



Metropolitan Transportation Authority

Meeting of Metro-North and Long Island Committees

November 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



MEETING AGENDA

METRO-NORTH/LONG ISLAND COMMITTEES

November 26, 2012 – 8:30 a.m.

347 Madison Avenue

Fifth Floor Board Room
New York, NY

AGENDA ITEMS

Page

PUBLIC COMMENTS PERIOD

APPROVAL OF MINUTES – NO OCT. MEETING, SEPT. MINUTES IN OCT. BOOK

2012 WORK PLAN 4

AGENCY PRESIDENTS'/ CHIEF'S REPORTS

LIRR Report (No material)	
MNR Report (No material)	
MTA Capital Construction Report	7
MTA Police Report	12

AGENCY INFORMATION ITEMS

- | | |
|---|----|
| 1. LIRR INFORMATION ITEMS | 19 |
| • 2013 Preliminary Operating Budget (Materials previously distributed) | |
| • December Track Work Program | 20 |
| 2. MNR INFORMATION ITEMS | |
| • 2013 Preliminary Operating Budget (Materials previously distributed) | |
| 3. MNR ACTION ITEMS (Materials in October 2012 Committee Book, page 42) | |
| • NYSDOT Grant for Connecting Services | |
| • Public Hearing for Setting West Haven Station Fares | |

PROCUREMENTS

- | | |
|------------------------|----|
| | 21 |
| 1. LIRR Procurements | |
| • Non-Competitive | 26 |
| • Competitive | 33 |
| • Ratifications - none | |
| 2. MNR Procurements | |
| • Non-Competitive | 28 |
| • Competitive | 42 |
| • Ratifications - none | |

- | | |
|--------------------------|----|
| 3. MTA CC Procurements | |
| • Non-Competitive - none | 58 |
| • Competitive | 63 |
| • Ratifications | |

AGENCY REPORTS ON OPERATIONS, FINANCE, RIDERSHIP AND CAPITAL PROGRAM

- | | |
|-------------------------|-----|
| 1. LIRR | |
| • Operations | 67 |
| • Finance and Ridership | 79 |
| • Capital Program | 106 |
| 2. MNR | |
| • Operations | 109 |
| • Finance and Ridership | 119 |
| • Capital Program | 150 |

Date of next meeting: **Monday, December 17, 2012 at 8:30 AM**

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

I. RECURRING AGENDA ITEMS

Responsibility

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

Committee Chairs & Members
 Committee Chairs & Members
 Presidents/Senior Staffs

II. SPECIFIC AGENDA ITEMS

Responsibility

November 2012

Annual Committee Charter Review
 Holiday Schedule

Committee Chairs & Members
 Service/Operations Planning

December 2012

2013 Final Proposed Budget
 2013 Proposed Committee Work Plan
 Diversity/EEO Report – Quarter 2012
 Elevator & Escalator Service Report

Finance
 Committee Chairs & Members
 Administration/Diversity
 Operations

Metro-North/Long Island Rail Road Committee Work Plan

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

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

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.

Diversity/EEO Report – 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 2nd and 4th quarters, the report will include additional information specifically on the efforts the agency has undertaken to address the underutilization of minorities and women.

Elevator & Escalator Service Report

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

November 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	587,847,356
Construction	6,442,835,777	6,442,835,777	6,442,835,777	2,919,749,312
Project Management	762,816,530	762,816,530	762,816,530	456,923,371
Real Estate	166,318,314	166,318,314	166,318,314	100,766,730
Rolling Stock*	202,000,000	202,000,000	202,000,000	0
Total Project Cost	\$ 8,245,000,000	\$ 8,245,000,000	\$ 8,245,000,000	\$ 4,065,286,769

* 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

- East Side Access work has resumed but productivity in Harold is being impacted by ongoing repairs to critical LIRR/Amtrak infrastructure that was damaged by hurricane Sandy.
- CM009/019 reached an important project milestone with the completion of the wellways and shafts in the GCT Concourse. These structures are now ready for the escalators, elevators, systems and architectural finishes to be installed when the contracts are turned-over to CM014B in mid-2013. These areas will also be used for staging of future cavern contracts.
- Manhattan Vent Plant Facilities: Steel erection and concrete work continues at the 50th Street Vent Plant Facility (CM013). The facility will be ready for turn-over to the follow-on contractor by the end of the year. Steel erection for the 44th Street Vent Plant Facility (CM004) has been pushed-out to December. Early community outreach meetings have been scheduled for the 55th Street Vent Plant Facility (CM013A), including a brief presentation for Community Board 5, as the Contractor continues with site preparation.

- All work on the Queens Bored Tunnels & Structures (CQ031) remains targeted for completion by the end of the year. Contractor is presently demobilizing all equipment from the open cut for turn-over to the follow-on Plaza Substation & Queens Structures (CQ032) contractor. In November, the CQ032 contractor assumed control of the center section of the open cut to perform concrete and steel work for the invert slab.
- The excavation at the Northern Boulevard Crossing (CQ039) was completed. The contractor is transitioning into concrete operations beginning with waterproofing preparation and installation.
- The majority of the catenary structure work is targeted for completion by the end of the year for the Harold Construction (CH053/054A). Contractor started to pull cable for the 12kV electrical ductback from the Amtrak Frequency Converter Station, while contractor negotiations wrapped-up for the remaining 12kV ductbank work this month.
- Team pricing and cost saving measures are under review for the first System Contract (CS179). Bids were received for the Manhattan Structures Contract (CM012) at the end of October and the proposals are under review. Procurement continues for the signal equipment (VS086) contract.

East Side Access Active and Future Construction Contracts

Report to the Railroad Committee - November 2012

Expenditures thru October 2012; \$s in million

	Budget	Expenditures
Construction	\$ 6,442.8	\$ 2,919.7
Design	\$ 671.0	\$ 587.8
Project Management	\$ 762.8	\$ 456.9
Real Estate	\$ 166.3	\$ 100.8
Rolling Stock [†]	\$ 202.0	\$ -
Total	\$ 8,245.0	\$ 4,065.3

[†] 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**
Manhattan Construction								
CM009: Manhattan Tunnel Excavation & Lining <i>Dragados Judlau, JV</i>	\$413.4	\$411.8	\$1.6	\$371.0	Jul-2006	Jul-2006	Oct-2012	May-2013
CM019: GCT Concourse Civil & Structural <i>Dragados Judlau, JV</i>	\$793.9	\$772.3	\$21.5	\$673.7	Apr-2008	Apr-2008	Oct-2012	May-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	\$5.4	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
Queens Construction								
CQ031: Queens Bored Tunnel & Structures <i>Granite-Traylor-Frontier, JV</i>	\$776.7	\$767.6	\$9.1	\$659.6	Sep-2009	Sep-2009	Sep-2012	Dec-2012
<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	\$62.2	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	Apr-2015
Harold Construction								
CH053: Harold Structures (Part 1) <i>Perini Corporation</i>	\$267.8	\$198.6	\$69.2	\$127.2	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	Feb-2017
Systems Contracts								
Systems Package 1: Tunnel Ventilation, Facility Power, Communications, Controls, Security, Fire Detection	<i>In Procurement</i>				Sep-2012	Dec-2012	N/A	May-2018 ¹⁾
Systems Package 2: Trackwork and Traction Power	<i>In Procurement</i>				Apr-2013	May-2013	N/A	May-2018 ¹⁾
Systems Package 3: Signal Equipment	<i>In Procurement</i>				Mar-2013	Mar-2013	N/A	May-2018 ¹⁾

*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.

