forecast.
- 2012 YTD **Connecting Services Ridership** was 2.3% above '11 and 0.5% above forecast.
- 2012 YTD **Rail Revenue** was 5.5% above '11 and 0.5% below forecast.

# AUGUST RAIL RIDERSHIP <sup>(1)</sup>

• AUGUST's Total Rail Ridership was 9.6% above 2011 and 0.4% below forecast.

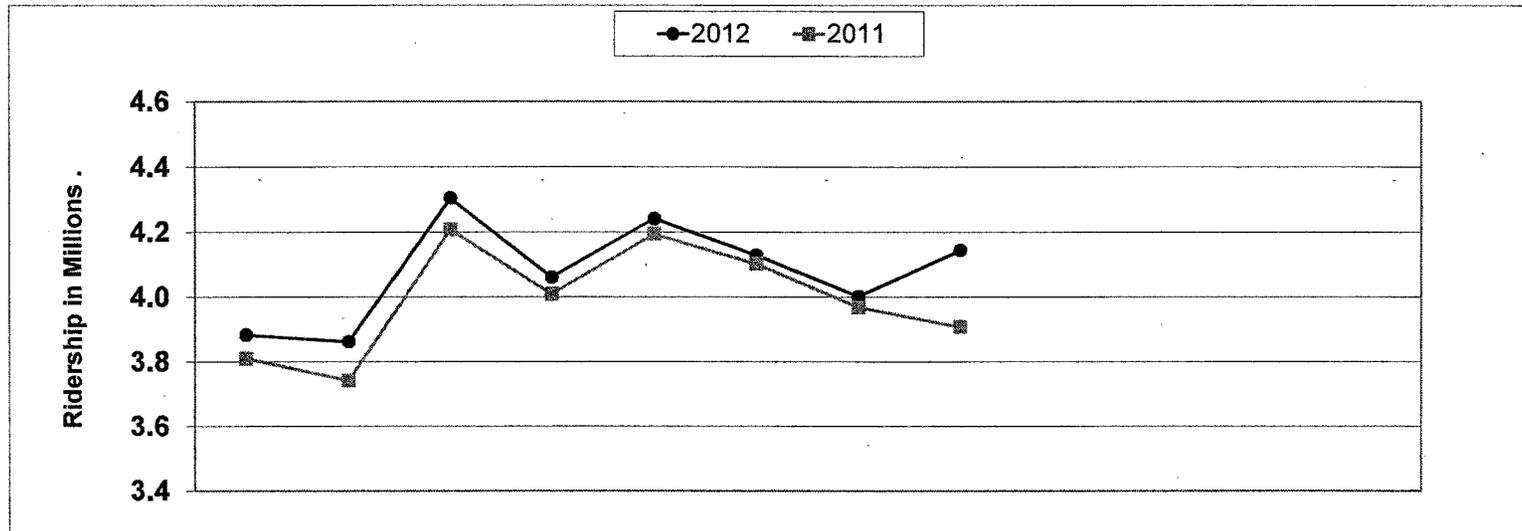


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2012</b>	6.5	6.4	7.1	7.0	7.2	7.3	7.2	7.3					56.1
<b>2011</b>	6.2	6.1	6.9	6.8	7.1	7.2	7.2	6.7					54.2
<b>PCT CHG.</b>	4.9%	5.1%	3.7%	2.7%	1.5%	1.6%	0.5%	9.6%					3.6%

1) Includes East and West of Hudson.

# AUGUST RAIL COMMUTATION RIDERSHIP <sup>(1)</sup>

- AUGUST's Rail Commutation Ridership was 6.0% above 2011 and 0.6% below forecast.

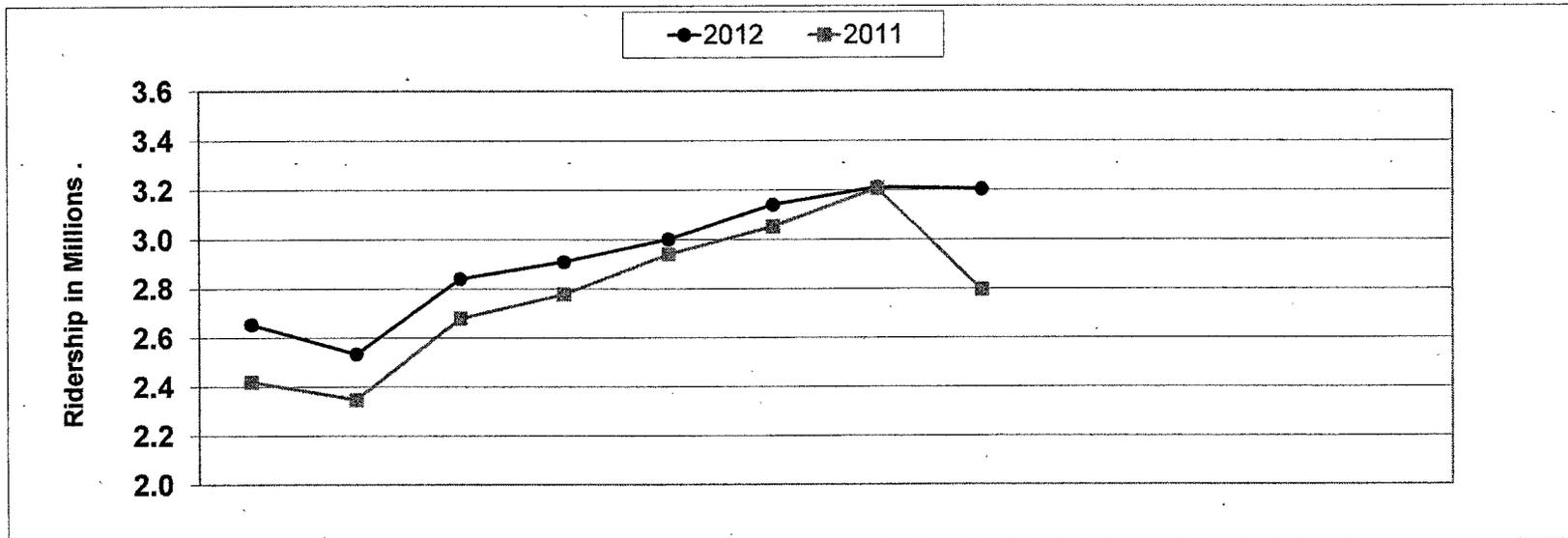


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	3.9	3.9	4.3	4.1	4.2	4.1	4.0	4.1					32.6
2011	3.8	3.7	4.2	4.0	4.2	4.1	4.0	3.9					31.9
PCT CHG.	1.9%	3.2%	2.3%	1.3%	1.1%	0.6%	0.8%	6.0%					2.1%

1) Includes East and West of Hudson.

## AUGUST RAIL NON-COMMUTATION RIDERSHIP <sup>(1)</sup>

- AUGUST's Rail Non-Commutation Ridership was 14.6% above 2011 and 0.2% below forecast.

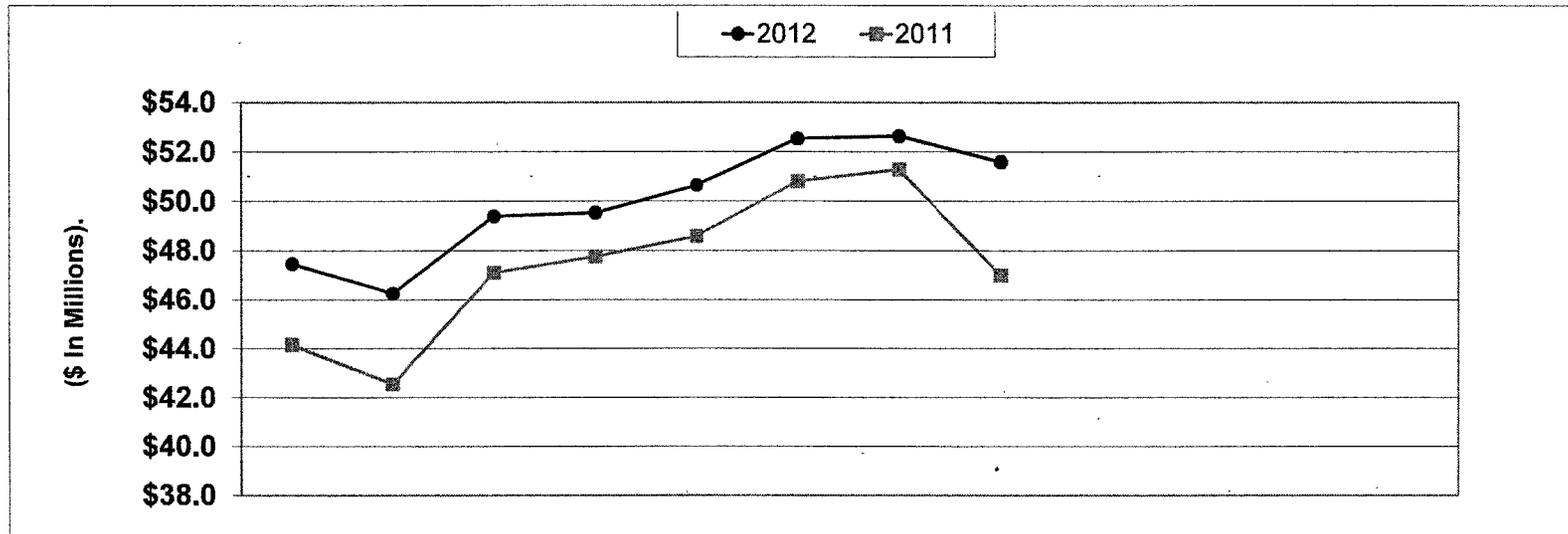


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2012</b>	2.7	2.5	2.8	2.9	3.0	3.1	3.2	3.2					23.5
<b>2011</b>	2.4	2.3	2.7	2.8	2.9	3.1	3.2	2.8					22.2
<b>PCT CHG.</b>	9.7%	8.0%	6.1%	4.8%	2.1%	2.9%	0.1%	14.6%					5.8%

1) Includes East and West of Hudson.

## AUGUST RAIL REVENUE<sup>(1)</sup>

- AUGUST's Total Rail Revenue was 9.6% above 2011 and 0.2% below forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	\$47.5	\$46.3	\$49.4	\$49.5	\$50.7	\$52.5	\$52.6	\$51.6					\$400.1
2011	\$44.2	\$42.6	\$47.1	\$47.8	\$48.6	\$50.8	\$51.3	\$47.0					\$379.3
PCT CHG.	7.5%	8.7%	4.9%	3.7%	4.3%	3.4%	2.6%	9.8%					5.5%

1) Includes East and West of Hudson.

**MTA METRO-NORTH RAILROAD  
RIDERSHIP SUMMARY  
AUGUST 2012**

TICKET TYPE/SERVICE	AUGUST 2012	AUGUST 2011 (1)	CHANGE VS. 2011	
			AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	4,054,748	3,814,173	240,575	6.3%
West of Hudson	89,605	94,185	(4,580)	-4.9%
<b>Total Rail Commutation Ridership</b>	<b>4,144,353</b>	<b>3,908,358</b>	<b>235,995</b>	<b>6.0%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	3,137,789	2,737,475	400,314	14.6%
West of Hudson	67,004	58,929	8,075	13.7%
<b>Total Rail Non-Commutation Ridership</b>	<b>3,204,793</b>	<b>2,796,404</b>	<b>408,389</b>	<b>14.6%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	7,192,537	6,551,648	640,889	9.8%
West of Hudson	156,609	153,114	3,495	2.3%
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,349,146</b>	<b>6,704,762</b>	<b>644,384</b>	<b>9.6%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>49,438</b>	<b>47,929</b>	<b>1,509</b>	<b>3.1%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>7,398,584</b>	<b>6,752,691</b>	<b>645,893</b>	<b>9.6%</b>

Notes:

1) 2011 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 SUMMARY  
2012 YEAR-TO-DATE**

TICKET TYPE/SERVICE	2012 YTD	2011 YTD (1)	CHANGE VS. 2011	
			AMOUNT	PERCENT
<b>RAIL COMMUTATION RIDERSHIP</b>				
East of Hudson	31,937,698	31,152,149	785,549	2.5%
West of Hudson	690,731	792,659	(101,928)	-12.9%
<b>Total Rail Commutation Ridership</b>	<b>32,628,429</b>	<b>31,944,808</b>	<b>683,621</b>	<b>2.1%</b>
<b>RAIL NON-COMMUTATION RIDERSHIP</b>				
East of Hudson	23,032,582	21,759,629	1,272,953	5.9%
West of Hudson	466,088	461,076	5,012	1.1%
<b>Total Rail Non-Commutation Ridership</b>	<b>23,498,670</b>	<b>22,220,705</b>	<b>1,277,965</b>	<b>5.8%</b>
<b>TOTAL RAIL RIDERSHIP</b>				
East of Hudson	54,970,280	52,911,778	2,058,502	3.9%
West of Hudson	1,156,819	1,253,735	(96,916)	-7.7%
<b>TOTAL RAIL RIDERSHIP</b>	<b>56,127,099</b>	<b>54,165,513</b>	<b>1,961,586</b>	<b>3.6%</b>
<b>CONNECTING SERVICES RIDERSHIP (2)</b>	<b>379,285</b>	<b>370,733</b>	<b>8,552</b>	<b>2.3%</b>
<b>TOTAL MNR SYSTEM RIDERSHIP</b>	<b>56,506,384</b>	<b>54,536,246</b>	<b>1,970,138</b>	<b>3.6%</b>

Notes.

1) 2011 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  
AUGUST 2012**

LINE	AUGUST 2012 ACTUAL	AUGUST 2012 MID-YEAR	VARIANCE VS. MID-YEAR		AUGUST 2011 RESTATE <sup>(1)</sup>	CHANGE FROM 2011	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	2,311,944	2,300,202	11,742	0.5%	2,111,456	200,488	9.5%
Hudson Line	1,433,031	1,415,430	17,601	.1.2%	1,297,903	135,128	10.4%
New Haven Line	3,447,562	3,499,530	(51,968)	-1.5%	3,142,289	305,273	9.7%
<b>Total East of Hudson</b>	<b>7,192,537</b>	<b>7,215,162</b>	<b>(22,625)</b>	<b>-0.3%</b>	<b>6,551,648</b>	<b>640,889</b>	<b>9.8%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	100,855	109,355	(8,500)	-7.8%	104,640	(3,785)	-3.6%
Pascack Valley Line	55,754	54,428	1,326	2.4%	48,474	7,280	15.0%
<b>Total West of Hudson</b>	<b>156,609</b>	<b>163,783</b>	<b>(7,174)</b>	<b>-4.4%</b>	<b>153,114</b>	<b>3,495</b>	<b>2.3%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>7,349,146</b>	<b>7,378,945</b>	<b>(29,799)</b>	<b>-0.4%</b>	<b>6,704,762</b>	<b>644,384</b>	<b>9.6%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	29,656	28,679	977	3.4%	29,874	(218)	-0.7%
Haverstraw-Ossining Ferry	12,214	11,339	875	7.7%	10,799	1,415	13.1%
Newburgh-Beacon Ferry	7,568	7,909	(341)	-4.3%	7,256	312	4.3%
<b>Total Connecting Services</b>	<b>49,438</b>	<b>47,927</b>	<b>1,511</b>	<b>3.2%</b>	<b>47,929</b>	<b>1,509</b>	<b>3.1%</b>
<b>TOTAL MNR SYSTEM</b>	<b>7,398,584</b>	<b>7,426,872</b>	<b>(28,288)</b>	<b>-0.4%</b>	<b>6,752,691</b>	<b>645,893</b>	<b>9.6%</b>

**Notes:**

1) 2011 ridership figures have been restated to eliminate calendar impacts on ridership.

**MTA METRO-NORTH RAILROAD  
RIDERSHIP BY LINE  
2012 YEAR-TO-DATE**

TICKET TYPE/SERVICE	2012 YTD ACTUAL	2012 YTD MID-YEAR	VARIANCE VS. MID-YEAR		2011 YTD RESTATE <sup>(1)</sup>	CHANGE FROM 2011	
			AMOUNT	PERCENT		AMOUNT	PERCENT
<b>EAST OF HUDSON</b>							
Harlem Line	17,982,476	18,005,894	(23,418)	-0.1%	17,372,283	610,193	3.5%
Hudson Line	10,735,989	10,748,590	(12,601)	-0.1%	10,414,276	321,713	3.1%
New Haven Line	26,251,815	26,576,067	(324,252)	-1.2%	25,125,219	1,126,596	4.5%
<b>Total East of Hudson</b>	<b>54,970,280</b>	<b>55,330,551</b>	<b>(360,271)</b>	<b>-0.7%</b>	<b>52,911,778</b>	<b>2,058,502</b>	<b>3.9%</b>
<b>WEST OF HUDSON</b>							
Port Jervis Line	731,540	770,283	(38,743)	-5.0%	869,339	(137,799)	-15.9%
Pascack Valley Line	425,279	410,849	14,430	3.5%	384,396	40,883	10.6%
<b>Total West of Hudson</b>	<b>1,156,819</b>	<b>1,181,132</b>	<b>(24,313)</b>	<b>-2.1%</b>	<b>1,253,735</b>	<b>(96,916)</b>	<b>-7.7%</b>
<b>TOTAL RAIL RIDERSHIP</b>	<b>56,127,099</b>	<b>56,511,683</b>	<b>(384,584)</b>	<b>-0.7%</b>	<b>54,165,513</b>	<b>1,961,586</b>	<b>3.6%</b>
<b>CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS</b>							
Hudson Rail Link	241,392	237,881	3,511	1.5%	247,622	(6,230)	-2.5%
Haverstraw-Ossining Ferry	82,774	82,847	(73)	-0.1%	75,840	6,934	9.1%
Newburgh-Beacon Ferry	55,119	56,531	(1,412)	-2.5%	47,271	7,848	16.6%
<b>Total Connecting Services</b>	<b>379,285</b>	<b>377,259</b>	<b>2,026</b>	<b>0.5%</b>	<b>370,733</b>	<b>8,552</b>	<b>2.3%</b>
<b>TOTAL MNR SYSTEM</b>	<b>56,506,384</b>	<b>56,888,942</b>	<b>(382,558)</b>	<b>-0.7%</b>	<b>54,536,246</b>	<b>1,970,138</b>	<b>3.6%</b>

Notes:

1) 2011 ridership figures have been restated to eliminate calendar impacts on ridership.