Potential Impacts from Sandy: None of ESA's construction sites experienced any physical damage as a result of Sandy. Work has resumed but productivity in Harold is being impacted by ongoing repairs to critical LIRR/Amtrak infrastructure that was damaged by Sandy

East Side Access Status

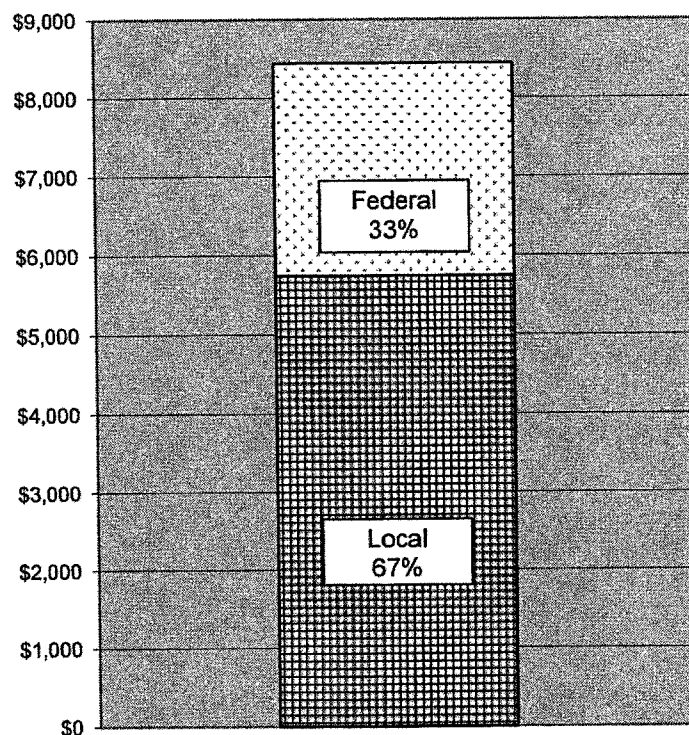
Report to the Railroad Committee - November 2012

(data thru October 2012)

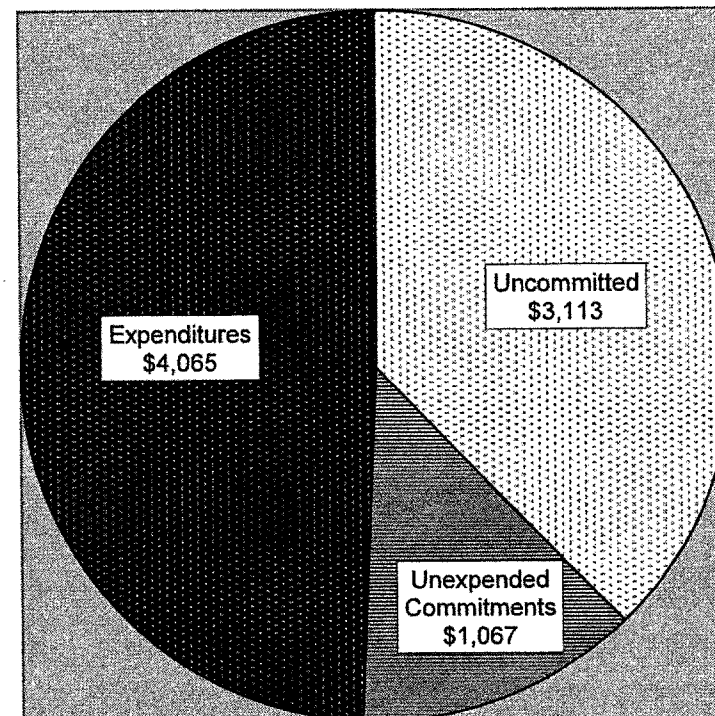
MTA Capital Program \$ in Millions	Budgeted	Funding Sources			Status of Commitments		
		Local Funding	Federal Funding*	Federal Received	Committed	Uncommitted	Expended
1995-1999	\$ 158	\$ 94	\$ 64	\$ 64	\$ 158	\$ -	\$ 157
2000-2004	1,534	747	785	785	1,498	35	1,415
2005-2009	2,683	839	1,845	1,176	2,646	37	2,198
2010-2014	3,154	3,346	5	-	830	2,323	295
2015-2019	717	717	-	-	-	717	-
Total	\$ 8,245	\$ 5,743	\$ 2,699	\$ 2,025	\$ 5,132	\$ 3,113	\$ 4,065

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

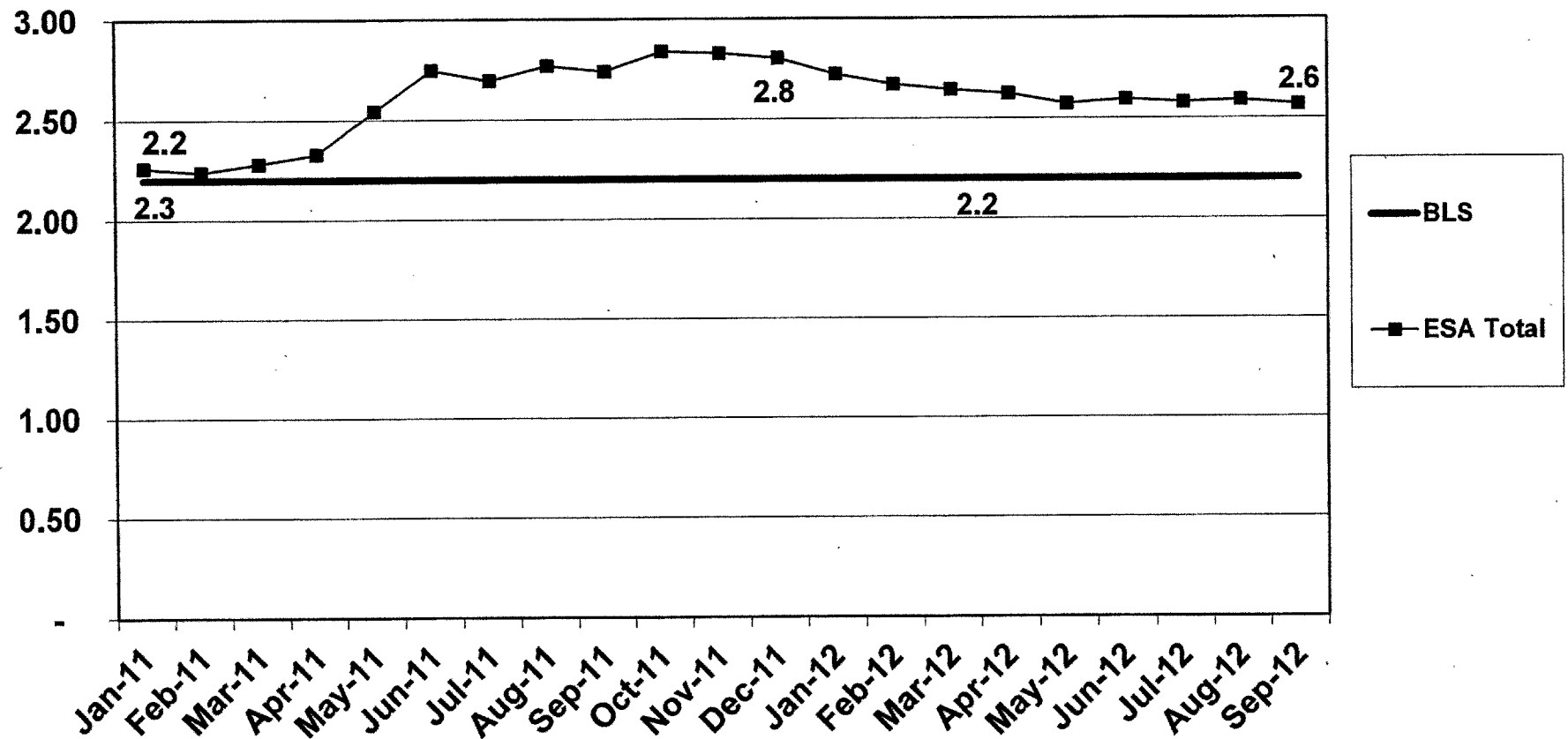
Project Budget: \$8.24 Billion



Commitments and Expenditures (\$ in Millions)

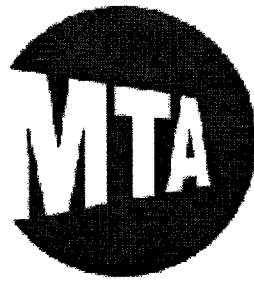


Lost Time Injury Rate East Side Access Project, 2011-2012 vs. US BLS National Standard for Heavy & Civil Construction



Note:

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



Police Report November 2012



METROPOLITAN TRANSPORTATION AUTHORITY

Police Department

System Wide

October 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	1	1	0	0%
Robbery	3	11	-8	-73%
Felony Assault	7	6	1	17%
Burglary	0	2	-2	-100%
Grand Larceny	23	19	4	21%
GLA	1	1	0	0%
Total Major Felonies	35	40	-5	-13%

Year to Date 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	1	2	-1	-50%
Robbery	48	60	-12	-20%
Felony Assault	31	40	-9	-23%
Burglary	13	7	6	86%
Grand Larceny	196	195	1	1%
GLA	4	8	-4	-50%
Total Major Felonies	293	312	-19	-6%



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Long Island Rail Road

October 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	1	-1	-100%
Robbery	1	4	-3	-75%
Felony Assault	6	4	2	50%
Burglary	0	1	-1	-100%
Grand Larceny	9	13	-4	-31%
GLA	0	0	0	0%
Total Major Felonies	16	23	-7	-30%

Year to Date 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	2	-2	-100%
Robbery	18	35	-17	-49%
Felony Assault	22	30	-8	-27%
Burglary	1	3	-2	-67%
Grand Larceny	102	95	7	7%
GLA	0	1	-1	-100%
Total Major Felonies	143	166	-23	-14%



METROPOLITAN TRANSPORTATION AUTHORITY

Police Department Metro North Railroad

October 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	1	5	-4	-80%
Felony Assault	1	0	1	0%
Burglary	0	1	-1	-100%
Grand Larceny	12	5	7	140%
GLA	1	1	0	0%
Total Major Felonies	15	12	3	25%

Year to Date 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	18	14	4	29%
Felony Assault	7	8	-1	-13%
Burglary	12	3	9	300%
Grand Larceny	82	96	-14	-15%
GLA	4	7	-3	-43%
Total Major Felonies	123	128	-5	-4%

FIGURES ARE PRELIMINARY AND SUBJECT TO FURTHER ANALYSIS AND REVISION



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Staten Island Rapid Transit

October 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	1	0	1	0%
Robbery	1	2	-1	-50%
Felony Assault	0	2	-2	-100%
Burglary	0	0	0	0%
Grand Larceny	2	1	1	100%
GLA	0	0	0	0%
Total Major Felonies	4	5	-1	-20%

Year to Date 2012 vs. 2011

	2012	2011	Diff	% Change
Murder	0	0	0	0%
Rape	1	0	1	0%
Robbery	12	11	1	9%
Felony Assault	2	2	0	0%
Burglary	0	1	-1	-100%
Grand Larceny	12	4	8	200%
GLA	0	0	0	0%
Total Major Felonies	27	18	9	50%

INDEX CRIME REPORT

Per Day Average

October 2012

	Systemwide	LIRR	MNRR	SIRT
Murder	0	0	0	0
Rape	1	0	0	1
Robbery	3	1	1	1
Fel. Assault	7	6	1	0
Burglary	0	0	0	0
Grand Larceny	23	9	12	2
GLA	1	0	1	0
Total	35	16	15	4
Crimes Per Day	1.13	0.52	0.48	0.13



NEW YORK CITY Police Department
Arrest Summary: Department Totals

6:30:17AM

1/1/2012 to 10/31/2012

Arrest Classification	Total Arrests
Rape	1
Robbery	42
Felony Assault	36
Burglary	11
Grand Larceny	52
Aggravated Harassment	4
Aggravated Unlicensed Operator	29
Assault-Misdemeanor	41
Breach of Peace	11
Child Endangerment	3
Criminal Contempt	2
Criminal Impersonation	6
Criminal Mischief	39
Criminal Possession Stolen Property	12
Criminal Tampering	2
Criminal Trespass	33
Disorderly Conduct	13
Drug Offenses	30
DUI Offenses	15
Falsely Reporting an Incident	8
Forgery	26
Fraud	6
Graffiti	6
Harassment	7
Menacing	10
NYC Admin Code	1
Obstruct Government	4
Petit Larceny	100
Public Lewdness	67
Reckless Endangerment	7
Resisting Arrest	58
Sex Offenses	16
Theft of Services	62
VTL Offenses	1
Warrant Arrest	44
Weapons Offenses	7
Arrest Totals	812



Long Island Rail Road

INFORMATION

ITEMS

Staff Summary

Subject DECEMBER TRACK WORK PROGRAM						Date NOVEMBER 26, 2012			
Department SR. VICE PRESIDENT – OPERATIONS						Vendor Name			
Department Head Name M. GELOMINO <i>Michael Gelormino</i>						Contract Number			
Department Head Signature <i>^</i>						Contract Manager Signature			
Project Manager Name									
Board Action						Internal Approval			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	LI COMM	11/26				4	President	1	Sr. VP Op. <i>M. Gelormino</i>
						3	Executive VP		
						2	VP Mktg & PA		

PURPOSE:

This is to inform the Metro North/Long Island Committee of the MTA Long Island Rail Road's plan to adjust the schedules to complete our Concrete Tie Replacement between Jamaica and Queens Village. This work was previously reported at the October meeting but had to be postponed due to the impacts of Hurricane Sandy.

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 three weekends, November 17-18, December 1-2 and December 8-9. 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.

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.

LONG ISLAND/METRO-NORTH


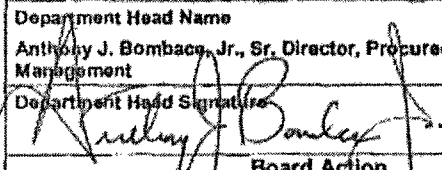

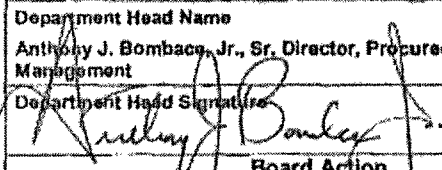


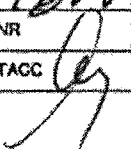
COMMITTEES

PROCUREMENTS

FOR

BOARD ACTION

November 28, 2012

Subject Request for Authorization to Award Various Procurements						Date November 28, 2012			
Department Procurement and Logistics - LIRR 						Department Law and Procurement - MTACC			
Department Head Name Dennis L. Mahon, Chief Procurement and Logistics Officer						Department Head Name Evan M. Eisland, Senior Vice President and General Counsel			
Department Head Signature 						Department Head Signature 			
Department Procurement and Material Management - MNR									
Department Head Name Anthony J. Bombace, Jr., Sr. Director, Procurement & Material Management									
Department Head Signature 									
Board Action						Internal Approvals			
Order	To	Date	Approval	Info	Other	Order	Approval	Order	Approval
1	LIRR/MNR Committee	11.26.12				X	President, LIRR		
2	MTA Board	11.28.12				X	President, MNR		
						X	President, MTACC		

PURPOSE:

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.

DISCUSSION:

LIRR proposes to award Non-Competitive procurements in the following categories:

	# of Actions	\$ Amount
<u>Schedules Requiring Two-Thirds Vote:</u>		
Schedule A: Non-Competitive Purchases and Public Work Contracts	1	\$193,800
<u>Schedules Requiring Majority Vote:</u>		
Schedule G: Miscellaneous Service Contracts	1	\$60,000
SUBTOTAL:	2	\$253,000

MNR proposes to award Non-Competitive procurements in the following categories:

	# of Actions	\$ Amount
<u>Schedules Requiring Two-Thirds Vote:</u>		
Schedule A: Non-Competitive Purchases and Public Work Contracts	2	\$3,612,600
SUBTOTAL:	2	\$3,612,600

MTACC proposes to award Non-Competitive procurements in the following categories: NONE

LIRR proposes to award Competitive procurements in the following categories:

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote:</u>		
Schedule B: Competitive Requests for Proposals	4	\$TBD
<u>Schedules Requiring Majority Vote:</u>		
Schedule F: Personal Service Contracts	2	\$330,388
Schedule G: Miscellaneous Service Contracts	1	\$92,070
SUBTOTAL:	7	\$422,458

MNR proposes to award Competitive procurements in the following categories:

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Two-Thirds Vote:</u>		
Schedule B: Competitive Requests for Proposals (Solicitation of Purch & Pub Wrk Cntrcts)	1	\$TBD
Schedule C: Competitive Requests for Proposals (Award of Purch & Pub Wrk Cntrcts)	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	2	\$486,686
SUBTOTAL:	15	\$38,193,250

MTACC proposes to award Competitive procurements in the following categories:

	<u># of Actions</u>	<u>\$ Amount</u>
<u>Schedules Requiring Majority Vote:</u>		
Schedule I: Modifications To Purchase and Public Work Contracts	4	\$12,674,862
SUBTOTAL:	4	\$12,674,862

LIRR proposes to award Ratifications in the following categories:

NONE

MNR 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>
<u>Schedules Requiring Majority Vote:</u>		
Schedule K: Ratification of Completed Procurement Action	3	\$7,181,895
SUBTOTAL:	3	\$7,181,895
TOTAL:	33	\$62,338,065

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.