**Metro-North Railroad**

**Capital Program Report**  
**October 2012**

## CAPITAL PROGRAM

### HIGHLIGHTS

October 29, 2012

#### ***STATIONS/PARKING/FACILITIES***

##### **North White Plains Station Access and Parking Garage**

###### Work in Progress:

- Initial proposals for the Design/Builder of the North White Plains improvement to the station access and parking garage facility are due November 1, 2012; proposals for Construction Management Services are due October 18, 2012. A site tour for both the Design/Builder and Construction Management Services was held on October 9, 2012. Award of the Construction Management Services contract is anticipated for the 1st Quarter of 2013 and Design/Builder contract in the 2<sup>nd</sup> Quarter of 2013.

##### **Croton-Harmon/Peekskill Improvements**

###### Croton-Harmon Station Status:

###### Work in Progress:

- New roof ventilator steel work.
- New canopy deck installation.
- Electrical conduit work.

###### Work Complete:

- Platform edge rub board installation.

###### Peekskill Station Status:

###### Work in Progress:

- Overpass roof framing and fascia work.
- Overpass deck reconstruction.
- Outbound platform rub board installation.

###### Work Complete:

- Metal canopy deck installation on outbound canopy.
- Existing outbound canopy roof and deck reconstruction.

##### **Poughkeepsie Station Improvements**

###### ***Pedestrian Walkway and Pavilion Repair:***

###### Work in Progress:

- Installation of expansion joints.
- Clean up and demobilize at site by the end of October 2012.

###### Work Complete:

- Painting.
- Installation of the lightweight colored concrete for the final surface layer of the walkway.

## **New Haven Line Station Improvements**

### **Small Business Mentoring Program – Platform Guard Rail Replacement**

*Work in Progress:*

At Mamaroneck, Harrison, Mt Vernon East, Pelham, and New Rochelle Stations

- Platform guardrail installation at Harrison Station in progress on outbound platform.
- Platform guardrail fabrication continues for Mt Vernon East, Pelham, New Rochelle and Mamaroneck Stations.

### **Rehabilitation of Various Station Elements at 6-Stations (Mt Vernon East, Pelham, New Rochelle, Larchmont, Mamaroneck and Harrison):**

*Work in Progress:*

- Mobilization is in progress. Construction is scheduled to commence at Mt Vernon East, Pelham New Rochelle Stations (inbound side) in October 2012.

## **Canine Training Facility, Town of East Fishkill, NY**

*Work in Progress:*

- Bid opening for the construction of the canine facility is October 12, 2012.

## **POWER**

### **Substation Replacement Bridge-23**

*Work in Progress:*

- Mobilization and clearing at the Pelham location commenced.
- Fabrication of the long lead equipment.
- Excavation for 27kV power ducts at the New Rochelle Substation (Bridge-61).

*Work Complete:*

- Factory acceptance testing of the specialty high voltage switchgear (West Section) was successfully completed.
- Excavation and pile installation for the West transformer and switchgear foundations at the Bridge-23 site.

## **TRACK AND STRUCTURES**

### **2012 Cyclical Track Program**

*Work in Progress:*

- As of September 30, 2012, a total of 17,390 ties installed, 55 miles of track surfaced and 1.6 miles of CWR installed. Currently, production gang is working on the New Canaan Branch and will return to NYS mid-October at Woodlawn (CP112 - 212).

### **Bridge Rehabilitation – Moodna (Work Complete) and Woodbury Viaducts**

#### ***Woodbury Viaduct:***

*Work in Progress:*

- Advertisement of both Construction Services and Construction Management & Inspection Services are anticipated in October 2012.

### **Harlem River Lift Bridge-Cable Replacement/Control System**

#### *Work in Progress:*

- Advertisement for a contractor for construction of the cable replacement and control system is scheduled to be advertised in October 2012.

### **Inspection and Rehabilitation of Retaining Walls**

#### *Work in Progress:*

- Bids for construction of the rehabilitation of retaining were received on September 27, 2012, are currently under review. Proposals for Construction Management & Inspection services received on September 26, 2012, are being evaluated.

### **Catenary Painting / Rehabilitate Catenary Structures**

#### *Work in Progress:*

- Bids for construction for painting and select structural repairs to catenary structures along the NYS portion of are due on October 17, 2012. A site tour was held on September 14, 2012.

### **Undergrade Bridges – East of Hudson**

#### *Work in Progress: Painting Work*

- All submittals have been approved. The Oak Street Bridge painting work commenced in September 2012.

#### *Work in Progress: Design of select Undergrade Bridges*

- The kick-off meeting with the consultant to perform the design of 5 undergrade bridges was held on September 5, 2012.

#### *Work in Progress: Hamilton Avenue Bridge (HA 22.47) Leak Remediation*

- A contract award for construction is in the process.

#### *Work in Progress: Superstructure Replacement of HU 32.81 Track 4*

- The contract for construction will be advertised in October 2012.

### **Undergrade Bridges – West of Hudson**

#### *Work in Progress: Design of select Undergrade Bridges*

- Proposals for Design Services received on September 17, 2012, are under review.

### **Otisville Tunnel Repairs**

- Construction bids are due on October 16, 2012.
- Proposals for Construction Supervision & Inspection Services are due on October 23, 2012.
- Site tour for both contracts were held October 5, 2012.

### **Overhead Bridges – East of Hudson**

#### *Work in Progress: Bridge Street Bridge Replacement (HU 65.18), Poughkeepsie*

- Proposals for Construction Supervision & Inspection Services are due on October 19, 2012.
- The construction contract is scheduled to be advertised on October 4, 2012 with bids due on November 8, 2012. Site tour is scheduled for October 17, 2012.

### **Drainage and Undercutting Program**

#### *Work in Progress:*

- Bids for Sing-Sing Creek construction received on September 21, 2012, are under review.
- A requisition for Mott Haven to Fordham improvements phase II is circulating for approvals.

## **SHOPS AND YARDS**

### **Harmon Shop Improvements – Phase IV Stage 1**

#### *Work in Progress:*

- Roof and masonry repairs on Main Building (building #6).
- Electrical connections to the trailers Upon completion, anticipated by the end of October 2012 will facilitate final relocation into the south yard storage areas.

#### *Work Complete:*

- Material Distribution Center roof replacement.

### **Employee Welfare & Storage Facilities – Brewster Roof Replacement**

#### *Work in Progress:*

- Skylight and roofing installation.
- New roofing installed on main roof, approximately 80% complete.
- Lower roof repairs are approximately 35% complete.
- Partial fascia repairs on existing 2nd floor cat walk.

#### *Work Complete:*

- Standing seam roof is complete, pending final traffic coat.

## **GRAND CENTRAL TERMINAL**

### **Grand Central Terminal Train Shed and Park Avenue Tunnel**

#### *Work in Progress:*

- Tunnel rehabilitation (including priority repairs) – masonry work commenced in the tunnel.
- Design (platform and train shed repairs) – RFP package is nearing completion.
- Design of the ESA concourse roof repairs continues; design is 90% complete.

#### *Work in Progress: Small Business Mentoring Program – Park Avenue Tunnel Emergency Exit Steel Repair Work*

- All contract work is complete

## **ROLLING STOCK**

### **M-8 Car Program**

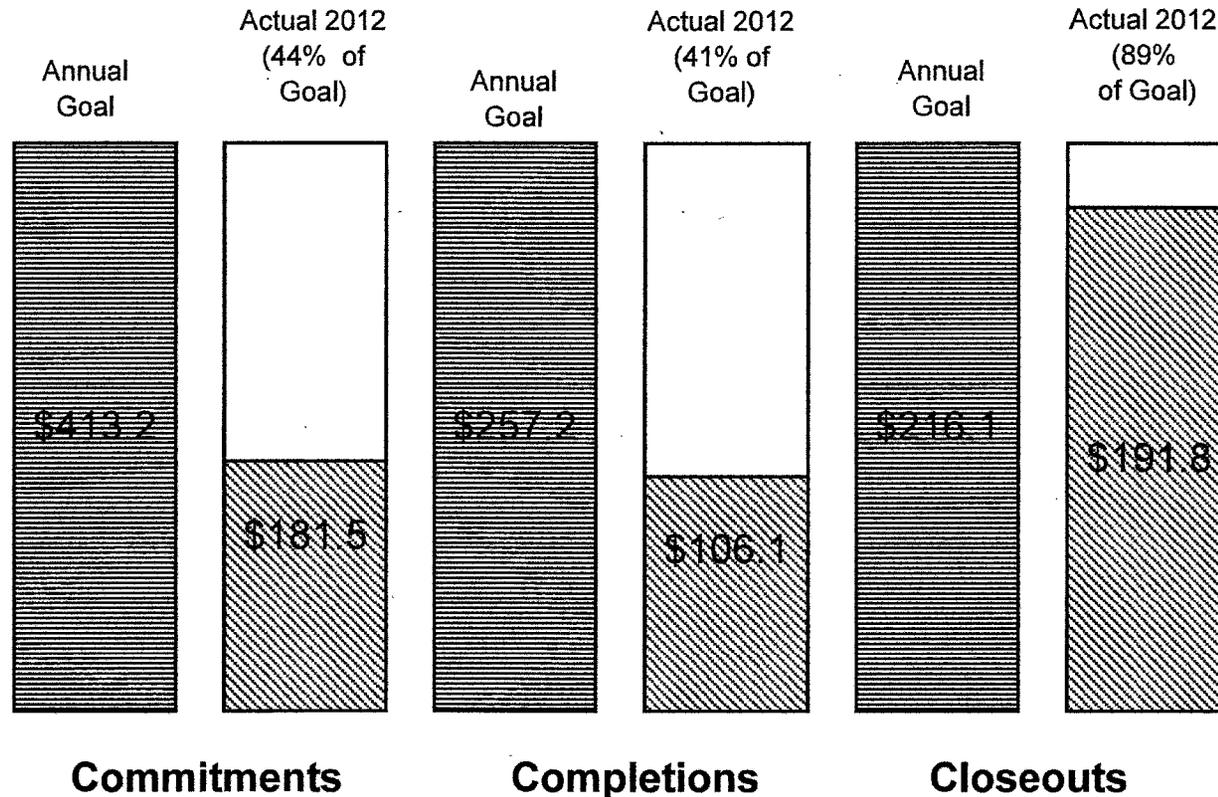
#### *Work in Progress:*

- As of September 30, 2012, 138 Cars have been conditionally accepted and were placed into revenue service.

# 2012 MNR Capital Program Goals

As of September 30, 2012

In Millions



- Forecast - October 2012 - December 2012
- ▨ Actual as of September 2012
- 2012 Goals



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# LONG ISLAND RAIL ROAD

A large rectangular graphic with a dotted grid pattern. The words "MONTHLY OPERATING REPORT" are centered within the grid in a bold, black, sans-serif font.

# MONTHLY OPERATING REPORT

## SEPTEMBER 2012

Helena E. Williams  
President

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10/29/12 \*\*\*\*\*

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Performance Summary			2012 Data		2011 Data		
			Annual	YTD thru	YTD thru	YTD thru	
			Goal	Sept	Sept	Sept	Sept
<b>On Time Performance</b> <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	<b>System</b>	<b>Overall</b>	<b>95.1%</b>	<b>95.0%</b>	<b>94.9%</b>	<b>91.1%</b>	<b>93.2%</b>
		AM Peak		95.1%	94.8%	90.0%	92.9%
		PM Peak		94.0%	92.2%	85.1%	89.6%
		<b>Total Peak</b>		<b>94.6%</b>	<b>93.6%</b>	<b>87.7%</b>	<b>91.4%</b>
		Off Peak Weekday		94.3%	95.0%	90.7%	93.3%
		Weekend		96.5%	96.3%	96.5%	95.4%
	<b>Babylon Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>94.7%</b>	<b>94.5%</b>	<b>90.8%</b>	<b>92.8%</b>
		AM Peak		93.9%	95.9%	90.3%	93.3%
		PM Peak		94.8%	91.8%	86.5%	88.8%
		<b>Total Peak</b>		<b>94.3%</b>	<b>94.0%</b>	<b>88.6%</b>	<b>91.3%</b>
	Off Peak Weekday		93.2%	94.0%	89.9%	92.4%	
	Weekend		97.7%	96.5%	96.4%	96.1%	
<b>Far Rockaway Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>98.9%</b>	<b>97.6%</b>	<b>94.4%</b>	<b>96.2%</b>	
	AM Peak		96.2%	95.4%	91.8%	94.1%	
	PM Peak		99.4%	95.1%	91.0%	95.1%	
	<b>Total Peak</b>		<b>97.6%</b>	<b>95.3%</b>	<b>91.4%</b>	<b>94.5%</b>	
	Off Peak Weekday		99.0%	98.1%	94.2%	96.5%	
	Weekend		99.6%	98.6%	98.0%	97.2%	
<b>Huntington Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>95.0%</b>	<b>94.6%</b>	<b>88.4%</b>	<b>92.2%</b>	
	AM Peak		95.4%	94.6%	90.2%	92.5%	
	PM Peak		92.1%	89.4%	73.1%	84.8%	
	<b>Total Peak</b>		<b>93.8%</b>	<b>92.1%</b>	<b>81.9%</b>	<b>88.8%</b>	
	Off Peak Weekday		94.0%	94.6%	87.1%	91.7%	
	Weekend		96.8%	96.7%	95.9%	95.7%	
<b>Hempstead Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>97.6%</b>	<b>97.4%</b>	<b>94.5%</b>	<b>96.3%</b>	
	AM Peak		96.3%	96.7%	92.4%	95.0%	
	PM Peak		97.7%	94.7%	88.9%	93.0%	
	<b>Total Peak</b>		<b>97.0%</b>	<b>95.8%</b>	<b>90.7%</b>	<b>94.0%</b>	
	Off Peak Weekday		98.3%	97.9%	94.4%	96.5%	
	Weekend		97.1%	97.9%	98.5%	98.3%	
<b>Long Beach Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>95.7%</b>	<b>96.5%</b>	<b>93.5%</b>	<b>95.2%</b>	
	AM Peak		97.1%	96.3%	88.3%	94.2%	
	PM Peak		97.4%	94.5%	91.4%	93.4%	
	<b>Total Peak</b>		<b>97.2%</b>	<b>95.4%</b>	<b>89.8%</b>	<b>93.8%</b>	
	Off Peak Weekday		97.0%	96.9%	93.2%	95.4%	
	Weekend		92.2%	96.6%	98.5%	96.4%	
<b>Montauk Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>92.0%</b>	<b>90.8%</b>	<b>88.9%</b>	<b>87.8%</b>	
	AM Peak		95.4%	93.3%	89.9%	91.3%	
	PM Peak		85.1%	85.9%	83.0%	85.6%	
	<b>Total Peak</b>		<b>90.8%</b>	<b>90.1%</b>	<b>86.8%</b>	<b>88.8%</b>	
	Off Peak Weekday		92.7%	91.6%	87.1%	88.8%	
	Weekend		91.7%	90.0%	93.5%	85.2%	
<b>Oyster Bay Branch</b>	<b>Overall</b>	<b>95.1%</b>	<b>94.2%</b>	<b>95.3%</b>	<b>92.4%</b>	<b>93.7%</b>	
	AM Peak		94.0%	95.5%	90.5%	93.1%	
	PM Peak		93.9%	91.6%	86.5%	87.6%	
	<b>Total Peak</b>		<b>93.9%</b>	<b>93.7%</b>	<b>88.6%</b>	<b>90.6%</b>	
	Off Peak Weekday		91.6%	94.9%	92.2%	94.4%	
	Weekend		99.6%	98.5%	98.3%	96.8%	

Performance Summary		2012 Data			2011 Data	
		Annual	YTD thru		YTD thru	
		Goal	Sept	Sept	Sept	Sept
Port Jefferson Branch	<b>Overall</b>	<b>95.1%</b>	<b>89.3%</b>	<b>91.5%</b>	<b>88.2%</b>	<b>90.4%</b>
	AM Peak		92.1%	92.0%	89.9%	91.0%
	PM Peak		88.0%	88.2%	77.6%	84.2%
	<b>Total Peak</b>		<b>90.2%</b>	<b>90.2%</b>	<b>84.1%</b>	<b>87.8%</b>
	Off Peak Weekday		83.8%	89.5%	87.4%	90.2%
	Weekend		96.7%	97.0%	94.8%	93.8%
Port Washington Branch	<b>Overall</b>	<b>95.1%</b>	<b>95.9%</b>	<b>95.9%</b>	<b>92.7%</b>	<b>94.4%</b>
	AM Peak		95.6%	94.6%	86.8%	93.1%
	PM Peak		93.6%	94.3%	89.7%	91.0%
	<b>Total Peak</b>		<b>94.6%</b>	<b>94.4%</b>	<b>88.3%</b>	<b>92.0%</b>
	Off Peak Weekday		95.4%	96.1%	92.7%	94.6%
	Weekend		98.2%	98.0%	98.6%	98.1%
Ronkonkoma Branch	<b>Overall</b>	<b>95.1%</b>	<b>93.2%</b>	<b>92.6%</b>	<b>87.1%</b>	<b>90.8%</b>
	AM Peak		95.6%	92.4%	90.0%	90.8%
	PM Peak		93.3%	92.7%	78.9%	89.7%
	<b>Total Peak</b>		<b>94.6%</b>	<b>92.5%</b>	<b>85.1%</b>	<b>90.3%</b>
	Off Peak Weekday		91.5%	92.3%	86.0%	89.9%
	Weekend		94.5%	93.2%	92.8%	93.8%
West Hempstead Branch	<b>Overall</b>	<b>95.1%</b>	<b>97.2%</b>	<b>97.0%</b>	<b>94.1%</b>	<b>95.9%</b>
	AM Peak		95.8%	96.6%	93.3%	94.8%
	PM Peak		94.7%	93.0%	91.3%	93.0%
	<b>Total Peak</b>		<b>95.2%</b>	<b>94.6%</b>	<b>92.2%</b>	<b>93.8%</b>
	Off Peak Weekday		98.6%	98.3%	95.5%	97.2%
	Weekend		80.0%	97.5%	75.0%	92.3%
<b>Operating Statistics</b>	<b>Trains Scheduled</b>		<b>19,139</b>	<b>177,065</b>	<b>19,271</b>	<b>171,633</b>
	<b>Avg. Delay per Late Train (min)</b> excluding trains canceled or terminated		-11.9	-12.9	-17.4	-14.2
	<b>Trains Over 15 min. Late</b> excluding trains canceled or terminated		119	3,721	308	2,497
	<b>Trains Canceled</b>		31	344	225	1172
	<b>Trains Terminated</b>		36	275	70	575
	<b>Percent of Scheduled Trips Completed</b>		99.6%	99.7%	98.5%	99.0%
	<b>Consist Compliance</b> (Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)					
	AM Peak		99.1%			
	PM Peak		99.4%			
	<b>Total Peak</b>		99.2%			



**OPERATING REPORT  
FOR MONTH OF September 2012**

Categories Of Delay	Aug	2012 Data		2011 Data		YTD 2012 Vs 2011
		Sep	YTD Thru Sep	Sep	YTD Thru Sep	
<b>Late Train Incidents</b>						
<b>National Rail Passenger Corp</b>	11	78	589	123	867	(278)
<b>Capital Programs</b>	23	9	105	14	175	(70)
<b>Engineering</b>	139	127	1,135	180	1,367	(232)
<b>Penn Station Central Control</b>	8	8	79	20	77	2
<b>Maintenance of Equipment</b>	154	120	1,279	201	1,925	(646)
<b>** Other / Miscellaneous</b>	332	138	1,591	563	3,294	(1,703)
<b>Public</b>	551	374	3,657	459	3,046	611
<b>Transportation</b>	77	48	413	100	598	(185)
<b>Vandalism</b>	3	11	84	-	131	(47)
<b>Maintenance of Way (Sched.)</b>	20	43	130	47	184	(54)



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			PM Peak			Off Peak			Late	Cxfd	Term		
			L	C	T	L	C	T	L	C	T					
9/4	Tues	Track condition in Hall Interlocking	34								8			42		
9/7	Fri	Track condition in Nassau Interlocking									18			18		
9/18	Tues	Severe weather				14					27			41		
9/21	Fri	Train 2778 with a possible trespasser strike on Central Branch				6	1	1			3	1		9	2	1
9/24	Mon	Low air pressure in C Interlocking				24	10				17	1		41	11	
9/25	Tues	Train AM183 disabled in East River Tunnel	10								5			15		
9/29	Sat	Electrical cable fire at Wreck Lead Bridge									17	1		17	1	
<b>TOTAL FOR MONTH</b>			44	0	0	44	11	1			95	3	0	183	14	1
														<b>198</b>		

## Long Island Rail Road

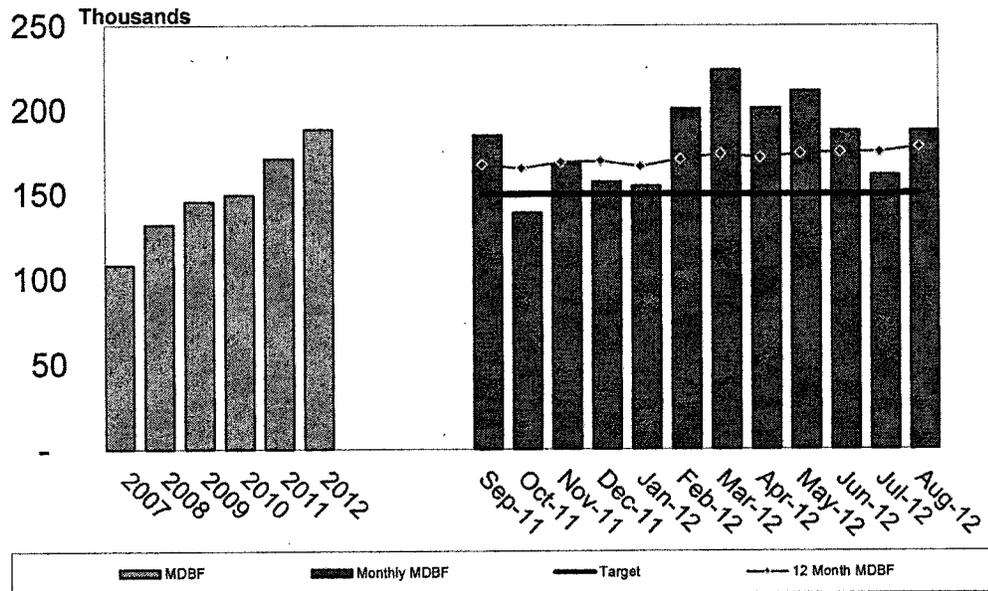
### MEAN DISTANCE BETWEEN FAILURES

	2012 Data							2011 Data		
	Equip-ment Type	Total Fleet Size	MDBF Goal (miles)	August MDBF (miles)	August No. of Primary Failures	YTD MDBF thru August (miles)	12 month MDBF Rolling Avg (miles)	August MDBF (miles)	August No. of Primary Failures	YTD MDBF thru August (miles)
<b>Mean Distance Between Failures</b>	M-3	150	55,000	92,968	7	73,866	75,540	76,614	8	64,294
	M-7	836	350,000	360,558	14	412,793	414,012	430,490	11	439,053
	DM	22	18,000	28,321	3	27,687	22,403	11,371	7	20,359
	DE	23	18,000	29,056	3	18,212	18,455	27,582	3	24,919
	C-3	134	70,000	87,595	8	102,545	80,563	60,604	11	71,110
	Diesel	179	44,000	62,350	14	58,722	50,488	39,476	21	49,898
	<b>Fleet</b>	<b>1,165</b>	<b>150,000</b>	<b>187,756</b>	<b>35</b>	<b>188,292</b>	<b>178,141</b>	<b>154,432</b>	<b>40</b>	<b>174,653</b>

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.

### ALL FLEETS Mean Distance Between Failure

2007 - 2012





Standee Report

East Of Jamaica

			2012 Data	
			September	
			AM Peak	PM Peak
<b>Daily Average</b>	<b>Babylon Branch</b>	Program Standees	0	0
		Add'l Standees	6	9
			<b>Total Standees</b>	<b>9</b>
	<b>Far Rockaway Branch</b>	Program Standees	0	0
		Add'l Standees	0	0
			<b>Total Standees</b>	<b>0</b>
	<b>Huntington Branch</b>	Program Standees	40	0
		Add'l Standees	21	0
			<b>Total Standees</b>	<b>61</b>
	<b>Hempstead Branch</b>	Program Standees	0	0
		Add'l Standees	0	0
			<b>Total Standees</b>	<b>0</b>
	<b>Long Beach Branch</b>	Program Standees	0	0
		Add'l Standees	8	1
			<b>Total Standees</b>	<b>8</b>
	<b>Montauk Branch</b>	Program Standees	0	0
		Add'l Standees	1	0
			<b>Total Standees</b>	<b>1</b>
	<b>Oyster Bay Branch</b>	Program Standees	0	0
		Add'l Standees	27	0
			<b>Total Standees</b>	<b>27</b>
	<b>Port Jefferson Branch</b>	Program Standees	0	0
		Add'l Standees	21	0
			<b>Total Standees</b>	<b>21</b>
	<b>Port Washington Branch</b>	Program Standees	0	0
		Add'l Standees	1	11
			<b>Total Standees</b>	<b>11</b>
	<b>Ronkonkoma Branch</b>	Program Standees	0	28
		Add'l Standees	20	2
			<b>Total Standees</b>	<b>30</b>
	<b>West Hempstead Branch</b>	Program Standees	0	0
		Add'l Standees	0	0
			<b>Total Standees</b>	<b>0</b>
			<b>System Wide PEAK</b>	<b>143</b>
				<b>52</b>

**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

		2012 Data August	
		AM Peak	PM Peak
<b>Daily Average</b>	<b>Babylon Branch</b>	Program Standees	0
		Add'l Standees	25
		<b>Total Standees</b>	<b>25</b>
	<b>Far Rockaway Branch</b>	Program Standees	0
		Add'l Standees	0
		<b>Total Standees</b>	<b>0</b>
	<b>Huntington Branch</b>	Program Standees	40
		Add'l Standees	17
		<b>Total Standees</b>	<b>57</b>
	<b>Hempstead Branch</b>	Program Standees	0
		Add'l Standees	12
		<b>Total Standees</b>	<b>12</b>
	<b>Long Beach Branch</b>	Program Standees	78
		Add'l Standees	0
		<b>Total Standees</b>	<b>78</b>
	<b>Montauk Branch</b>	Program Standees	0
		Add'l Standees	0
		<b>Total Standees</b>	<b>0</b>
	<b>Oyster Bay Branch</b>	Program Standees	0
		Add'l Standees	0
		<b>Total Standees</b>	<b>0</b>
	<b>Port Jefferson Branch</b>	Program Standees	0
		Add'l Standees	0
		<b>Total Standees</b>	<b>0</b>
	<b>Port Washington Branch</b>	Program Standees	0
		Add'l Standees	11
		<b>Total Standees</b>	<b>11</b>
	<b>Ronkonkoma Branch</b>	Program Standees	0
		Add'l Standees	38
		<b>Total Standees</b>	<b>38</b>
	<b>West Hempstead Branch</b>	Program Standees	0
		Add'l Standees	0
		<b>Total Standees</b>	<b>0</b>
		<b>System Wide PEAK</b>	<b>216</b>

Definitions

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

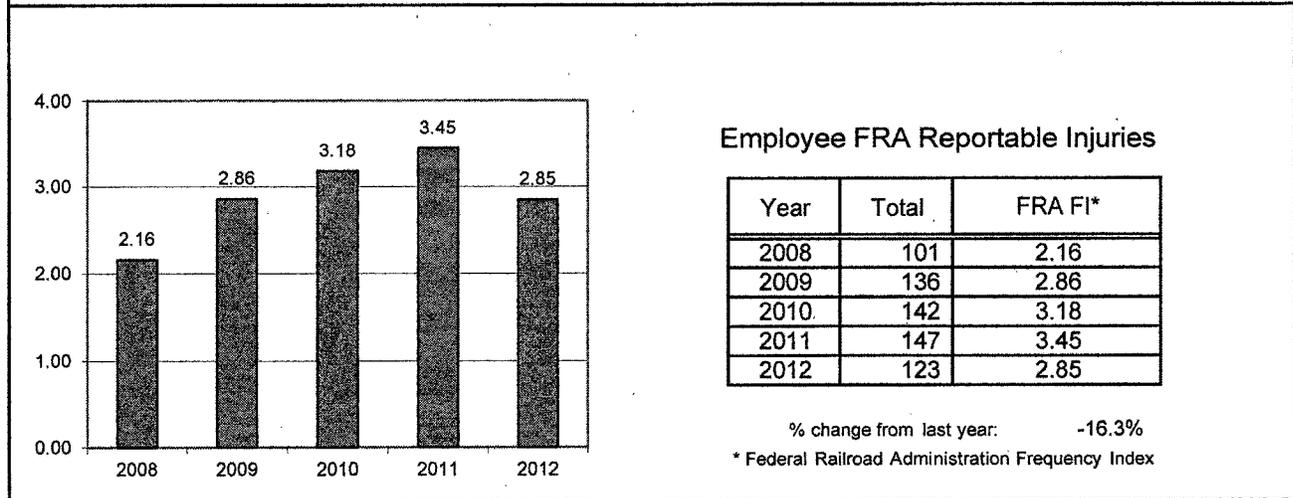
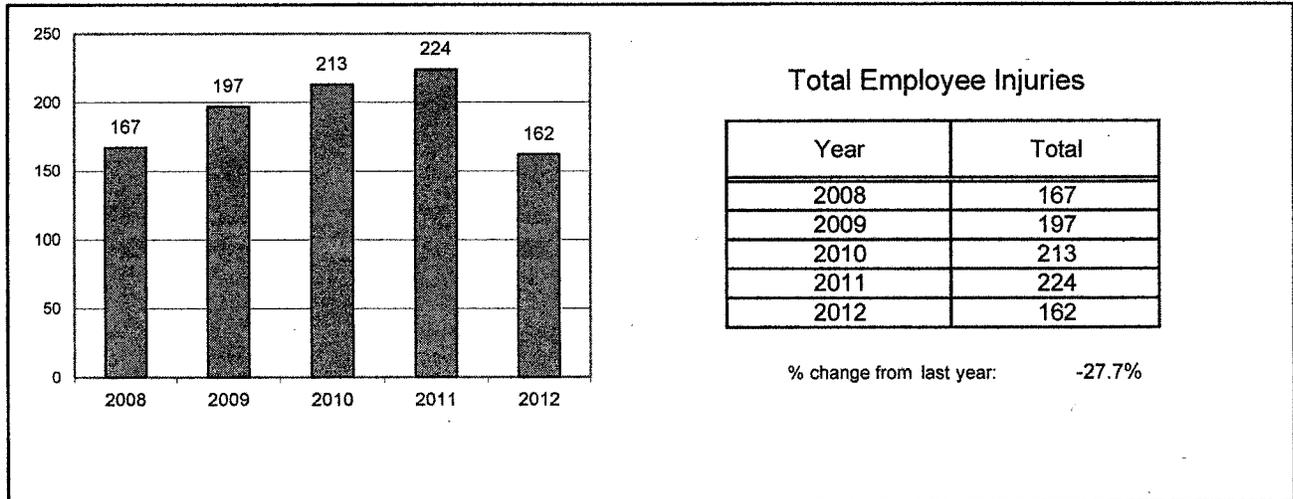
"Program Standees" is the average number of customers in excess of programmed seating capacity.

"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.

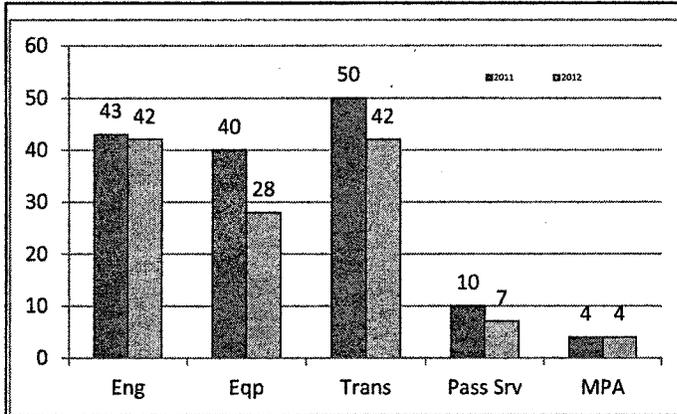
Holidays and Special Events for which there are special equipment programs are not included.