NOVEMBER 2012

MTA LONG ISLAND RAIL ROAD

LIST OF NON-COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote

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

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

1. **New York State Industries** **\$193,800**
For the Disabled (NYSID) **Not-to-Exceed**
Non-Competitive (Preferred Source)
Contract No. 040000508

LIRR requests MTA Board approval to award a three-year contract, in a not-to-exceed amount of \$193,800, to the New York State Industries for the Disabled ("NYSID") to provide window, wall and floor cleaning services at Jamaica and Hempstead Station buildings, and Control Towers located throughout Brooklyn, Queens, Nassau and Suffolk Counties. This renewal contract is being awarded to NYSID in accordance with Section 162 of the New York State Finance Law, (State Finance Law), which states that preferred sources shall be granted the right to provide services to New York State Agencies in order to advance social and economic goals. Under the State Finance Law, a preferred source provider such as NYSID is expressly exempt from New York State Statutory competitive procurement requirements provided (i) it is capable of providing the service in the form, function and utility required by LIRR and (ii) the price it offers is as close to the prevailing market prices as is practicable, but in no event greater than 15% above the prevailing market price, as determined by the New York State Office of General Services (OGS). NYSID's corporate partner, Mayco Building Services performed these services satisfactorily during the previous two contracts and the LIRR determined that NYSID is able to comply with the specifications of the contract. In regard to pricing, NYSID's scheduled service rates are based on the specific parameters of each location. NYSID's latest proposal reflects an average 6.6% rate increase for Transportation Service locations and an average 67% decrease for locations servicing the Customer Service Department. NYSID's hourly labor rate of \$52.65 for year one, unscheduled, and as-needed services remains unchanged from the previous three-year contract. Rates for years two and year three are subject to annual adjustments in accordance with current NYS Prevailing Wage Schedule. OGS is currently reviewing the rates and is expected to issue a certification that the NYSID proposal is compliant with requirements of the NY State Finance Law. Funding will be provided through the 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 Competitive)

2. **Heidelberg USA, Inc.** **\$60,000**
Two-Year Contract **Not-to-Exceed**
Contract No: TBD

LIRR requests approval to award a sole source Miscellaneous Service renewal contract to Heidelberg USA, Inc. ("Heidelberg") for maintenance and repair of Heidelberg Print Shop equipment. The LIRR Print shop utilizes five different pieces of Heidelberg equipment. Heidelberg USA is the only authorized provider of parts and service for their equipment. This renewal contract will be for a twenty-four (24) month term, from December 1, 2012, through November 30, 2014. The Railroad explored opportunities to "piggy-back" existing contracts with other MTA agencies rather than solicit a renewal contract but they either didn't have a print shop,



or did not have Heidelberg equipment. The not-to-exceed contract value is based on Heidelberg's Published Rates, projected repair and maintenance hours and related parts. The bid price schedule is based on fixed hourly rates, and discounts off manufacturer's list pricing for parts. Heidelberg uses published, non-negotiable rates, the same rates offered to all NY State Agencies. Heidelberg's 2012 - 2014 labor rates remain unchanged from the 2010 - 2012 rates. Heidelberg's rates are therefore considered to be fair & reasonable. Funding for this contract is included in LIRR's operating budget.

NOVEMBER 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) | <u>Staff Summary Attached</u> |
| 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** **\$2,512,600 (not-to-exceed)** **Staff Summary Attached**
Additional Ticket Vending Machines for Metro-North and Long Island Rail Road

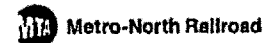
Approval is requested for a non-competitive procurement of Ticket Vending Machines from Scheidt & Bachmann GmbH (S&B) for Metro-North and Long Island Rail Road. S&B is the Original Equipment Manufacturer (OEM), designer and integrator of the Railroads' current equipment and software systems and is the 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 a base order of 28 ticket vending machines (20 MNR & 8 LIRR) with an option for up to 10 additional machines for possible replacement of machines that may have been damaged beyond repair during the recent storms of October/November. These machines have 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 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 \$2,512,600 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 \$2,512,600 is broken down as follows: \$1,338,800/MNR and \$1,173,800/LIRR. The cost of TVMs that may be purchased under the option will be at the negotiated unit price of \$61,252. 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

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

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

Discussion:

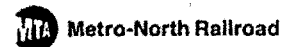
Approval is requested for a non-competitive, two-year purchase agreement with Brookville Equipment Corporation (BEC) for various Original Equipment Manufacturer (OEM) replacement parts for MNR's BL-6, BL-14 and BL-20 Locomotive Fleets. The original acquisition of these Locomotives was accomplished through 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. 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.

Schedule A: Non-Competitive Purchases and Public Work Contracts



Page 1 of 2

Item Number: A

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

Contract Number 9284	Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Total Amount: \$2,512,600 (not-to-exceed)	
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, Anthony J. Bombace, Jr	
Contract Manager: 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 a base order of 28 ticket vending machines (20 MNR & 8 LIRR) with an option for up to 10 additional machines for possible replacement of machines that may have been damaged beyond repair during the recent storms of October/November. These machines have 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 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 \$2,512,600 for the base order 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 \$2,512,600 is broken down as follows: \$1,338,800/MNR and \$1,173,800/LIRR. The cost of TVMs that may be purchased under the option will be at the negotiated unit price of \$61,252. 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.

NOVEMBER 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)

- | | | | |
|--|---------------------------------|-------|--------------------------------------|
| 3. | TBD
RFP
Contract No. TBD | \$TBD | <i><u>Staff Summary Attached</u></i> |
| <p>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.</p> | | | |
| 4. | TBD
RFP
Contract No. 6109 | \$TBD | <i><u>Staff Summary Attached</u></i> |
| <p>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.</p> | | | |
| 5. | TBD
RFP
Contract No. TBD | \$TBD | <i><u>Staff Summary Attached</u></i> |
| <p>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 thirteen (13) MNR escalators.</p> | | | |
| 6. | TBD
RFP
Contract No. TBD | \$TBD | <i><u>Staff Summary Attached</u></i> |
| <p>LIRR requests MTA Board approval 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 signal system for the Speonk to Montauk segment of LIRR's Montauk Branch.</p> | | | |

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)

7. **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 Services 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.

8. **Staples Marketing LLC** **\$300,000**
Two-Year Contract **Not-to-Exceed**
Contract No. 040000596

LIRR requests MTA Board approval to award a two-year Personal Services Contract in the not-to-exceed amount of \$300,000 with an option to renew for 2 additional years, to Staples Marketing LLC ("Staples") for development and implementation of a Marketing Campaign to increase public transportation usage in Nassau County. This contract is fully funded by a two-year Federal Congestion Mitigation and Air Quality Improvement (CMAQ) grant that has been awarded to MTA to invest in projects in Nassau County to reduce air pollutants from personal transportation related sources such as automobiles. In response to LIRR's RFP, which was advertised in the NYS Contract Reporter on July 23, 2012 and the NY Post on July 26, 2012, LIRR received one proposal from the incumbent Staples Marketing, LLC (\$300,000), and one "No Proposal" from Rivet Maskcom, where the consultant declined participation due to the large scope and magnitude of the project. Staples has been providing these services over the past two contracts to the satisfaction of the LIRR and is therefore deemed qualified. MTA Audit took no exceptions to the Staples cost proposal, which is commensurate with the LIRR's estimate. The Grant Agreement will fully fund the \$300,000 2-year contract total.