## MTA Long Island Rail Road Summary of Employee Injuries thru August

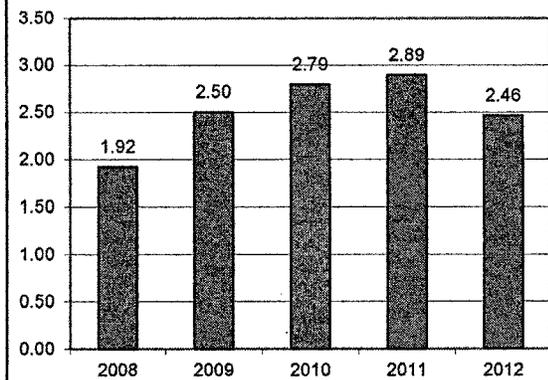


**OPERATING REPORT  
FOR MONTH OF September 2012**

**MTA Long Island Rail Road  
Summary of Employee Injuries thru August**



Department	2011	2012	% Change
Engineering	43	42	-2%
Equipment	40	28	-30%
Transportation	50	42	-16%
Pass Serv	10	7	-30%
MPA	4	4	0%

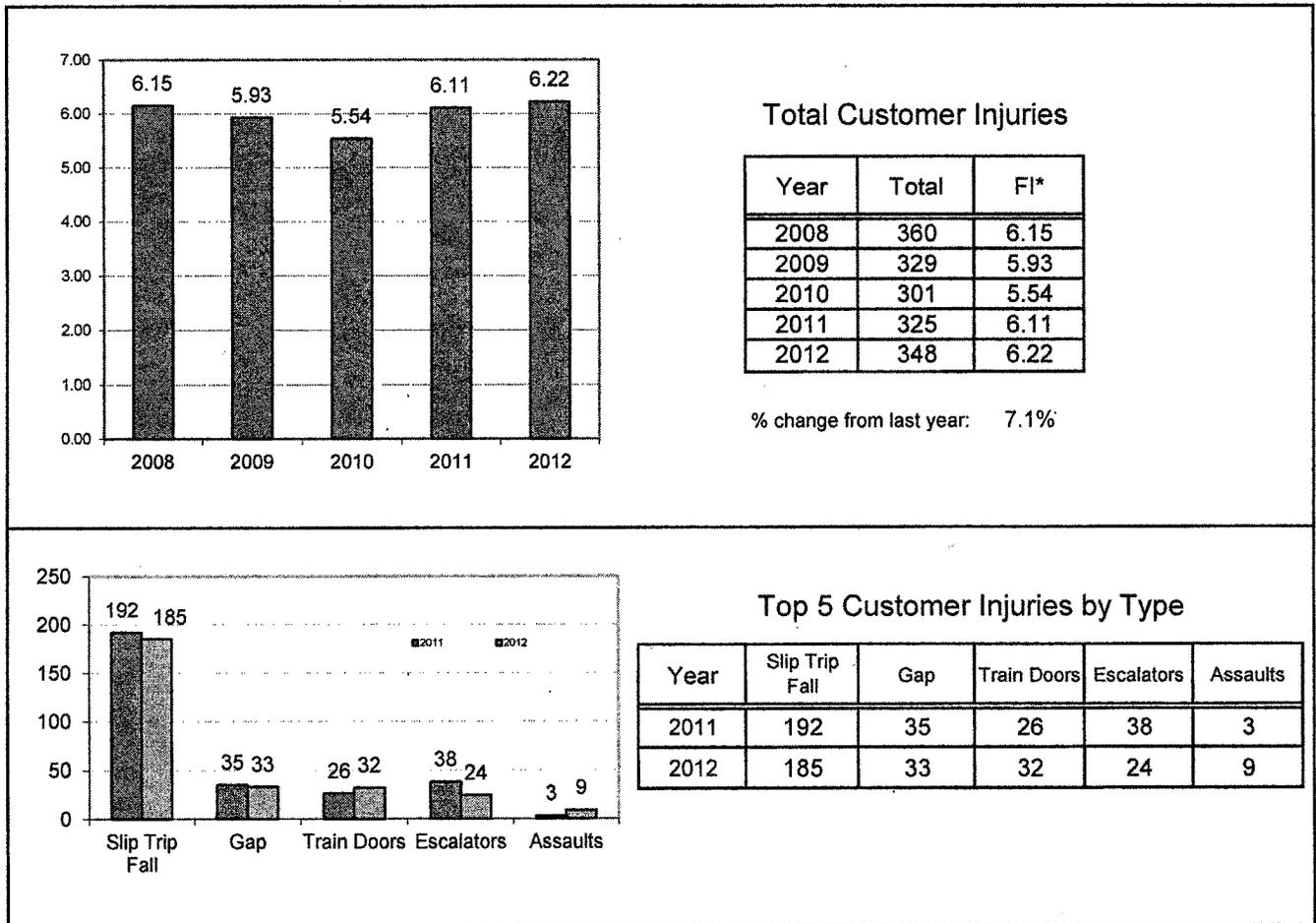


Year	LT	RD	LT FI*	RD FI*	LT&RD FI*
2008	89	4	1.90	0.09	1.92
2009	118	1	2.48	0.02	2.50
2010	123	2	2.75	0.04	2.79
2011	121	2	2.84	0.05	2.89
2012	106	0	2.46	0.00	2.46

% change from last year: -14.9%

\* - Injuries per 200,000 hours worked

## MTA Long Island Rail Road Summary of Customer Injuries thru August

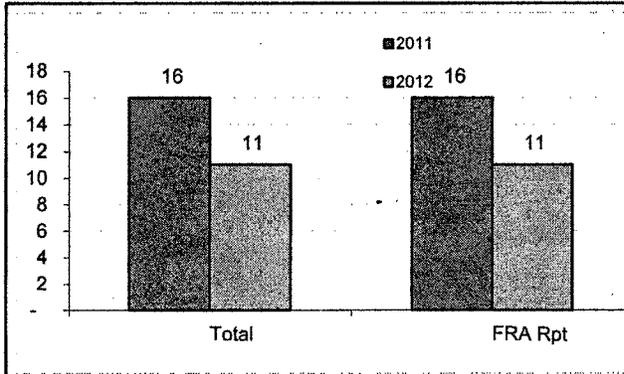


\*- Injuries per 1,000,000 rides

**OPERATING REPORT  
FOR MONTH OF September 2012**

**MTA Long Island Rail Road**

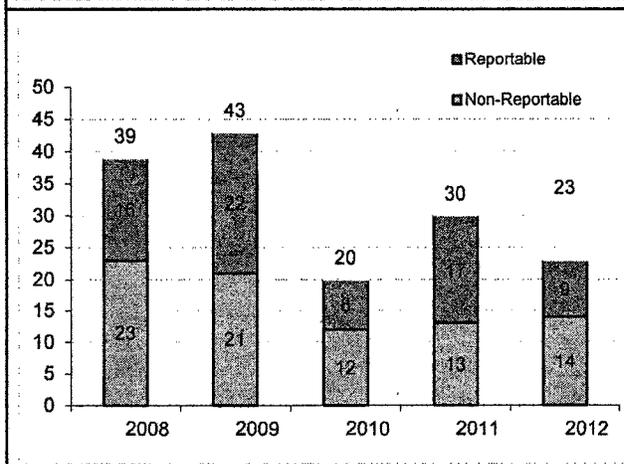
**Summary of Contractor Injuries, Train Accidents & T.R.A.C.K.S.  
thru August**



**Contractor Injuries**

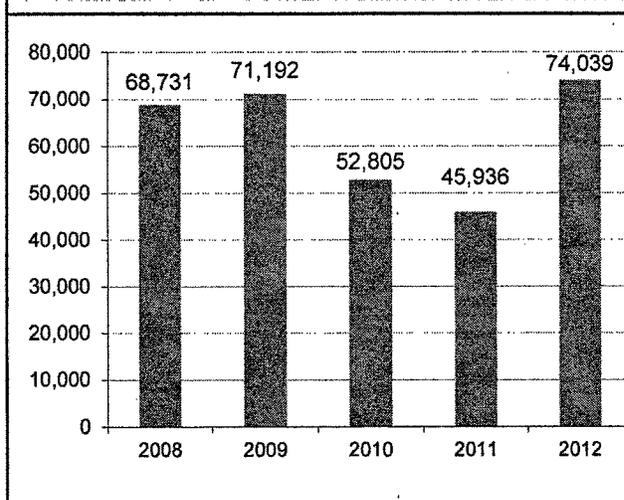
Year	Total	FRA Rpt.
2011	16	16
2012	11	11

% change from last year: -31.3%



**Train Accidents**

Year	Non-Reportable	Reportable
2008	23	16
2009	21	22
2010	12	8
2011	13	17
2012	14	9



**T.R.A.C.K.S. Participants  
Together Railroads and Communities Keeping Safe**

**Total Participants**

Year	Total
2008	68,731
2009	71,192
2010	52,805
2011	45,936
2012	74,039



# **Long Island Rail Road**

## **Monthly Financial Report**

**August 2012**

# MTA LONG ISLAND RAIL ROAD

## August Ridership and Financial Report

### Executive Summary

October 29, 2012

#### Ridership

- During the month of August, total ridership was 7.5 million, which was 9.4% higher than August 2011 (adjusted for same number of work days) and 1.0% above the forecast. Part of this increase was due to lower passengers in 2011 due to Tropical Storm Irene. **This represents the twelfth consecutive month of growth and the largest year-to-year growth since 2008.**
  - 2012 Total ridership through August was 55.9 million. This was 4.5% higher than 2011 and 0.3% higher than the 2012 forecast.
  - Through August 2012, commutation ridership was 3.1% higher than 2011 (work day adjusted) and on the 2012 forecast.
  - Through August 2012, non-commutation ridership was 6.5% higher than 2011 and 0.8% above the forecast.
- 

#### Revenues

- Farebox revenue through August totaling \$392.3 million was \$1.7 million above the forecast, reflecting continued strong ridership growth.
- Capital & Other Revenue of \$158.1 million was \$(5.7) million less than forecast due to lower material used on capital projects.
- In summary, total LIRR revenue of \$550.4 million was \$(4.0) million lower than forecast.

#### Expenses

- Through August 2012, total expenses of \$1,203.8 million were \$18.5 million less than forecast.
- Straight-time payroll spending was \$5.8 million favorable to forecast due to vacant positions and timing of retiree sick/vacation payouts, constructive allowance payments and other accruals. 140 of 6,539 positions were vacant. These vacancies consisted primarily of management/supervisor positions and professional, technical and clerical positions in Operations and Maintenance.
- Year-to-date overtime hours increased by 2.4% in 2012 compared to 2011. This increase is primarily caused by higher vacancy/absentee coverage, partially offset by lower weather-related overtime.
- Year-to-date overtime hours worked was 3.7% greater than forecast. The vast majority was due to lower availability, vacancy coverage and project activity. The LIRR has established a corporate initiative to fill all vacant positions that contribute to overtime.
- Other favorable variances include: materials not purchased/used \$17.8 million, Electric Power and Fuel \$8.2 million, benefits associated with vacant positions and timing of various other expenses.

#### Financial Performance Measures

- Through August, the Adjusted Farebox Operating Ratio was 61.5%, which is favorable to forecast due to lower expenses and higher revenue.
- Through August, the Adjusted Cost per Passenger was \$12.16, which is less than expected due to lower expenses and higher ridership.
- Through August, the Revenue per Passenger was \$7.04, slightly favorable to forecast.

**FINANCIAL REPORT**  
**(\$ In Millions)**  
**For the Month Ending August 31, 2012**

**REVENUE**

Year-to-date August **Total Revenues** (including Capital and Other Reimbursements) of \$550.4 were \$(4.0) or (0.7)% unfavorable to the forecast. The month of August of \$69.9 was unfavorable to forecast by \$(1.6) million or (2.2)%.

- **Y-T-D Farebox Revenues** were \$1.7 favorable to the forecast. The month was \$0.6 favorable to forecast due to higher ridership.
- **Y-T-D Other Operating Revenues** were \$0.5 favorable to forecast. The month was \$0.3 favorable due to timing.
- **Y-T-D Capital and Other Reimbursements** were \$(6.2) unfavorable to the forecast. The month was \$(2.5) unfavorable due to timing of capital activity.

**OPERATING EXPENSES**

Year-to-date August **Total Expenses** (including depreciation and other) of \$1,203.8 were favorable to the forecast by \$18.5 or 1.5%. The total expenses for the month of \$156.7 were favorable to forecast by \$3.1 or 1.9%.

**Labor Expenses**, \$(11.5) unfavorable Y-T-D; \$(2.7) unfavorable for the month.

- **Payroll**, \$5.8 favorable Y-T-D; \$1.1 favorable for the month (primarily vacant positions, constructive allowance payments and timing of retiree sick/vacation payments).
- **Overtime**, \$(3.6) unfavorable Y-T-D; \$(0.6) unfavorable for the month (primarily open jobs in Maintenance of Equipment, higher project activity, lower availability in Transportation, higher maintenance in the Engineering department and higher coverage needs in Customer Service, partially offset by lower maintenance overtime and higher availability in Maintenance of Equipment).
- **Health & Welfare**, \$0.1 favorable Y-T-D; \$(0.2) unfavorable for the month (higher rates, partially offset by vacant positions)
- **OPEB Current Payment**, \$1.2 favorable Y-T-D; \$0.1 favorable for the month (lower retirees).
- **Pension**, \$(18.3) unfavorable Y-T-D; \$(3.7) unfavorable for the month (timing of accrual adjustment to properly reflect mid-year forecast. Expected to be on plan by year-end.)
- **Other Fringe**, \$3.3 favorable Y-T-D; \$0.5 favorable for the month (primarily lower Rail Road Retirement taxes, partially offset by higher FELA indemnity payments).

**Non-Labor Expenses**, \$36.6 favorable Y-T-D; \$4.7 favorable for the month.

- **Electric Power**, \$7.4 favorable Y-T-D; \$0.3 favorable for the month (primarily lower rates).
- **Fuel**, \$0.8 favorable Y-T-D; \$0.1 favorable for the month (primarily lower consumption).
- **Insurance**, \$0.4 favorable Y-T-D; \$0.1 favorable for the month (Force Account Insurance).
- **Maintenance and Other Operating Contracts**, \$2.4 favorable Y-T-D; \$0.1 favorable for the month (primarily lower IESS security costs, communication expenses and timing of vegetation management, partially offset by timing of project activity, joint facilities and natural gas).
- **Professional Services**, \$6.3 favorable Y-T-D; \$0.6 favorable for the month (primarily timing of capital activity and advertising/promotions).
- **Materials and Supplies**, \$17.8 favorable Y-T-D; \$2.9 favorable for the month (timing of capital material usage, rolling stock maintenance and modifications and inventory adjustments).
- **Other Business Expenses**, \$1.3 favorable Y-T-D; \$0.6 favorable for the month (primarily timing).

**Depreciation and Other**, \$(6.6) unfavorable Y-T-D; \$1.1 favorable for the month (Depreciation).

**FAREBOX OPERATING RATIO**

The year-to-date Farebox Operating Ratio was 49.0%, 0.2 percentage point lower than year-to-date July. The Farebox Operating Ratio for the month of August of 47.5% was 0.7 percentage point above the forecast resulting from lower expenses and higher revenue. The adjusted year-to-date Farebox Operating Ratio was 61.5%. The adjusted Farebox Operating Ratio reflects the removal of the UAAL associated with the LIRR's closed pension plan and OPEB retiree expenses and the inclusion of Other Operating Revenue to reflect operational actions at the Rail Road.

TABLE 1

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August 2012**  
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)			
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
<b>Revenue</b>												
Farebox Revenue	\$50.946	\$51.575	\$0.629	1.2	\$0.000	\$0.000	\$0.000	-	\$50.946	\$51.575	\$0.629	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	3.116	3.383	0.267	8.6	0.000	0.000	0.000	-	3.116	3.383	0.267	8.6
Capital & Other Reimbursements	0.000	0.000	0.000	-	17.402	14.923	(2.479)	(14.2)	17.402	14.923	(2.479)	(14.2)
<b>Total Revenue</b>	<b>\$54.062</b>	<b>\$54.958</b>	<b>\$0.896</b>	<b>1.7</b>	<b>\$17.402</b>	<b>\$14.923</b>	<b>(\$2.479)</b>	<b>(14.2)</b>	<b>\$71.464</b>	<b>\$69.881</b>	<b>(\$1.583)</b>	<b>(2.2)</b>
<b>Expenses</b>												
<i>Labor:</i>												
Payroll	\$38.155	\$37.948	\$0.207	0.5	\$5.594	\$4.689	\$0.905	16.2	\$43.749	\$42.636	\$1.113	2.5
Overtime	6.239	6.704	(0.465)	(7.5)	0.874	1.004	(0.130)	(14.8)	7.113	7.708	(0.595)	(8.4)
Health and Welfare	7.297	7.582	(0.285)	(3.9)	0.967	0.888	0.079	8.2	8.264	8.471	(0.207)	(2.5)
OPEB Current Payment	4.829	4.701	0.128	2.6	0.000	0.000	0.000	-	4.829	4.701	0.128	2.6
Pensions	12.871	16.321	(3.450)	(26.8)	1.471	1.686	(0.215)	(14.6)	14.342	18.007	(3.665)	(25.6)
Other Fringe Benefits	9.233	8.850	0.383	4.1	1.165	1.024	0.141	12.1	10.398	9.875	0.523	5.0
Reimbursable Overhead	(2.253)	(1.749)	(0.504)	(22.4)	2.253	1.749	0.504	22.4	0.000	0.000	0.000	-
<b>Total Labor Expenses</b>	<b>\$76.371</b>	<b>\$80.358</b>	<b>(\$3.987)</b>	<b>(5.2)</b>	<b>\$12.324</b>	<b>\$11.040</b>	<b>\$1.284</b>	<b>10.4</b>	<b>\$88.695</b>	<b>\$91.398</b>	<b>(\$2.703)</b>	<b>(3.0)</b>
<i>Non-Labor:</i>												
Electric Power	\$8.856	\$8.586	\$0.270	3.0	\$0.000	\$0.000	\$0.000	-	\$8.856	\$8.586	\$0.270	3.0
Fuel	2.501	2.434	0.067	2.7	0.000	0.000	0.000	-	2.501	2.434	0.067	2.7
Insurance	1.315	1.310	0.005	0.3	0.398	0.294	0.104	26.2	1.713	1.604	0.109	6.3
Claims	0.356	0.243	0.113	31.9	0.000	0.000	0.000	-	0.356	0.243	0.113	31.9
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	5.315	4.828	0.487	9.2	0.766	1.182	(0.416)	(54.4)	6.081	6.010	0.071	1.2
Professional Service Contracts	3.096	2.882	0.214	6.9	0.330	(0.033)	0.363	*	3.426	2.849	0.577	16.8
Materials & Supplies	9.289	7.427	1.862	20.0	3.498	2.426	1.072	30.6	12.787	9.853	2.934	22.9
Other Business Expenses	1.448	0.963	0.485	33.5	0.086	0.014	0.072	83.8	1.534	0.977	0.557	36.3
<b>Total Non-Labor Expenses</b>	<b>\$32.176</b>	<b>\$28.673</b>	<b>\$3.503</b>	<b>10.9</b>	<b>\$5.078</b>	<b>\$3.883</b>	<b>\$1.195</b>	<b>23.6</b>	<b>\$37.254</b>	<b>\$32.557</b>	<b>\$4.697</b>	<b>12.6</b>
<i>Other Expense Adjustments:</i>												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>
<b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b>	<b>\$108.547</b>	<b>\$109.031</b>	<b>(\$0.484)</b>	<b>(0.4)</b>	<b>\$17.402</b>	<b>\$14.923</b>	<b>\$2.479</b>	<b>14.2</b>	<b>\$125.949</b>	<b>\$123.955</b>	<b>\$1.994</b>	<b>1.6</b>
Depreciation	\$27.077	\$26.004	\$1.073	4.0	\$0.000	\$0.000	\$0.000	-	\$27.077	\$26.004	\$1.073	4.0
Other Post Employment Benefits	6.555	6.550	0.005	0.1	0.000	0.000	0.000	-	6.555	6.550	0.005	0.1
Environmental Remediation	0.167	0.167	(0.000)	(0.1)	0.000	0.000	0.000	-	0.167	0.167	(0.000)	(0.1)
<b>Total Expenses</b>	<b>\$142.345</b>	<b>\$141.752</b>	<b>\$0.593</b>	<b>0.4</b>	<b>\$17.402</b>	<b>\$14.923</b>	<b>\$2.479</b>	<b>14.2</b>	<b>\$159.747</b>	<b>\$156.675</b>	<b>\$3.072</b>	<b>1.9</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$88.283)</b>	<b>(\$86.794)</b>	<b>\$1.489</b>	<b>1.7</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$88.283)</b>	<b>(\$86.794)</b>	<b>\$1.489</b>	<b>1.7</b>
<i>Cash Conversion Adjustments</i>												
Depreciation	27.077	26.004	(1.073)	(4.0)	0.000	0.000	0.000	-	27.077	26.004	(1.073)	(4.0)
Operating/Capital	(0.889)	(0.005)	0.884	99.4	0.000	0.000	0.000	-	(0.889)	(0.005)	0.884	99.4
Other Cash Adjustments	1.602	15.110	13.508	*	0.000	0.000	0.000	-	1.602	15.110	13.508	*
<b>Total Cash Conversion Adjustments</b>	<b>\$27.790</b>	<b>\$41.108</b>	<b>\$13.318</b>	<b>47.9</b>	<b>0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$27.790</b>	<b>\$41.108</b>	<b>\$13.318</b>	<b>47.9</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$60.493)</b>	<b>(\$45.686)</b>	<b>\$14.807</b>	<b>24.5</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$60.493)</b>	<b>(\$45.686)</b>	<b>\$14.807</b>	<b>24.5</b>

TABLE 2

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**ACCRUAL STATEMENT of OPERATIONS by CATEGORY**  
**August 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
<b>Revenue</b>												
Farebox Revenue	\$390.587	\$392.311	\$1.724	0.4	\$0.000	\$0.000	\$0.000	-	\$390.587	\$392.311	\$1.724	0.4
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	25.562	26.048	0.486	1.9	0.000	0.000	0.000	-	25.562	26.048	0.486	1.9
Capital & Other Reimbursements	0.000	0.000	0.000	-	138.231	132.026	(6.204)	(4.5)	138.231	132.026	(6.204)	(4.5)
<b>Total Revenue</b>	<b>\$416.149</b>	<b>\$418.359</b>	<b>\$2.210</b>	<b>0.5</b>	<b>\$138.231</b>	<b>\$132.026</b>	<b>(\$6.204)</b>	<b>(4.5)</b>	<b>\$554.380</b>	<b>\$550.385</b>	<b>(\$3.995)</b>	<b>(0.7)</b>
<b>Expenses</b>												
<b>Labor:</b>												
Payroll	\$278.507	\$274.863	\$3.644	1.3	\$46.103	\$43.928	\$2.175	4.7	\$324.610	\$318.791	\$5.819	1.8
Overtime	60.754	53.191	(2.437)	(4.8)	7.199	8.376	(1.177)	(16.4)	57.953	61.567	(3.614)	(6.2)
Health and Welfare	56.942	56.730	0.212	0.4	8.171	8.248	(0.077)	(0.9)	65.113	64.978	0.135	0.2
OPEB Current Payment	38.111	36.940	1.171	3.1	0.000	0.000	0.000	-	38.111	36.940	1.171	3.1
Pensions	112.364	128.448	(16.084)	(14.3)	13.368	15.611	(2.243)	(16.8)	125.732	144.059	(18.327)	(14.6)
Other Fringe Benefits	73.948	70.835	3.113	4.2	9.676	9.502	0.174	1.8	83.624	80.337	3.287	3.9
Reimbursable Overhead	(17.975)	(15.925)	(2.050)	(11.4)	17.975	15.925	2.050	11.4	(0.000)	0.000	(0.000)	(100.0)
<b>Total Labor Expenses</b>	<b>\$592.651</b>	<b>\$605.082</b>	<b>(\$12.431)</b>	<b>(2.1)</b>	<b>\$102.492</b>	<b>\$101.590</b>	<b>\$0.902</b>	<b>0.9</b>	<b>\$695.143</b>	<b>\$706.672</b>	<b>(\$11.529)</b>	<b>(1.7)</b>
<b>Non-Labor:</b>												
Electric Power	\$65.706	\$58.138	\$7.568	11.5	\$0.000	\$0.145	(\$0.145)	-	65.706	\$58.283	\$7.423	11.3
Fuel	18.484	17.675	0.809	4.4	0.000	0.000	0.000	-	18.484	17.675	0.809	4.4
Insurance	10.277	10.335	(0.058)	(0.6)	3.155	2.860	0.495	15.7	13.432	12.995	0.437	3.3
Claims	1.999	1.904	0.095	4.7	0.000	0.000	0.000	-	1.999	1.904	0.095	4.7
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	35.666	31.183	4.483	12.6	6.742	8.860	(2.118)	(31.4)	42.408	40.043	2.365	5.6
Professional Service Contracts	20.071	15.134	4.937	24.6	2.152	0.744	1.408	65.4	22.223	15.878	6.344	28.5
Materials & Supplies	68.321	56.007	12.314	18.0	23.155	17.632	5.523	23.9	91.476	73.639	17.837	19.5
Other Business Expenses	9.667	8.488	1.179	12.2	0.536	0.396	0.139	26.0	10.203	8.884	1.318	12.9
<b>Total Non-Labor Expenses</b>	<b>\$230.191</b>	<b>\$198.865</b>	<b>\$31.326</b>	<b>13.6</b>	<b>\$35.739</b>	<b>\$30.436</b>	<b>\$5.303</b>	<b>14.8</b>	<b>\$265.930</b>	<b>\$229.301</b>	<b>\$36.629</b>	<b>13.8</b>
<b>Other Expense Adjustments</b>												
Other	\$0.000	\$0.000	(\$0.000)	-	\$0.000	\$0.000	\$0.000	-	0.000	\$0.000	(\$0.000)	-
<b>Total Other Expense Adjustments</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>
<b>Total Expenses before Depreciation &amp; Other Post Employment Benefits</b>	<b>\$822.842</b>	<b>\$803.947</b>	<b>\$18.895</b>	<b>2.3</b>	<b>\$138.231</b>	<b>\$132.026</b>	<b>\$6.204</b>	<b>4.5</b>	<b>\$961.073</b>	<b>\$935.973</b>	<b>\$25.100</b>	<b>2.6</b>
<b>Depreciation</b>	<b>\$208.834</b>	<b>\$213.431</b>	<b>(4.597)</b>	<b>(2.2)</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>208.834</b>	<b>\$213.431</b>	<b>(\$4.597)</b>	<b>(2.2)</b>
<b>Other Post Employment Benefits</b>	<b>51.032</b>	<b>53.062</b>	<b>(2.030)</b>	<b>(4.0)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>51.032</b>	<b>53.062</b>	<b>(2.030)</b>	<b>(4.0)</b>
<b>Environmental Remediation</b>	<b>1.334</b>	<b>1.333</b>	<b>0.001</b>	<b>0.0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>-</b>	<b>1.334</b>	<b>1.333</b>	<b>0.001</b>	<b>0.0</b>
<b>Total Expenses</b>	<b>\$1,084.042</b>	<b>\$1,071.773</b>	<b>\$12.269</b>	<b>1.1</b>	<b>\$138.231</b>	<b>\$132.026</b>	<b>\$6.204</b>	<b>4.5</b>	<b>\$1,222.273</b>	<b>\$1,203.799</b>	<b>\$18.474</b>	<b>1.5</b>
<b>Net Surplus/(Deficit)</b>	<b>(\$667.893)</b>	<b>(\$653.414)</b>	<b>\$14.479</b>	<b>2.2</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>(\$0.000)</b>	<b>-</b>	<b>(\$667.893)</b>	<b>(\$653.414)</b>	<b>\$14.479</b>	<b>2.2</b>
<b>Cash Conversion Adjustments</b>												
Depreciation	208.834	213.431	4.597	2.2	0.000	0.000	0.000	-	208.834	213.431	4.597	2.2
Operating/Capital	(4.207)	(0.556)	3.651	86.8	0.000	0.000	0.000	-	(4.207)	(0.556)	3.651	86.8
Other Cash Adjustments	30.028	67.493	37.465	*	0.000	0.000	0.000	-	30.028	67.493	37.465	*
<b>Total Cash Conversion Adjustments</b>	<b>\$234.655</b>	<b>\$280.368</b>	<b>\$45.713</b>	<b>19.5</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>\$234.655</b>	<b>\$280.368</b>	<b>\$45.713</b>	<b>19.5</b>
<b>Net Cash Surplus/(Deficit)</b>	<b>(\$433.238)</b>	<b>(\$373.047)</b>	<b>\$60.192</b>	<b>13.9</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>\$0.000</b>	<b>-</b>	<b>(\$433.238)</b>	<b>(\$373.047)</b>	<b>\$60.192</b>	<b>13.9</b>

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN FORECAST AND ACTUAL: ACCRUAL BASIS**

August 2012				Year-to-Date August 2012			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
<b>Revenue</b>							
Farebox Revenue	Non Reimb.	0.629	1.2	Higher ridership \$0.521 and yield \$0.108.	1.724	0.4	Higher ridership \$1.234 and yield \$0.490.
Other Operating Revenue	Non Reimb.	0.267	8.6	Primarily due to higher rental and miscellaneous revenue, partially offset by timing of freight revenue.	0.486	1.9	Primarily due to higher rental and miscellaneous revenue.
Capital & Other Reimbursements	Reimb.	(2.479)	(14.2)	Primarily due to the timing of project activity and other reimbursements.	(6.204)	(4.5)	Primarily due to the timing of project activity and other reimbursements.
<b>Expenses</b>							
Payroll	Non Reimb.	0.207	0.5	Vacant positions, lower rates, lower retiree payments and lower work rule payments, partially offset by Engineering workforce performing more maintenance activity instead of project activity.	3.644	1.3	Primarily lower retiree payments, lower rates, vacant positions, lower vacation pay accrual/reversals and lower work rule payments, partially offset by higher differential payments and Engineering workforce performing more maintenance activity than project activity.
	Reimb.	0.905	16.2	Primarily due to the timing of project activity and other reimbursements.	2.175	4.7	Primarily due to the timing of project activity and other reimbursements.
Overtime	Non Reimb.	(0.465)	(7.5)	Higher open job coverage, relief day overtime and rates, partially offset by lower maintenance-related overtime.	(2.437)	(4.8)	Higher relief day overtime, rates and open job coverage, partially offset by lower maintenance-related overtime.
	Reimb.	(0.130)	(14.8)	Primarily due to timing of project activity.	(1.177)	(16.4)	Primarily due to timing of project activity.
Health and Welfare	Non Reimb.	(0.285)	(3.9)	Primarily higher rates than forecast.	0.212	0.4	Primarily vacant positions
	Reimb.	0.079	8.2	Primarily due to timing of project activity.	(0.077)	(0.9)	Primarily due to timing of project activity.
OPEB Current Payment	Non Reimb.	0.128	2.6	Lower rates and fewer retirees/beneficiaries.	1.171	3.1	Lower rates and fewer retirees/beneficiaries.

TABLE 3

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN FORECAST AND ACTUAL: ACCRUAL BASIS**

Generic Revenue or Expense Category	Non Reimb. Or Reimb.	August 2012		Reason for Variance	Year-to-Date August 2012		Reason for Variance
		Favorable/ (Unfavorable) Variance			Favorable/ (Unfavorable) Variance		
		\$	%		\$	%	
Pensions	Non Reimb.	(3.450)	(26.8)	Timing of accruals and the estimated percentage of pension allocated to reimbursable was under-estimated. Total pension costs will be on forecast by year-end.	(16.084)	(14.3)	Timing of accruals and the estimated percentage of pension allocated to reimbursable was under-estimated. Total pension costs will be on forecast by year-end.
	Reimb.	(0.215)	(14.6)	Timing of accruals and the estimated percentage of pension allocated to reimbursable was under-estimated. Total pension costs will be on forecast by year-end.	(2.243)	(16.8)	Timing of accruals and the estimated percentage of pension allocated to reimbursable was under-estimated. Total pension costs will be on forecast by year-end.
Other Fringe Benefits	Non Reimb.	0.383	4.1	Lower Railroad Retirement taxes, partially offset by higher FELA indemnity payments.	3.113	4.2	Lower FELA indemnity payments, Railroad Retirement taxes and Unemployment Insurance.
	Reimb.	0.141	12.1	Primarily due to timing of project activity.	0.174	1.8	Primarily due to timing of project activity.
Electric Power	Non Reimb.	0.270	3.0	Primarily due to lower rates and timing of accrual adjustments, partially offset by higher consumption.	7.568	11.5	Primarily due to lower rates, consumption and timing of accrual adjustments.
	Reimb.	0.000	-		(0.145)	-	VD Yard
Fuel	Non Reimb.	0.067	2.7	Lower consumption, partially offset by higher rates.	0.809	4.4	Primarily lower rates and consumption.
Insurance	Non Reimb.	0.005	0.3	Timing of premium payments.	(0.058)	(0.6)	Timing of premium payments.
	Reimb.	0.104	26.2	Force Account Insurance associated with project activity.	0.495	15.7	Force Account Insurance associated with project activity.
Claims	Non Reimb.	0.113	31.9	Primarily timing of payments.	-0.095	4.7	Primarily timing of payments.
Maintenance & Other Operating Contracts	Non Reimb.	0.487	9.2	Timing of activities and payments for vegetation management, escalator/elevator maintenance, IESS security initiative, communication and security system maintenance.	4.483	12.6	Timing of activities and payments for toilet servicing, rubbish removal, communications, escalator/elevator maintenance, IESS and other security related contracts, partially offset by the timing of payments for joint facilities, HVAC maintenance and non-revenue vehicle repairs.
	Reimb.	(0.416)	(54.4)	Primarily due to timing of project activity.	(2.118)	(31.4)	Primarily due to timing of project activity.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN FORECAST AND ACTUAL: ACCRUAL BASIS**

August 2012				Year-to-Date August 2012			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Professional Service Contracts	Non Reimb.	0.214	6.9	Primarily due to timing of payments and activities for advertising and hardware and various consulting contracts.	4.937	24.6	Primarily due to timing of payments and activities for IT software and hardware, data center charges, outside training, postage and various consulting contracts.
	Reimb.	0.363	*	Primarily due to timing of project activity.	1.408	65.4	Primarily due to timing of project activity.
Materials & Supplies	Non Reimb.	1.862	20.0	Primarily timing of corporate inventory adjustments, lower usage of running repair material in the MU car Shop, pool material reclaims greater than chargeouts and delayed purchase of TVM's.	12.314	18.0	Primarily due to timing of charge-outs of fleet modification material, lower usage of running repair material in the Support and Car Shops, timing of charge-outs for pool material in the Equipment Department, the timing of corporate inventory adjustments and delayed purchase of TVM's, partially offset by higher charge-outs of RCM material from the Support Shops.
	Reimb.	1.072	30.6	Primarily due to timing of project activity and timing of payments for project material.	5.523	23.9	Primarily due to timing of project activity and timing of payments for project material.
Other Business Expenses	Non Reimb.	0.485	33.5	Primarily due to timing of expenses and lower debit/credit card fees.	1.179	12.2	Primarily due to timing of expenses and lower debit/credit card fees, partially offset by higher bad debt.
	Reimb.	0.072	83.8	Primarily due to timing of project activity.	0.139	26.0	Primarily due to timing of project activity.
Depreciation	Non Reimb.	1.073	4.0	Primarily timing.	(4.597)	(2.2)	Higher based on latest projection of projects achieving beneficial use in 2012.
Other Post Employment Benefits	Non Reimb.	0.005	0.1		(2.030)	(4.0)	Higher GASB adjustment to reflect the value associated with unfunded accrued liability for post employment benefits.