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)

9. **ARAMARK Uniform Services** **\$92,070.42**
 A division of ARAMARK Uniform **Not-to-Exceed**
 & 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



Long Island Rail Road

Page 1 of 2

Item Number: 3					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date					
Division & Division Head Name: Chief Engineer, Kevin Tomlinson					
Division Head Signature & Date <i>Kevin Tomlinson 10/11/12</i>					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee	10.29.12			
2	MTA Board	10.31.12			
Internal Approvals					
Order	Approver	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



Long Island Rail Road

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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



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Item Number: 4					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date					
Division & Division Head Name: Prog. Management, Richard Oakley					
Division Head Signature & Date <i>M. Oakley for R.O.</i>					
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>G.P.P.</i>	5	VP/General Counsel <i>[Signature]</i>		
3	Sr. VP/Operations <i>M.S.</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



Long Island Rail Road

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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.

Staff Summary



Long Island Rail Road

Page 1 of 1

Item Number: 5					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon, CPLG					
Division & Division Head Name: <i>James Compton</i> Customer Rev & Technology, James Compton, General Manager					
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>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 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.

Staff Summary



Long Island Rail Road

Page 1 of 1

Item Number: 6					
Dept & Dept Head Name: Procurement & Logistics, Dennis Mahon					
Department Head Signature & Date <i>[Signature]</i>					
Division & Division Head Name: Positive Train Control, Chris Calabrese					
Division Head Signature & Date					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	LI Committee				
2	MTA Board				
Internal Approvals					
Order	Approval	Order	Approval		
1	President <i>[Signature]</i>		VP, Chief Financial Officer <i>[Signature]</i>		
2	Executive VP <i>[Signature]</i>		VP, Gen'l Counsel & Sec'y <i>[Signature]</i>		
3	Sr. VP, Operations <i>[Signature]</i>				

SUMMARY INFORMATION	
Vendor Name TBD	Contract Number 6113
Description: ASC Signalization from Speonk to Montauk	
Total Amount: \$TBD	
Contract Term (including Options, if any): TBD	
Options(s) included in Total Amount: <input type="checkbox"/> Yes <input 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 type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

I. PURPOSE/RECOMMENDATION

LIRR 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 to design and furnish a signal system for the Speonk to Montauk segment of the LIRR Montauk Branch.

II. DISCUSSION

Work under this contract includes new pre-wired signal enclosures for the Automatic Speed Control (ASC) Signalization for Speonk to Montauk. Speonk to Montauk is approximately 45 miles of dark territory that is being upgraded to CAB Signals to support LIRR's planned PTC system. This new signal system will be controlled from Babylon Tower, and will have new interlockings at Hampton Bays and Southampton, new control points at Amagansett and Montauk, and 38 grade crossing huts, among other features.

The RFP process generally is used in design-furnish and design-build contracts because the Contract Specifications are not sufficiently complete to utilize a formal competitive bidding solicitation. With respect to this procurement, the RFP process also gives the LIRR the ability to evaluate terms other than price alone, such as technical approach, staff qualifications, and past performance. In this regard, each qualified firm that is capable of designing and furnishing the signal huts called for under this contract has a unique system architecture with advantages and disadvantages, which can be evaluated under the RFP process.

If the Board adopts this resolution declaring that competitive bidding is impractical, LIRR anticipates presenting a recommendation to the Board to award a contract during the 2nd quarter, 2013.

III. D/M/WBE INFORMATION

Goals for this contract are to be determined by the MTA Office of Civil Rights.

IV. IMPACT ON FUNDING

This contract will be funded through the Capital Budget.

V. ALTERNATIVES

The alternative is to use the Invitation for Bid process. However, this alternative prevents communication with the contractor until after award, and as a result the LIRR would lose the ability to negotiate improvements to the construction schedule and incorporate more efficient means and methods for project delivery.

NOVEMBER2012

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 56th Street to 99th 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) | <u>Staff Summary Attached</u> |
| 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 Staff Summary Attached
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.

15. **Jacobs Civil Consultants Inc.** **\$243,366** **Staff Summary Attached**
Engineering and Design Services for Fordham Station Capacity Improvements

Approval is requested to issue a supplemental agreement to Jacobs Civil Consultants Inc. (Jacobs) to provide additional engineering and design services for Fordham Station Capacity Improvements. The total not-to-exceed amount of the supplemental agreement is \$243,366 with a six month extension to the contract period of performance.

As a result of an earlier Harlem Line Capacity Improvement Study, MNR concluded that the existing outbound platform needed to be widened at Fordham Station to accommodate a significant increase in ridership in the reverse-peak commutation. The required improvements included the widening of the platform, new canopy with lighting, two passenger shelters, signage, painting, passenger amenities, tactile warning surface and other platform related upgrades. Through the use of the competitive RFP process, Metro-North awarded a contract in October 2010 to Jacobs Civil Consultants Inc. in the amount of \$704,520, for an original period of performance of twenty-four (24) months. The scope of services was to develop a package of detailed specifications and drawings for the outbound platform only. Additional inspections performed by MNR revealed that critical elements of the inbound platform also needed to be addressed.

At this time, MNR would like to provide inbound platform improvements to be consistent with the outbound improvements. The scope of improvements include new lighting, partial concrete platform repairs, new tactile surface, replacement of canopies, passenger amenities, signage, painting, existing stair rehabilitation and other related platform improvements. A supplemental agreement for this work was negotiated at the not-to-exceed amount of \$243,366 with a time extension of six months. Jacobs' 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 the MNR Capital Program.

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	X	Sr. V.P. Operations		
X	Sen V.P. Admin.	X	V.P. Finance & IT		
X	General Counsel	X	Capital Programs		

SUMMARY INFORMATION	
Vendor Name TRB	Contract Number TBA
Description Design and Furnish Park Avenue Tunnel 6000 Amp Third Rail System Replacement	
Total Amount \$4,587,500 estimated cost	
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 56th Street to 99th 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 56th Street to 99th 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 Workscope 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



Metro-North Railroad

Page 2 of 2

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

Item Number C Dept & Dept Head Name: Procurement & Material Management, Anthony P. Bombace, Jr. Division & Division Head Name: Sen. VP - Administration, Raymond Burney						SUMMARY INFORMATION Vendor Name Ansaldo STS U.S.A. Contract Number 1000010304 Description Signal Apparatus- Replace Field Code System at Mott Haven, NY Total Amount \$599,749 Contract Term (Including Options, if any) 23 Months Option(s) Included in Total Amount? <input checked="" type="checkbox"/> Yes <input 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:																					
Board Reviews <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						
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2	MTA Board Mtg.	10-31-12	X																								
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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



Metro-North Railroad

Page 2 of 2

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 <u>C</u>					
Dept & Dept Head Name: Procurement & Material Management, Anthony Bombace, Jr.					
Division & Division Head Name: Sen. VP - Administration, Raymond Burney					
Board Reviews					
Order	To	Date	Approval	Info	Other
1	M-N Comm.Mtg.	10-28-12	X		
2	MTA Board Mtg.	10-31-12	X		
Internal Approvals					
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				

SUMMARY INFORMATION	
Vendor Name Alstom Signaling, Inc.	Contract Number 6023
Description Port Jervis Line, CP-109/Harlem Line & Waterbury Branch Pre-Wired Signal Houses	
Total Amount \$18,104,751	
Contract Term (including Options, if any) Fifteen months	
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input 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:

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 not 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



Metro-North Railroad

Page 1 of 2

Item Number <u>G</u>					
Dept & Dept Head Name: Procurement & Material Management, Anthony J. Bombace, Jr.					
Division & Division Head Name: Sen. VP - Administration, Raymond Burney					
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	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	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 Unitcch Services Group, Inc., New York Environmental Systems, Trio Asbestos Removal Corp, ETS Contracting, Inc., PAI 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**

Vendor Name (& Location) RCM Technologies
Description GEC Engineering Design Cos Cob Substation Upgrades
Contract Term (including Options, if any) Thirty Six (36) Months
Option(s) Included in Total Amount? <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 type="checkbox"/> Capital <input type="checkbox"/> Federal <input checked="" type="checkbox"/> Other: CDOT
Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, Anthony J. Bombace, Jr.