Table 4

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**CASH RECEIPTS and EXPENDITURES**  
**August 2012**  
(\$ in millions)

	Month				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Farebox Revenue	\$53.370	\$56.054	\$2.684	5.0	\$410.020	\$411.681	\$1.661	0.4
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	4.009	3.853	(0.156)	(3.9)	31.218	28.302	(2.916)	(9.3)
Capital & Other Reimbursements	19.136	16.624	(2.512)	(13.1)	132.636	135.610	2.974	2.2
<b>Total Receipts</b>	<b>\$76.516</b>	<b>\$76.531</b>	<b>\$0.016</b>	<b>0.0</b>	<b>\$573.874</b>	<b>\$575.593</b>	<b>\$1.719</b>	<b>0.3</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	\$47.871	\$45.502	\$2.369	4.9	\$322.313	\$318.426	\$3.887	1.2
Overtime	8.848	9.574	(0.726)	(8.2)	59.104	62.330	(3.226)	(5.5)
Health and Welfare	8.264	8.437	(0.173)	(2.1)	65.112	65.530	(0.418)	(0.6)
OPEB Current Payment	4.829	4.698	0.131	2.7	38.113	36.885	1.228	3.2
Pensions	11.410	11.382	0.028	0.2	137.460	137.353	0.107	0.1
Other Fringe Benefits	12.115	9.949	2.166	17.9	82.713	74.567	8.126	9.8
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	-
<b>Total Labor Expenditures</b>	<b>\$93.337</b>	<b>\$89.541</b>	<b>\$3.796</b>	<b>4.1</b>	<b>\$704.815</b>	<b>\$695.111</b>	<b>\$9.704</b>	<b>1.4</b>
<i>Non-Labor:</i>								
Electric Power	\$10.931	\$11.541	(\$0.610)	(5.6)	\$66.356	\$56.280	\$10.076	15.2
Fuel	2.948	2.294	0.654	22.2	20.336	17.845	2.491	12.2
Insurance	3.098	1.752	1.346	43.5	20.322	12.489	7.833	38.5
Claims	0.023	0.625	(0.602)	*	2.533	4.284	(1.751)	(69.1)
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	6.952	4.249	2.703	38.9	50.981	38.936	12.045	23.6
Professional Service Contracts	3.674	0.932	2.742	74.6	20.454	12.770	7.684	37.6
Materials & Supplies	11.968	8.525	3.443	28.8	93.014	87.105	5.909	6.4
Other Business Expenses	1.685	0.763	0.922	54.7	9.870	5.942	3.928	39.8
<b>Total Non-Labor Expenditures</b>	<b>\$41.279</b>	<b>\$30.680</b>	<b>\$10.599</b>	<b>25.7</b>	<b>\$283.866</b>	<b>\$235.652</b>	<b>\$48.214</b>	<b>17.0</b>
<i>Other Expenditure Adjustments:</i>								
Other	2.392	2.227	0.165	6.9	18.432	17.387	1.045	5.7
<b>Total Other Expenditure Adjustments</b>	<b>\$2.392</b>	<b>\$2.227</b>	<b>\$0.165</b>	<b>6.9</b>	<b>\$18.432</b>	<b>\$17.387</b>	<b>\$1.045</b>	<b>5.7</b>
<b>Total Expenditures</b>	<b>\$137.008</b>	<b>\$122.449</b>	<b>\$14.559</b>	<b>10.6</b>	<b>\$1,007.113</b>	<b>\$948.150</b>	<b>\$58.963</b>	<b>5.9</b>
Cash Timing and Availability Adjustment	0.000	0.232	0.232	-	0.000	(0.489)	(0.489)	-
<b>Net Cash Deficit</b> (excludes opening balance)	<b>(\$60.493)</b>	<b>(\$45.686)</b>	<b>\$14.807</b>	<b>24.5</b>	<b>(\$433.239)</b>	<b>(\$373.047)</b>	<b>\$60.192</b>	<b>13.9</b>
<b>Subsidies</b>								
MTA	60.493	41.990	(18.503)	(30.6)	429.991	369.795	(60.196)	(14.0)

MTA LONG ISLAND RAIL ROAD  
 JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
 EXPLANATION OF VARIANCES BETWEEN JULY FORECAST AND ACTUAL CASH BASIS

Table 5

Generic Revenue or Expense Category	August 2012			Year-to-Date as of August 31, 2012		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
<b>Receipts</b>						
Farebox Revenue	\$2.684	5.0	Higher advance sales impact \$2.560, higher ridership \$0.521, and higher yields \$0.108, partially offset by lower Metrocard/AirTrain sales \$(0.505).	\$1.661	0.4%	Higher advance sales impact \$1.407, higher ridership \$1.234, and higher yields \$0.490, partially offset by lower Metrocard/AirTrain sales \$(1.470).
Other Operating Revenue	(\$0.156)	(3.9)	Primarily due to the timing of miscellaneous revenue, intercompany receipts and freight revenue, partially offset by the timing of rental revenue.	(\$2.916)	-9.3%	Primarily due to the timing of intercompany receipts, miscellaneous and freight revenue.
Capital and Other Reimbursements	(\$2.512)	(13.1)	Timing of activity and reimbursement for capital and other reimbursements.	\$2.974	2.2%	Timing of activity and reimbursement for capital and other reimbursements.
<b>Expenditures</b>						
<b>Labor:</b>						
Payroll	\$2.369	4.9	Primarily vacant positions, lower rates, retiree payments and work rule payments.	\$3.887	1.2%	Primarily due to lower retiree payments, lower rates, project activity, vacant positions, and lower work rule payments, partially offset by higher differential payments.
Overtime	(\$0.726)	(8.2)	Primarily higher vacancy/absentee coverage, relief day overtime, rates, and project overtime, partially offset by lower maintenance overtime.	(\$3.226)	-5.5%	Primarily higher vacancy/absentee coverage, project overtime, rates, and relief day overtime, partially offset by lower maintenance overtime.
Health and Welfare	(\$0.173)	(2.1)	Primarily due to timing of payments.	(\$0.418)	-0.6%	Primarily due to timing of payments.
OPEB Current Payment	\$0.131	2.7	Primarily due to timing of payments.	\$1.228	3.2%	Primarily due to the timing of payments and fewer retirees/beneficiaries.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**EXPLANATION OF VARIANCES BETWEEN JULY FORECAST AND ACTUAL CASH BASIS**

**Table 5**

Generic Revenue or Expense Category	August 2012			Year-to-Date as of August 31, 2012		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Fringe Benefits	\$2.166	17.9	Primarily lower FELA indemnity and Railroad Retirement Tax payments, partially offset by the timing of safety shoe and meal payments.	\$8.126	9.8%	Primarily lower FELA indemnity and Railroad Retirement payments, and the timing of Railroad Unemployment insurance payments, partially offset by the timing of safety shoe and meal payments.
Non-Labor:						
Electric Power	(\$0.610)	(5.6)	Primarily due to the timing of payments and higher consumption, partially offset by lower rates.	\$10.076	15.2%	Primarily due to the timing of payments, lower rates and lower consumption.
Fuel	\$0.654	22.2%	Timing of payments and lower consumption, partially offset by higher rates.	\$2.491	12.2%	Timing of payments, lower consumption and lower rates.
Insurance	\$1.346	43.5	Timing of payments.	\$7.833	38.5%	Timing of payments.
Claims	(\$0.602)	*	Timing of payment for claims.	(\$1.751)	-69.1%	Timing of payment for claims.
Maintenance and Other Operating Contracts	\$2.703	38.9	Timing of payments.	\$12.045	23.6%	Timing of payments.
Professional Service Contracts	\$2.742	74.6	Timing of and payment for consulting and MTA Chargeback services.	\$7.684	37.6%	Timing of and payment for consulting services.
Materials and Supplies	\$3.443	28.8	Primarily the timing of program, production plan, and operating funded capital material and supplies.	\$5.909	6.4%	Primarily the timing of program, production plan, and operating funded capital material and supplies.
Other Business Expenses	\$0.922	54.7%	Primarily due to the timing of payments and lower debit/credit card fee payments.	\$3.928	39.8%	Primarily due to the timing of payments and lower debit/credit card fee payments.
Other Expenditure Adjustments	\$0.165	7.2%	Lower Metrocard/AirTrain pass through payments.	\$1.045	11.8%	Lower Metrocard/AirTrain pass through payments.

Table 6

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
CASH CONVERSION (CASH FLOW ADJUSTMENTS)**

**August 2012**

(\$ in millions)

	Month				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
<b>Receipts</b>								
Farebox Revenue	\$2.424	\$4.479	\$2.055	84.8	\$19.433	\$19.370	(\$0.063)	(0.3)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	0.893	0.470	(0.423)	(47.4)	5.656	2.254	(3.402)	(60.1)
Capital & Other Reimbursements	1.734	1.701	(0.033)	(1.9)	(5.595)	3.584	9.178	*
<b>Total Receipts</b>	<b>\$5.051</b>	<b>\$6.650</b>	<b>\$1.599</b>	<b>31.7</b>	<b>\$19.494</b>	<b>\$25.208</b>	<b>\$5.714</b>	<b>29.3</b>
<b>Expenditures</b>								
<i>Labor:</i>								
Payroll	(\$4.122)	(\$2.865)	\$1.257	30.5	\$2.297	\$0.365	(\$1.932)	(84.1)
Overtime	(1.735)	(1.866)	(0.131)	(7.6)	(1.151)	(0.763)	0.388	33.7
Health and Welfare	0.000	0.033	0.033	-	0.001	(0.552)	(0.553)	*
OPEB Current Payment	0.000	0.004	0.004	-	(0.002)	0.055	0.057	*
Pensions	2.932	6.626	3.694	*	(11.728)	6.706	18.434	*
Other Fringe Benefits	(1.717)	(0.075)	1.642	95.7	0.911	5.750	4.839	*
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	100.0
<b>Total Labor Expenditures</b>	<b>(\$4.642)</b>	<b>\$1.857</b>	<b>\$6.499</b>	<b>*</b>	<b>(\$9.672)</b>	<b>\$11.561</b>	<b>\$21.233</b>	<b>*</b>
<i>Non-Labor:</i>								
Electric Power	(\$2.075)	(\$2.955)	(\$0.880)	(42.4)	(\$0.650)	\$2.004	\$2.654	*
Fuel	(0.447)	0.141	0.588	*	(1.852)	(0.171)	1.681	90.8
Insurance	(1.385)	(0.147)	1.238	89.4	(6.890)	0.506	7.396	*
Claims	0.333	(0.382)	(0.715)	*	(0.534)	(2.380)	(1.846)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(0.871)	1.761	2.632	*	(8.573)	1.107	9.680	*
Professional Service Contracts	(0.248)	1.918	2.166	*	1.769	3.108	1.340	75.7
Materials & Supplies	0.819	1.328	0.509	62.2	(1.538)	(13.467)	(11.929)	*
Other Business Expenses	(0.151)	0.214	0.365	*	0.333	2.942	2.609	*
<b>Total Non-Labor Expenditures</b>	<b>(\$4.025)</b>	<b>\$1.877</b>	<b>\$5.902</b>	<b>*</b>	<b>(\$17.936)</b>	<b>(\$6.351)</b>	<b>\$11.585</b>	<b>64.6</b>
<i>Other Expenditure Adjustments:</i>								
Other	(2.392)	(2.227)	0.165	6.9	(18.432)	(17.387)	1.045	5.7
<b>Total Other Expenditure Adjustments</b>	<b>(\$2.392)</b>	<b>(\$2.227)</b>	<b>\$0.165</b>	<b>6.9</b>	<b>(\$18.432)</b>	<b>(\$17.387)</b>	<b>\$1.045</b>	<b>5.7</b>
<b>Total Expenditures before Depreciation</b>	<b>(\$11.059)</b>	<b>\$1.506</b>	<b>\$12.565</b>	<b>*</b>	<b>(\$46.040)</b>	<b>(\$12.177)</b>	<b>\$33.863</b>	<b>73.6</b>
Depreciation Adjustment	27.077	26.004	(1.073)	(4.0)	208.834	213.431	4.597	2.2
Other Post Employment Benefits	6.555	6.550	(0.005)	(0.1)	51.032	53.062	2.030	4.0
Environmental Remediation	0.167	0.167	0.000	0.1	1.334	1.333	(0.001)	(0.0)
<b>Total Expenditures</b>	<b>\$22.739</b>	<b>\$34.226</b>	<b>\$11.487</b>	<b>50.5</b>	<b>\$215.160</b>	<b>\$256.649</b>	<b>\$40.489</b>	<b>18.8</b>
Cash Timing and Availability Adjustment	0.000	0.232	0.232	-	0.000	(0.489)	(0.489)	-
<b>Total Cash Conversion Adjustments</b>	<b>\$27.790</b>	<b>\$41.108</b>	<b>\$13.318</b>	<b>47.9</b>	<b>\$234.654</b>	<b>\$280.368</b>	<b>\$45.714</b>	<b>19.5</b>

**MTA LONG ISLAND RAIL ROAD**  
**2012 July Financial Plan**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	August 2012						August Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
<b>NON-REIMBURSABLE OVERTIME</b>												
Scheduled Service <sup>1</sup>	14,224	\$0.7	16,120	\$0.8	(1,896)	(\$0.1)	221,616	\$11.2	228,030	\$11.5	(6,414)	(\$0.4)
					-13.3%	-12.8%					-2.9%	-3.0%
Unscheduled Service	9,524	\$0.5	9,642	\$0.5	(118)	(\$0.0)	70,888	\$3.7	72,049	\$3.7	(1,161)	(\$0.0)
					-1.2%	-1.5%					-1.6%	-1.0%
Programmatic/Routine Maintenance	43,546	\$2.0	35,562	\$1.7	7,984	\$0.3	328,294	\$15.2	304,226	\$14.2	24,068	\$0.9
					18.3%	16.8%					7.3%	6.5%
Unscheduled Maintenance	521	\$0.0	509	\$0.0	12	\$0.0	4,336	\$0.2	4,176	\$0.2	160	\$0.0
					2.2%	2.2%					3.7%	2.9%
Vacancy/Absentee Coverage	58,461	\$2.8	69,612	\$3.3	(11,152)	(\$0.5)	379,371	\$18.2	426,831	\$20.4	(47,461)	(\$2.2)
					-19.1%	-19.0%					-12.5%	-10.7%
Weather Emergencies	1,737	\$0.1	295	\$0.0	1,442	\$0.1	27,728	\$1.3	22,995	\$1.0	4,733	\$0.3
					83.0%	85.1%					17.1%	26.1%
Safety/Security/Law Enforcement <sup>2</sup>												
Other <sup>3</sup>	1,462	\$0.1	1,419	\$0.3	43	(\$0.2)	11,414	\$1.0	10,718	\$2.0	696	(\$1.1)
					2.9%	*					6.1%	-52.3%
Subtotal	129,475	\$6.2	133,159	\$6.7	(3,685)	(\$0.5)	1,043,648	\$50.8	1,069,025	\$53.2	(25,378)	(\$2.4)
					-2.8%	-7.5%					-2.4%	-4.6%
<b>REIMBURSABLE OVERTIME</b>	17,457	\$0.9	20,112	\$1.0	(2,655)	(0.1)	142,467	\$7.2	160,835	\$8.4	(18,368)	(\$1.2)
					-15.2%	-14.9%					-12.9%	-14.0%
<b>TOTAL OVERTIME</b>	<b>146,932</b>	<b>\$7.1</b>	<b>153,271</b>	<b>\$7.7</b>	<b>(6,340)</b>	<b>(\$0.6)</b>	<b>1,186,115</b>	<b>\$58.0</b>	<b>1,229,861</b>	<b>\$61.6</b>	<b>(43,746)</b>	<b>(\$3.6)</b>
					-4.3%	-8.4%					-3.7%	-5.9%

<sup>1</sup> Includes Service Delay, Tour Length and Holiday overtime.

<sup>2</sup> Not Applicable

<sup>3</sup> Reflects overtime for customer service, 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**  
**2012 July Financial Plan**  
**Non-Reimbursable/Reimbursable Overtime**  
(\$ in millions)

	Monthly			Year-to-Date		
	Var. - Fav./Unfav)		Explanations	Var. - Fav./Unfav)		Explanations
	Hours	\$		Hours	\$	
<b>NON-REIMBURSABLE OVERTIME</b>						
<u>Scheduled Service</u>	(1,896)	(0.1)	Due to overruns in Crewbook overtime	(6,414)	(0.4)	Due to overruns in Crewbook overtime
	-13.3%	-12.8%		-2.9%	-3.0%	
<u>Unscheduled Service</u>	(118)	(0.0)		(1,161)	(0.0)	
	-1.2%	-1.5%		-1.6%	-1.0%	
<u>Programmatic/Routine Maintenance</u>	7,984	0.3	Primarily due to Maintenance of Equipment aggressive management oversight.	24,068	0.9	Primarily due to Maintenance of Equipment aggressive management oversight.
	18.3%	16.8%		7.3%	6.5%	
<u>Unscheduled Maintenance</u>	12	0.0		160	0.0	
	2.2%	2.2%		3.7%	2.9%	
<u>Vacancy/Absentee Coverage</u>	(11,152)	(0.5)	Primarily vacant craft and foreman positions in Maintenance of Equipment Department and lower availability in Train Operations and Customer Service.	(47,461)	(2.2)	Due to craft and foreman position vacancies in Maintenance of Equipment Department . Hiring plan in place to fill by first-quarter 2013. Lower availability in Train Operations (train and engine) and Customer Service.
	-19.1%	-19.0%		-12.5%	-10.7%	
<u>Weather Emergencies</u>	1,442	0.1		4,733	0.3	
	83.0%	85.1%		17.1%	26.1%	
<u>Safety/Security/Law Enforcement</u>						
<u>Other</u>	43	(0.2)		696	(1.1)	
	2.9%	*		6.1%	-52.3%	
<b>Subtotal</b>	<b>(3,685)</b>	<b>(\$0.5)</b>		<b>(25,378)</b>	<b>(\$2.4)</b>	
	-2.8%	-7.5%		-2.4%	-4.6%	
<b>REIMBURSABLE OVERTIME</b>	(2,655)	(0.1)	Over-run due to PNTC-Annual Track Program resulting from latest project schedule requirements.	(18,368)	(1.2)	Over-run due to PNTC-Annual Track Program resulting from latest project schedule requirements.
	-15.2%	-14.9%		-12.9%	-14.0%	
<b>TOTAL OVERTIME</b>	<b>(6,340)</b>	<b>(\$0.6)</b>		<b>(43,746)</b>	<b>(\$3.6)</b>	
	-4.3%	-8.4%		-3.7%	-5.9%	
* Exceeds 100%						

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METROPOLITAN TRANSPORTATION AUTHORITY - LONG ISLAND RAIL ROAD  
2012 Overtime Reporting  
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 LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and DEPARTMENT**  
**NON-REIMBURSABLE and REIMBURSABLE**  
**END-of-MONTH AUGUST 2012**

	Forecast	Actual	Favorable/ (Unfavorable) Variance
<b>Administration</b>			
Executive VP	3	4	(1)
Labor Relations	11	11	0
Procurement & Logistics (excl. Stores)	86	82	4
Human Resources	31	29	2
Sr VP Administration	2	2	0
Strategic Investments	28	27	1
President	4	4	0
VP & CFO/Pension	8	8	0
Information Technology	163	157	6
Controller	41	39	2
Management & Budget	18	17	1
Process Re-Engineering	7	6	1
VP - East Side Access & Special Projects	20	23	(3)
Market Dev. & Public Affairs	59	56	3
Gen. Counsel & Secretary	30	31	(1)
Diversity Management	1	1	0
System Safety/Training	72	70	2
Security	6	6	0
Sr VP Operations & Service Planning	22	19	3
<b>Total Administration</b>	<b>612</b>	<b>592</b>	<b>20</b>
<b>Operations</b>			
Train Operations	1,871	1,847	24
Customer Services	302	285	17
<b>Total Operations</b>	<b>2,173</b>	<b>2,132</b>	<b>41</b>
<b>Maintenance</b>			
Engineering	1,553	1,522	31
Equipment	1,980	1,948	32
Procurement (Stores)	93	93	-
<b>Total Maintenance</b>	<b>3,626</b>	<b>3,563</b>	<b>63</b>
<b>Engineering/Capital</b>			
Department of Project Management	128	112	16
<b>Total Engineering/Capital</b>	<b>128</b>	<b>112</b>	<b>16</b>
<b>Baseline Total Positions</b>	<b>6,539</b>	<b>6,399</b>	<b>140</b>
<b>Non-Reimbursable</b>	<b>5,769</b>	<b>5,757</b>	<b>12</b>
<b>Reimbursable</b>	<b>770</b>	<b>642</b>	<b>128</b>
<b>Total Full-Time</b>	<b>6,539</b>	<b>6,399</b>	<b>140</b>
<b>Total Full-Time-Equivalents</b>	<b>-</b>	<b>-</b>	<b>-</b>

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS  
NON-REIMBURSABLE and REIMBURSABLE  
END-OF-MONTH AUGUST 2012**

Explanation of Variances
<b>NON-REIMBURSABLE POSITIONS</b> - Favorable 12 positions due to hiring delays company-wide.
<b>REIMBURSABLE POSITIONS</b> - Favorable 128 positions primarily due to the timing of project activity.

**MTA LONG ISLAND RAIL ROAD**  
**JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST**  
**TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION**  
**END-of-MONTH AUGUST 2012**

	Forecast	Actual	Favorable/ (Unfavorable) Variance
<b>Administration</b>			
Managers/Supervisors	298	285	13
Professional, Technical, Clerical	314	307	7
Operational Hourlies			-
<b>Total Administration</b>	<b>612</b>	<b>592</b>	<b>20</b>
<b>Operations</b>			
Managers/Supervisors	320	295	25
Professional, Technical, Clerical	174	160	14
Operational Hourlies	1,679	1,677	2
<b>Total Operations</b>	<b>2,173</b>	<b>2,132</b>	<b>41</b>
<b>Maintenance</b>			
Managers/Supervisors	688	644	44
Professional, Technical, Clerical	272	254	18
Operational Hourlies	2,666	2,665	1
<b>Total Maintenance</b>	<b>3,626</b>	<b>3,563</b>	<b>63</b>
<b>Engineering/Capital</b>			
Managers/Supervisors	101	95	6
Professional, Technical, Clerical	27	17	10
Operational Hourlies	-	-	-
<b>Total Engineering/Capital</b>	<b>128</b>	<b>112</b>	<b>16</b>
<b>Total Positions</b>			
Managers/Supervisors	1,407	1,319	88
Professional, Technical, Clerical	787	738	49
Operational Hourlies	4,345	4,342	3
<b>Total Positions</b>	<b>6,539</b>	<b>6,399</b>	<b>140</b>

**MTA LONG ISLAND RAIL ROAD  
 JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
 RIDERSHIP  
 (In Thousands)**

RIDERSHIP	August 2012				Year-to-date August 2012			
	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance	%	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance	%
Monthly	3.927	3.916	(0.012)	-0.3%	31.162	31.136	(0.026)	-0.1%
Weekly	0.204	0.199	(0.005)	-2.4%	1.173	1.196	0.023	2.0%
Total Commutation	4.131	4.115	(0.017)	-0.4%	32.335	32.332	(0.002)	0.0%
One-Way Full Fare	0.728	0.816	0.088	12.0%	5.320	5.481	0.161	3.0%
One-Way Off-Peak	1.723	1.660	(0.063)	-3.7%	11.790	11.695	(0.095)	-0.8%
All Other	0.824	0.892	0.068	8.3%	6.325	6.437	0.112	1.8%
Total Non-Commutation	3.276	3.368	0.092	2.8%	23.435	23.613	0.178	0.8%
Total	7.407	7.483	0.076	1.0%	55.770	55.946	0.176	0.3%

**MTA LONG ISLAND RAIL ROAD  
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST  
MONTHLY PERFORMANCE INDICATORS  
August 2012**

		<u>MONTH</u>			<u>VARIANCE</u>	
		<u>2012</u>	<u>Mid - Year Forecast</u>	<u>2011</u>	<u>vs. Forecast</u>	<u>vs. 2011</u>
Farebox Operating Ratio						
	Standard <sup>(1)</sup>	47.5%	46.8%	52.6%	0.7%	-5.1%
	Adjusted <sup>(2)</sup>	59.0%	56.4%	65.2%	2.6%	-6.2%
Cost Per Passenger						
	Standard <sup>(1)</sup>	\$14.57	\$14.77	\$13.31	\$0.20	(\$1.26)
	Adjusted <sup>(2)</sup>	\$12.46	\$12.94	\$11.34	\$0.48	(\$1.12)
Passenger Revenue/Passenger <sup>(3)</sup>		\$6.92	\$6.91	\$7.00	\$0.01	(\$0.08)
		<u>YEAR-TO-DATE</u>			<u>VARIANCE</u>	
		<u>2012</u>	<u>Mid - Year Forecast</u>	<u>2011</u>	<u>vs. Forecast</u>	<u>vs. 2011</u>
Farebox Operating Ratio						
	Standard <sup>(1)</sup>	49.0%	47.4%	49.7%	1.6%	-0.7%
	Adjusted <sup>(2)</sup>	61.5%	58.4%	60.7%	3.1%	0.8%
Cost Per Passenger						
	Standard <sup>(1)</sup>	\$14.38	\$14.83	\$14.26	\$0.45	(\$0.12)
	Adjusted <sup>(2)</sup>	\$12.16	\$12.77	\$12.30	\$0.61	\$0.14
Passenger Revenue/Passenger <sup>(3)</sup>		\$7.04	\$7.03	\$7.09	\$0.01	(\$0.05)

(1) The 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 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 Bar Car Services

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**MTA LONG ISLAND RAIL ROAD**

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**MONTHLY RIDERSHIP REPORT**

**AUGUST 2012**

## **AUGUST 2012 RIDERSHIP AND REVENUE REPORT MTA LONG ISLAND RAIL ROAD EXECUTIVE SUMMARY**

### **August**

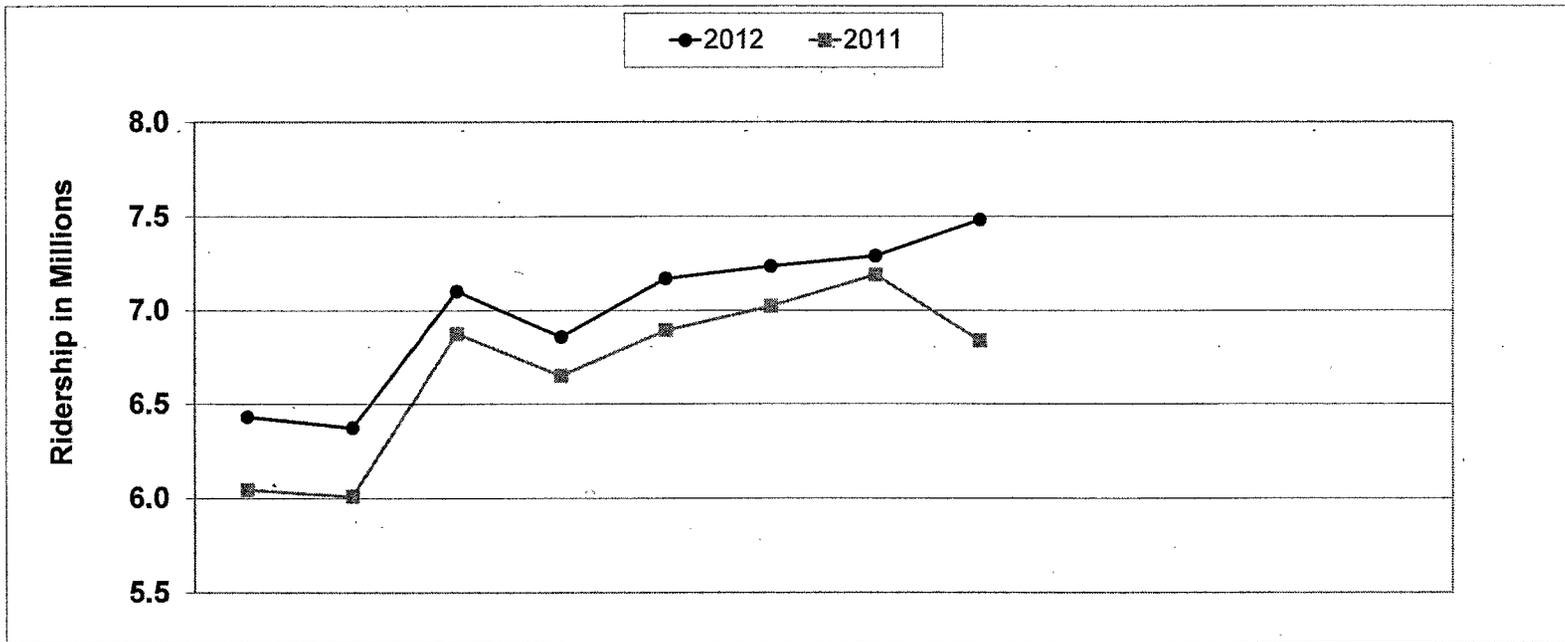
- August 2012 total ridership was 7.5 million vs. 6.8 million in August 2011, an increase of 645,748 passengers, or a 9.4% increase compared to August 2011.
- August 2012 commutation ridership was 4.1 million vs. 3.9 million in August 2011, an increase of 195,624 passengers, or an increase of 5.0%.
- August 2012 non-commutation ridership was 3.4 million vs. 2.9 million in August 2011, an increase of 450,124 passengers, or an increase of 15.4%.
- August 2012 revenue was \$51.6 million vs. \$47.7 million, an increase of \$3,920,164 or an increase of 8.2% compared to August 2011.

### **Year-To-Date**

- 2012 YTD total ridership was 55.9 million vs. 53.5 million in 2011, an increase of 2,424,880 or a 4.5% increase compared to 2011, and 0.3% above budget.
- 2012 YTD commutation ridership was 32.3 million vs. 31.4 million in 2011, an increase of 974,877 or a 3.1% increase compared to 2011, and 0.0% change to budget.
- 2012 YTD non-commutation ridership was 23.6 million vs. 22.2 million in 2011, an increase of 1,450,003 or an increase of 6.5% compared to 2011, and 0.8% above budget.
- 2012 YTD revenue was \$392.3 million vs. \$375.5 million in 2011, an increase of \$16,778,922 or an increase of 4.5% compared to 2011 and 0.4% above budget.

# AUGUST RIDERSHIP

- August's Total Ridership was 9.4% above '11 and 1.0% above budget.

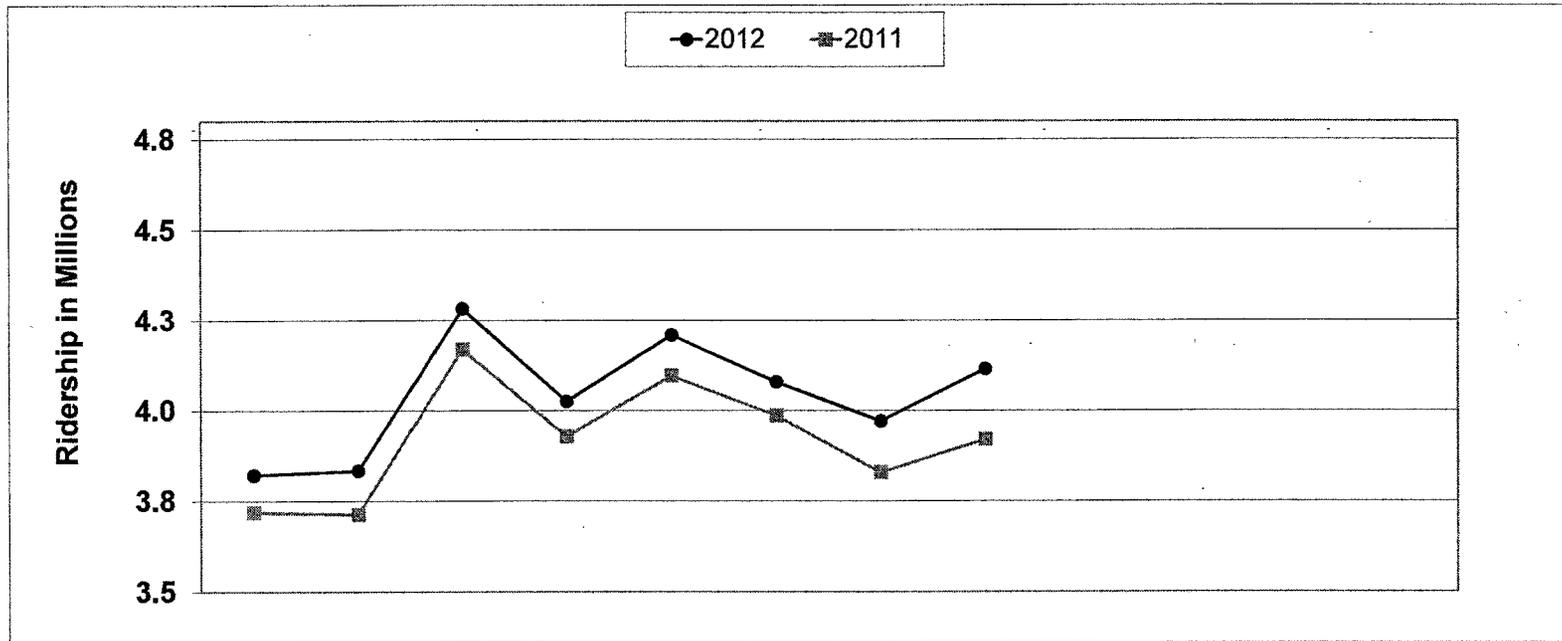


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	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	6.4	6.4	7.1	6.9	7.2	7.2	7.3	7.5					55.9
2011	6.0	6.0	6.9	6.7	6.9	7.0	7.2	6.8					53.5
PCT CHG.	6.4%	6.1%	3.3%	3.1%	4.0%	3.0%	1.4%	9.4%					4.5%

# AUGUST COMMUTATION RIDERSHIP

- August's Commutation Ridership was 5.0% above '11 and 0.4% below budget.