Contract Number 70364	AWO/Modification # 2
Original Amount:	\$168,503
Prior Modifications:	\$ 35,423
Prior Budgetary Increases:	\$ 0.00
Current Amount:	\$203,926
This Request:	\$243,320
% of This Request to Current Amount:	%119.32
% of Modifications (including This Request) to Original Amount:	%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.

Schedule H: Modifications to Personal Service and Miscellaneous Service Contracts



Item Number: H

Vendor Name (& Location) Jacobs Civil Consultants, Inc.		Contract Number MNR-69892	AWO/Modification # 2
Description Design & Engineering for Fordham Station Capacity Improvements		Original Amount: \$704,520	
Contract Term (including Options, if any) Twenty-four (24) months		Prior Modifications: \$174,488	
Option(s) included in Total Amount? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		Prior Budgetary Increases: \$	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive		Current Amount: \$879,008	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:		This Request: \$243,366	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:		% of This Request to Current Amount: %21.70	
Requesting Dept/Div & Dept/Div Head Name Procurement & Material Management, Anthony J. Bombace, Jr.		% of Modifications (including This Request) to Original Amount: %34.54	

Purpose/Recommendation:

Approval is requested to issue a supplemental agreement to Jacobs Civil Consultants Inc. (Jacobs) to provide additional engineering and design services for Fordham Station Capacity Improvements. The total not-to-exceed amount of the supplemental agreement is \$243,366 with a six month time extension to the contract's period of performance.

Discussion:

The Fordham Station serves 6,500 Metro-North customers daily, most of whom use it to commute northward/outbound to Westchester and Connecticut. As a result of an earlier Harlem Line Capacity Improvement Study, MNR concluded that the existing outbound platform needed to be widened at Fordham Station to accommodate a significant increase in ridership in the reverse-peak commutation. The required improvements included the widening of the platform, new canopy with lighting, two passenger shelters, signage, painting, passenger amenities, tactile warning surface and other platform related upgrades. Through the use of the competitive RFP process, Metro-North, utilizing the MTA Board approved General Engineering Consultant (GEC) Program, awarded a contract in October 2010 to Jacobs Civil Consultants Inc. in the amount of \$704,520, for an original period of performance of twenty-four (24) months. The scope of services was to develop a package of detailed specifications and drawings for the outbound platform only. Additional inspections performed by MNR revealed that critical elements of the inbound platform also needed to be addressed.

At this time, MNR would like to provide inbound platform improvements to be consistent with the outbound improvements. The scope of the improvements includes new lighting, partial concrete platform repairs, new tactile surface, replacement of canopies, passenger amenities, signage, painting, existing stair rehabilitation and other related platform improvements. The original contractually established rates were used to negotiate the cost of this contract change and are considered fair and reasonable. The total cost of the contract change is not-to-exceed \$243,366 with a time extension of six months.

Recommendation and Impact on Funding:

A supplemental agreement for this work was negotiated and agreed upon with Jacobs in the not-to-exceed amount of \$243,366 with a time extension of six months. Jacobs' 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 the MNR Capital Program.

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

Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval for a modification to the Contract 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.

- | | | | |
|----|--|--------------------|--------------------------------------|
| 2. | Tutor Perini Corporation
Contract No. CQ032
Modification No. 17 | \$5,641,882 | <u>Staff Summary Attached</u> |
|----|--|--------------------|--------------------------------------|

Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval of a modification for the installation of the invert slabs in Tunnel A and the Yard Lead Tunnel and the installation of a utility bench in Tunnel A. This is a scope and budget transfer.

- | | | | |
|----|--|-------------------|--------------------------------------|
| 3. | Tutor Perini Corporation
Contract No. CH053
Modification No. 89 | \$ 320,457 | <u>Staff Summary Attached</u> |
|----|--|-------------------|--------------------------------------|

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.

- | | | | |
|----|--|-------------------|--------------------------------------|
| 4. | Tutor Perini Corporation
Contract No. CH053
Modification No. 91 | \$ 365,000 | <u>Staff Summary Attached</u> |
|----|--|-------------------|--------------------------------------|

Pursuant to Article IX of the MTA All-Agency Procurement Guidelines, MTACC seeks Board approval for a modification for the installation of Catenary Pole B-921W along with associated foundations and hardware.

Schedule I: Modification to Purchase and Public Work Contracts

Item Number: 1

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

Contract Number	AWO/Modification #
CQ032	15
Original Amount:	
	\$ 147,377,000
Prior Modifications:	
	\$ 1,263,145
Prior Budgetary Increases:	
	\$ 0
Current Amount:	
	\$ 148,640,145
This Request	
	\$ 6,347,523
% of This Request to Current Amount:	
	4.3%
% of Modifications (including This Request) to Original Amount:	
	5.1%

This Contract is for the structural and architectural rehabilitation to existing facilities along the existing 63'd 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 to modify the Contract 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 as it falls within ten percent (10%) of MTACC's estimate. The budget for this work will be transferred from the CQ031 budget for which were received a credit of \$6,640,000.

Schedule I: Modification to Purchase and Public Work Contracts

Item Number: 2

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

Contract Number	AWO/Modification #
CQ032	17
Original Amount:	
	\$ 147,377,000
Prior Modifications:	
	\$ 7,610,668
Prior Budgetary Increases:	
	\$ 0
Current Amount:	
	\$ 154,987,668
This Request	
	\$ 5,641,882
% of This Request to Current Amount:	
	3.6%
% of Modifications (including This Request) to Original Amount:	
	9%

Discussion:

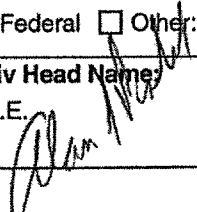
This Contract is for the structural and architectural rehabilitation to existing facilities along the existing 63rd Street Tunnel and construction of Plaza Interlocking and Facility Power Substation B10 for the East Side Access (ESA) Project. In accordance with Article IX of the All-Agency Procurement Guidelines, Board approval is requested to modify the Contract to include the installation of the invert slabs in Tunnel A and the Yard Lead Tunnel (YLT) and the installation of a utility bench in Tunnel A. This work was scheduled to be performed in future track work contracts. This is a scope and budget transfer.

In order to use the newly built Tunnel A and the YLT as roadways for the movement of material and equipment to and from Manhattan, the invert slabs must be installed. This work was originally part of future track work contracts, but moving it to CQ032, where the Contractor is on-site and performing similar work in the adjacent tunnels of B/C and D, will permit use of Tunnel A and the YLT to support construction access. In addition, it makes sense from a cost and scheduling perspective to construct the concrete utility bench in Tunnel A at the same time as the concrete invert. The YLT will be used for delivery of larger items so the bench will not be installed in the YLT at this time, as the bench would restrict access for larger items. Substantial completion of CQ032 is planned for January 2015, and this transfer of work would not impact Substantial Completion. If this work was kept in future track work contracts, these key tunnel connections would not be completed in time to utilize them for construction access.

The Contractor submitted a cost proposal in the amount of \$5,830,026 while the project internal estimate is \$5,128,982. Negotiations were held and the parties agreed to cost proposal in the amount of \$5,641,882 for the work. The negotiated cost is considered to be fair and reasonable. The budget for this work will be transferred from the future track work contracts.

Schedule I: Modifications to Purchase and Public Work Contracts

Item Number: 3

Vendor Name (& Location)
Tutor Perini Corporation (Peekskill, New York)
Description
Construct Harold Structures Part I for the ESA Project
Contract Term (including Options, if any)
42 Months
Option(s) Included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive
Solicitation Type <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
Funding Source
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:
Requesting Dept/Div & Dept/Div Head Name
East Side Access, A. Paskoff, P.E. 

Contract Number	AWO/Modification #
CH053	Mod 89
Original Amount:	\$ 139,280,000
Prior Modifications:	\$ 68,505,090
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 207,785,090
This Request	\$ 320,457
% of This Request to Current Amount:	.15%
% of Modifications (including This Request) to Original Amount:	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: Modification to Purchase and Public Work Contracts

Item Number: 4

Vendor Name (& Location) Tutor Perini Corporation (Peekskill, New York)
Description Construct Harold Structures Part I for the ESA Project
Contract Term (including Options, if any) 42 Months
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive
Solicitation Type <input type="checkbox"/> RFP <input checked="" type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other
Requesting Dept/Div & Dept/Div Head Name East Side Access, A. Paskoff, P.E.

Contract Number	AWO/Modification #
CH053	Mod 91
Original Amount:	\$ 139,280,000
Prior Modifications:	\$ 69,106,442
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 208,386,442
This Request	\$ 365,000
% of This Request to Current Amount:	.17%
% of Modifications (Including This Request) to Original Amount:	49.88%

Discussion:

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 for the installation of the foundation for Catenary Pole B-921W along with associated guy anchor foundations and hardware.

This modification is for the installation of a Catenary Pole along with the associated foundations and hardware. The pole was procured under Contract CQ028 and was to replace an existing pole that was to be removed as part of the work related to the demolition of several Amtrak buildings under that Contract. At the time the buildings were demolished, it was decided that the existing pole could remain. However, due to concerns over the long-term stability of the existing pole, and it has now been determined that the pole should be replaced. As Contract CQ028 was terminated for default, MTACC has determined that the CH053 Contractor should perform this work since they are currently mobilized on site and are performing this type of work under their Contract.

The Contractor submitted a cost proposal of \$371,825. MTACC's project estimate was \$350,590. Negotiations were held, and both parties agreed to \$365,000, which is considered fair and reasonable. There is no time impact associated with the modification. An errors and omission analysis will be conducted to determine if the cost for this modification are recoverable from the designer.

NOVEMBER 2012

LIST OF RATIFICATIONS FOR BOARD APPROVAL

Procurements Requiring Majority Vote

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

- | | | | |
|----|---|--------------------|--------------------------------------|
| 1. | Ad Tech Enterprises
Contract No. C52101
Modification No. 4 | \$ 366,000 | <u>Staff Summary Attached</u> |
| | <p>Pursuant to Articles IX and X of the MTA All-Agency Procurement Guidelines, MTACC requests that the Board ratify a contract modification to the Contract for the fabrication of re-designed bollards and concrete foundations along with associated sidewalk work.</p> | | |
| 2. | Tutor Perini Corporation
Contract No. CH053
Modification No. 90 | \$ 280,895 | <u>Staff Summary Attached</u> |
| | <p>Pursuant to Articles IX and X of the MTA All-Agency Procurement Guidelines, MTACC requests that the Board ratify a contract modification to the Contract for the storage of fabricated material at off-site locations.</p> | | |
| 3. | Yonkers Contracting Company
Contract No. CM004
Modification No. 63 | \$6,535,000 | <u>Staff Summary Attached</u> |
| | <p>Pursuant to Articles IX and X of the MTA All-Agency Procurement Guidelines, MTACC requests that the Board ratify a contract modification to the Contract for work related to the excavation and lining of Shaft #1 at the 44th St. Vent Plant Facility. This is a Scope and Budget Transfer from adjacent contract CM019.</p> | | |

Schedule K: Ratification of Completed Procurement Actions

Item Number: 1

Vendor Name (& Location)	
Ad Tech Enterprises (Mount Vernon, New York)	
Description	
Street Level Perimeter Protection for Atlantic Avenue/Pacific Street Complex	
Contract Term (including Options, if any)	
12 Months	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	
Funding Source	
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept/Div&Dept/Div Head Name:	
Security Program, M. Kyriacou, P.E., Vice President & Chief Engineer	

Contract Number	AWO/Modification #
C-52101	4
Original Amount:	\$ 3,486,000
Prior Modifications:	\$ 338,400
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 3,824,400
This Request	\$ 366,000
% of This Request to Current Amount:	10.5%
% of Modifications (including This Request) to Original Amount:	9.71%

Discussion:

This Contract is for the removal of existing large, reinforced-concrete, granite-clad "blocks" at the LIRR Pavilion Entrance and the fabrication and installation of sixty-eight (68) individual Stainless Steel Bollards in their place as well as fabrication and installation of forty-six (46) bollards the New York City Times Plaza. In accordance with Articles IX and X of the All-Agency Procurement Guidelines, MTACC seeks Board ratification of a modification for the fabrication of re-designed bollards and concrete foundations along with associated sidewalk work.

During the course of the work differing subsurface site conditions were encountered. The existing structural steel members of the subway roof and slab were at higher elevations than shown on the contract drawings. In addition, a utility duct bank and structural concrete obstructions also not shown on the contract drawings were encountered. Due to these unanticipated field conditions, the total design depth of the foundations could not be achieved for some of the bollards to be installed. This necessitated the redesign of 17 of the 68 bollard foundations, changes to the fabrication requirements and the means and methods of installation, additional labor, additional material for fabrication and the use of a construction crane for installation. In order to meet the September 28th opening date for the Barclays Center, the Contractor was directed to proceed with this work.

The Contractor submitted a cost proposal in the amount of \$400,892 and MTACC's internal estimate was \$357,772. Negotiations were held and the parties agreed to a cost of \$366,000 which is considered fair and reasonable.

Item Number: 2

Vendor Name (& Location)	
Tutor Perini Corporation (Peekskill, New York)	
Description	
Construct Harold Structures Part 1 for the ESA Project	
Contract Term (including Options, if any)	
Option(s) Included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Non-competitive	
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	
Funding Source	
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept/Div & Dept/Div Head Name:	
East Side Access, A. Paskoff, P.E.	

Contract Number	AWO/Modification #
CH053	90
Original Amount:	
	\$ 139,280,000
Prior Modifications:	
	\$ 68,825,547
Prior Budgetary Increases:	
	\$ 0
Current Amount:	
	\$ 208,105,547
This Request:	
	\$ 280,895
% of This Request to Current Amount:	
	.13%
% of Modifications (including This Request) to Original Amount:	
	49.62%

Discussion:

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 Articles IX and X of the MTA All-Agency Procurement Guidelines, MTACC seeks Board ratification of a modification for the storage of fabricated material at off-site locations.

As a result of design and schedule changes along with unforeseen site conditions, activities associated with the 43rd Street and 48th Street Bridges, Microtunnel runs 1 through 4 and the 12kV Ductbank System have been delayed. As a result of these delays, the material outlined below had to be stored at off-site locations and storage fees have been incurred. The material is as follows:

- Structural steel for the 43rd St Loop Track Bridge for WBY and North Bridge – June 2009 through September 30, 2012
- Structural steel for the 43rd St Bridge for ML4 – September 2009 through November 30, 2012
- Structural steel for the 48th St Bridge for ML2 and ML4 – January 2010 through February 28, 2013
- Structural steel for the 48th St Bridge Walkway Support Frame – March 2010 through February 28, 2013
- Fabricated piping for Microtunnels 1 through 4 - November 1, 2009 through November 30, 2012.
- Cable for the 12kv electrical ductbank - December 2010 through October 30, 2012.

The Contractor submitted a cost proposal of \$280,895 for the storage fees which was accepted by MTACC as it compares favorably to the internal estimate of \$299,191 and is considered fair and reasonable.

To the extent that this Modification is the result of errors and omissions in design, MTACC intends to seek compensation for any resulting damages from the designer.

Item Number: 3

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

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

Discussion:

The work under this Contract is for the construction of the 44th 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 44th 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 282ft to 233ft, 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.



LONG ISLAND RAIL ROAD

**MONTHLY
OPERATING
REPORT**

The graphic features the title "MONTHLY OPERATING REPORT" in large, bold, black, sans-serif capital letters. The text is centered within a rectangular frame that has a background of a dotted grid. A large, stylized, dotted "X" is superimposed over the grid and the text.