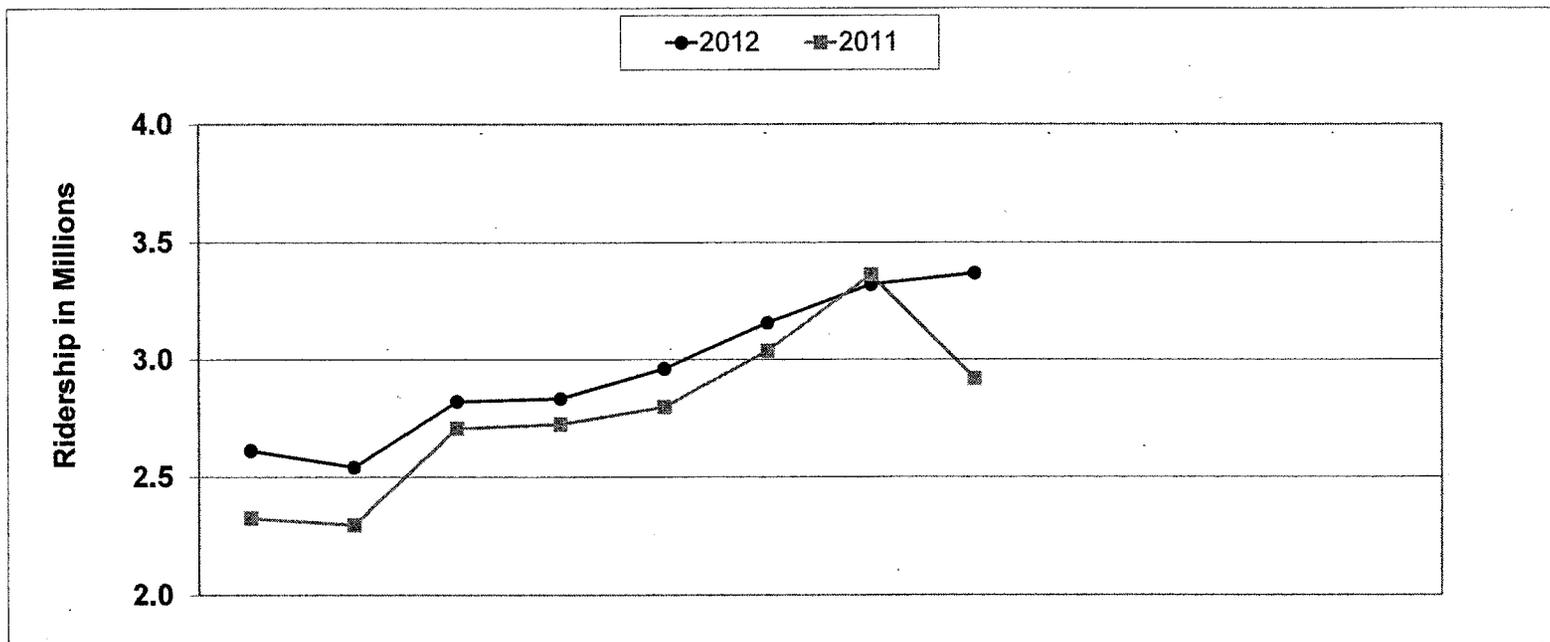


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	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2012</b>	3.8	3.8	4.3	4.0	4.2	4.1	4.0	4.1					32.3
<b>2011</b>	3.7	3.7	4.2	3.9	4.1	4.0	3.8	3.9					31.4
<b>PCT CHG.</b>	2.8%	3.2%	2.7%	2.5%	2.8%	2.3%	3.7%	5.0%					3.1%

# AUGUST NON-COMMUTATION RIDERSHIP

• August's Non-Commutation Ridership was 15.4% above '11 and 2.8% above budget.

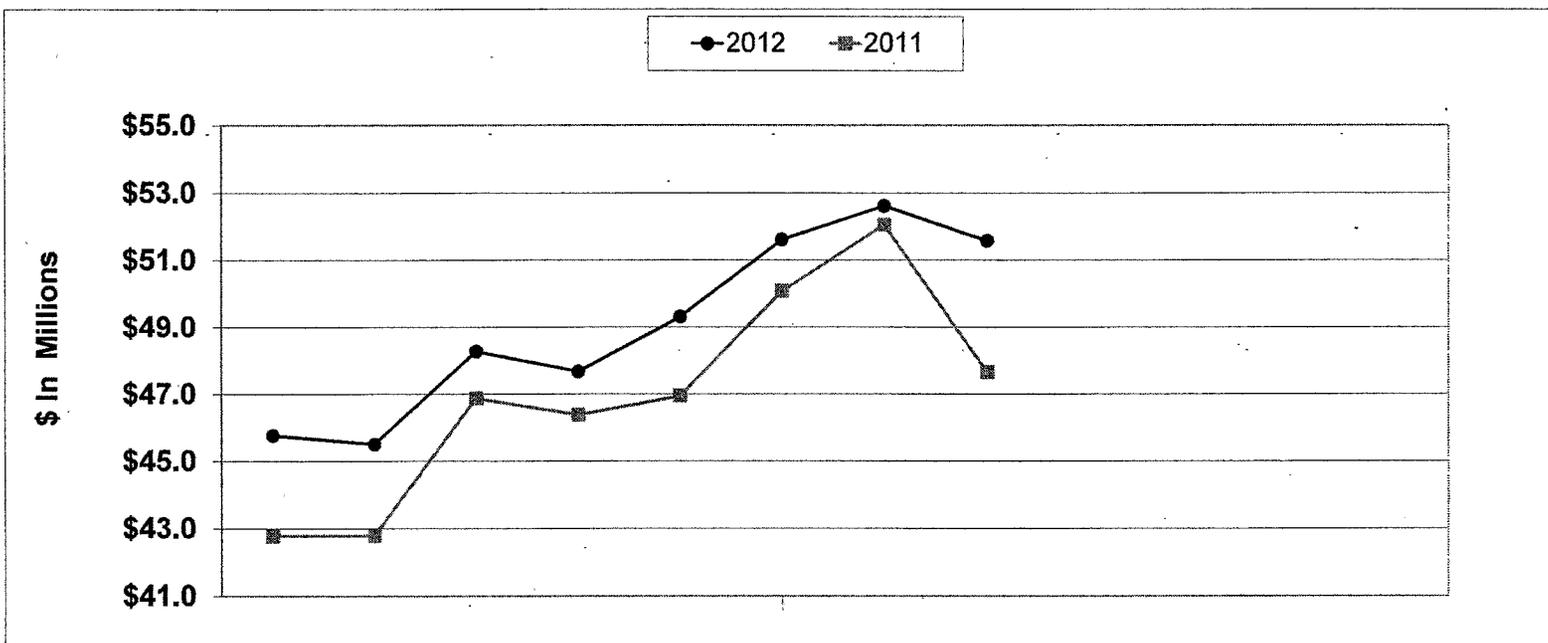


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	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
<b>2012</b>	2.6	2.5	2.8	2.8	3.0	3.2	3.3	3.4					23.6
<b>2011</b>	2.3	2.3	2.7	2.7	2.8	3.0	3.4	2.9					22.2
<b>PCT CHG.</b>	12.3%	10.6%	4.2%	4.0%	5.8%	4.0%	-1.3%	15.4%					6.5%

# AUGUST REVENUE

- August's Total Revenue was 8.2% above '11 and 1.2% above budget.



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	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	\$45.8	\$45.5	\$48.3	\$47.7	\$49.3	\$51.6	\$52.6	\$51.6					\$392.3
2011	\$42.8	\$42.8	\$46.9	\$46.4	\$46.9	\$50.1	\$52.1	\$47.7					\$375.5
PCT CHG.	7.0%	6.4%	3.0%	2.8%	5.0%	3.1%	1.1%	8.2%					4.5%

**MTA LONG ISLAND RAIL ROAD  
RIDERSHIP SUMMARY  
AUGUST 2012**

TICKET TYPE/SERVICE	AUGUST 2012	AUGUST 2011	CHANGE VS. 2011	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	4,114,767	3,919,143	195,624	5.0%
NON-COMMUTATION RIDERSHIP	3,368,165	2,918,041	450,124	15.4%
<b>TOTAL RIDERSHIP</b>	<b>7,482,932</b>	<b>6,837,184</b>	<b>645,748</b>	<b>9.4%</b>

**MTA LONG ISLAND RAIL ROAD  
RIDERSHIP SUMMARY  
2012 YEAR-TO-DATE**

TICKET TYPE/SERVICE	AUGUST 2012	AUGUST 2011	CHANGE VS. 2011	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	32,332,450	31,357,573	974,877	3.1%
NON-COMMUTATION RIDERSHIP	23,613,476	22,163,473	1,450,003	6.5%
<b>TOTAL RIDERSHIP</b>	<b>55,945,926</b>	<b>53,521,046</b>	<b>2,424,880</b>	<b>4.5%</b>

**MTA LONG ISLAND RAIL ROAD  
REVENUE SUMMARY  
AUGUST 2012**

REVENUE	AUGUST 2012	AUGUST 2011	CHANGE VS. 2011	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$24,151,621	\$23,733,177	\$418,444	1.8%
NON-COMMUTATION REVENUE	\$27,423,061	\$23,940,351	\$3,482,710	14.5%
<b>TOTAL REVENUE</b>	<b>\$51,574,682</b>	<b>\$47,673,528</b>	<b>\$3,901,154</b>	<b>8.2%</b>

**MTA LONG ISLAND RAIL ROAD  
REVENUE SUMMARY  
2012 YEAR-TO-DATE**

REVENUE	AUGUST 2012	AUGUST 2011	CHANGE VS. 2011	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$203,131,447	\$197,633,202	\$5,498,245	2.8%
NON-COMMUTATION REVENUE	\$189,179,642	\$177,917,974	\$11,261,668	6.3%
<b>TOTAL REVENUE</b>	<b>\$392,311,089</b>	<b>\$375,551,176</b>	<b>\$16,759,913</b>	<b>4.5%</b>

**LONG ISLAND RAIL ROAD  
CAPITAL PROGRAM HIGHLIGHTS & UPDATES  
SEPTEMBER 2012**

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**PROJECT UPDATES**

**EAST SIDE ACCESS - LIRR ACTIVITIES**

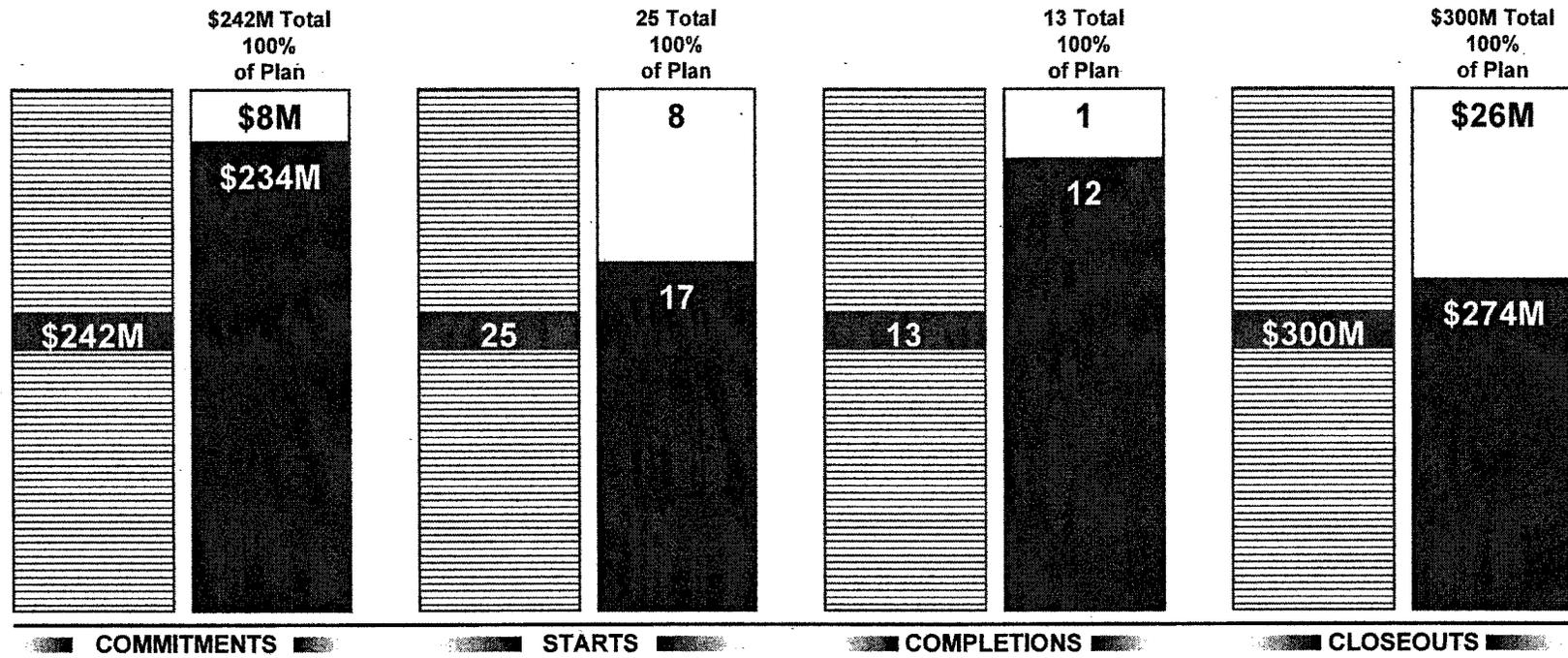
- The Harold Interlocking Central Instrument Locations (CIL) and Harold Tower Supervisory Control Systems (HTSCS) development continues with an updated delivery and cutover schedule to be an integral part of the new rebaselined ESA Integrated Project Schedule (IPS). Equipment installation for F Interlocking Harold Interlocking Alternate Control Room (FHACS) is continuing. Testing and cutover of FHACS is planned for completion by the end of 2012. Cutover of HTSC also planned for completion by the end of 2012. FHACS will be validated and cut over following Amtrak's Gate cutover which is currently projected for the end of October 2012 and prior to cutover of Amtrak's F1 and F2 CIH as a predecessor to cutting over the LIRR Point CIL that is currently in place.
  
- LIRR F/A work at Harold has expanded. Signal continued work at Point CIL, hand digging, trough, conduit and cable work along PW1, PW2 and ML1Harold at 39<sup>th</sup> Street. Signal continued various work activities in support of H1, H3, and H4 CIL locations. H4 CIL arrived and was set in place. LIRR F/A provided support, including work plan coordination and review, to MTACC Third Party and Amtrak installations. Track Department continued building track panels in advance of the WWP track reconstruction planned to commence in mid-November 2012 and complete by year's end. LIRR continued to support Amtrak on F2 CIH and F2E and performed Signal Power cable work at towers along the north side.

**MENTORING ACTIVITIES**

- Hillside Support Facility Platform Elevator Replacements: Installation of north elevator is complete.
- Richmond Hill Sheridan Shop Roof Replacement: Contractor mobilized. Work planned to commence in Oct.
- Richmond Hill Storage Facility Fitout: Work continued.
- Massapequa Bridge Painting: Mobilization planned for Oct.
- HVAC Replacement West Side Yard: Submittals commenced.

# 2012 LIRR Capital Program Goals

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2012 PLAN



ACTUAL as of September 30, 2012



FORECAST as of December 31, 2012