OCTOBER 2012

Helena E. Williams
President

11/19/12 *****

Performance Summary

			2012 Data			2011 Data	
			Annual	YTD thru		YTD thru	
			Goal	Oct	Oct	Oct	Oct
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	95.1%	95.2%	94.9%	94.7%	93.4%
		AM Peak		96.5%	95.0%	93.3%	93.0%
		PM Peak		92.3%	92.2%	90.0%	89.7%
		Total Peak		94.5%	93.7%	91.8%	91.4%
		Off Peak Weekday		95.5%	95.0%	95.6%	93.5%
		Weekend		95.4%	96.2%	96.3%	95.5%
	Babylon Branch	Overall	95.1%	94.0%	94.5%	94.9%	93.0%
		AM Peak		97.3%	96.0%	93.2%	93.3%
		PM Peak		90.6%	91.7%	90.8%	89.0%
		Total Peak		94.3%	94.1%	92.1%	91.4%
		Off Peak Weekday		93.9%	94.0%	96.2%	92.8%
		Weekend		93.9%	96.3%	96.0%	96.1%
	Far Rockaway Branch	Overall	95.1%	98.0%	97.6%	97.6%	96.3%
		AM Peak		96.4%	95.5%	95.2%	94.2%
		PM Peak		98.9%	95.5%	94.2%	95.0%
		Total Peak		97.5%	95.5%	94.8%	94.6%
		Off Peak Weekday		98.3%	98.2%	98.4%	96.7%
		Weekend		97.8%	98.5%	98.7%	97.3%
	Huntington Branch	Overall	95.1%	94.2%	94.6%	93.3%	92.3%
		AM Peak		95.3%	94.7%	93.3%	92.6%
		PM Peak		91.4%	89.6%	83.3%	84.7%
		Total Peak		93.5%	92.3%	88.5%	88.8%
		Off Peak Weekday		95.8%	94.7%	94.2%	91.9%
		Weekend		92.7%	96.4%	96.2%	95.8%
	Hempstead Branch	Overall	95.1%	98.8%	97.5%	96.8%	96.4%
		AM Peak		97.5%	96.8%	96.7%	95.2%
		PM Peak		98.9%	95.1%	92.1%	92.9%
		Total Peak		98.2%	96.0%	94.5%	94.1%
		Off Peak Weekday		99.0%	98.0%	97.6%	96.6%
		Weekend		99.0%	98.0%	97.5%	98.3%
	Long Beach Branch	Overall	95.1%	96.3%	96.5%	96.7%	95.3%
		AM Peak		97.7%	96.5%	94.4%	94.2%
		PM Peak		94.5%	94.5%	93.8%	93.4%
		Total Peak		96.2%	95.5%	94.1%	93.8%
		Off Peak Weekday		96.6%	96.9%	98.0%	95.6%
		Weekend		95.5%	96.5%	96.7%	96.4%
	Montauk Branch	Overall	95.1%	92.9%	91.0%	91.2%	88.1%
		AM Peak		91.9%	93.2%	86.3%	90.8%
		PM Peak		86.9%	86.0%	86.7%	85.7%
		Total Peak		89.7%	90.1%	86.5%	88.6%
		Off Peak Weekday		94.1%	91.8%	91.0%	89.0%
		Weekend		94.0%	90.3%	95.8%	86.3%
	Oyster Bay Branch	Overall	95.1%	96.1%	95.4%	93.1%	93.7%
		AM Peak		98.6%	95.8%	97.3%	93.5%
		PM Peak		90.8%	91.5%	86.5%	87.5%
		Total Peak		95.0%	93.8%	92.3%	90.7%
		Off Peak Weekday		97.1%	95.1%	92.9%	94.2%
		Weekend		95.3%	98.2%	94.8%	96.6%

Performance Summary

		2012 Data			2011 Data	
		Annual	YTD thru		YTD thru	
		Goal	Oct	Oct	Oct	Oct
Port Jefferson Branch	Overall	95.1%	91.9%	91.5%	91.6%	90.5%
	AM Peak		92.5%	92.0%	93.5%	91.2%
	PM Peak		85.7%	88.0%	81.0%	83.9%
	Total Peak		89.3%	90.1%	87.6%	87.8%
	Off Peak Weekday		91.5%	89.7%	92.6%	90.4%
	Weekend		96.0%	96.9%	94.6%	93.9%
	Overall	95.1%	96.0%	95.9%	96.4%	94.6%
Port Washington Branch	Overall	95.1%	96.0%	95.9%	96.4%	94.6%
	AM Peak		95.8%	94.7%	92.3%	93.0%
	PM Peak		94.2%	94.3%	95.5%	91.4%
	Total Peak		95.0%	94.5%	94.0%	92.2%
	Off Peak Weekday		96.1%	96.1%	97.1%	94.8%
	Weekend		97.7%	98.0%	98.9%	98.2%
	Overall	95.1%	93.6%	92.7%	91.3%	90.9%
Ronkonkoma Branch	Overall	95.1%	93.6%	92.7%	91.3%	90.9%
	AM Peak		97.2%	92.9%	92.3%	90.9%
	PM Peak		91.0%	92.6%	85.7%	89.3%
	Total Peak		94.4%	92.7%	89.4%	90.2%
	Off Peak Weekday		92.7%	92.3%	91.7%	90.1%
	Weekend		94.4%	93.3%	93.2%	93.7%
	Overall	95.1%	95.8%	96.9%	97.6%	96.1%
West Hempstead Branch	Overall	95.1%	95.8%	96.9%	97.6%	96.1%
	AM Peak		100.0%	97.0%	94.3%	94.7%
	PM Peak		90.0%	92.7%	96.0%	93.3%
	Total Peak		94.6%	94.6%	95.2%	94.0%
	Off Peak Weekday		96.5%	98.2%	99.0%	97.3%
	Weekend		100.0%	97.7%	100.0%	93.2%
	Overall	95.1%	95.8%	96.9%	97.6%	96.1%
Operating Statistics	Trains Scheduled		18,137	195,202	19,419	191,052
	Avg. Delay per Late Train (min)		-11.8	-12.6	-12.4	-14.1
	excluding trains canceled or terminated					
	Trains Over 15 min. Late		133	1,842	176	2,673
	excluding trains canceled or terminated					
	Trains Canceled		78	422	46	1110
	Trains Terminated		30	305	32	538
	Percent of Scheduled Trips Completed		99.4%	99.6%	99.6%	99.1%
Consist Compliance (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		99.5%			
	PM Peak		99.0%			
	Total Peak		99.3%			

Categories Of Delay		2012 Data			2011 Data		YTD 2012 Vs 2011
		Sep	Oct	YTD Thru Oct	Oct	YTD Thru Oct	
Late Train Incidents	National Rail Passenger Corp	78	59	648	98	965	(317)
	Capital Programs	9	28	133	5	180	(47)
	Engineering	127	54	1,189	232	1,599	(410)
	Penn Station Central Control	8	13	92	2	79	13
	Maintenance of Equipment	120	105	1,384	147	2,072	(688)
	** Other / Miscellaneous	138	171	1,762	161	3,455	(1,693)
	Public	374	365	4,022	312	3,358	664
	Transportation	48	60	473	42	640	(167)
	Vandalism	11	1	85	9	140	(55)
	Maintenance of Way (Sched.)	43	15	145	29	213	(68)



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	Cxld	Term
			L	C	T	L	C	T	L	C	T			
10/2	Tue	Passenger pulling door handle on Train 902	8						3			11		
10/4	Thu	Track circuit failure at Huntington due to a IIPA outage	9						2			11		
10/5	Fri	Track circuit failure east of Plandome Station							2	2	8	2	2	8
10/6	Sat	Capital project work requiring temporary platforms w/o Jamaica							13			13		
10/7	Sun	Capital project work requiring temporary platforms w/o Jamaica							12			12		
10/8	Mon	Train 872 struck debris enroute				8			2			10		
10/10	Wed	Train 4857 derailment in Long Island City				3	3	3	3			6	3	3
10/12	Fri	Signal trouble at Lead Interlocking				6	1	2	1	3		7	4	2
10/15	Mon	Signal trouble in F Interlocking				18	4		4			22	4	
10/22	Mon	Train 119 with a trespasser strike west of Babylon Station				10	14	1	8	9	4	18	23	5
10/28	Sun	Preparation for Hurricane Sandy							9	31	1	9	31	1
TOTAL FOR MONTH			17	0	0	45	22	6	59	45	13	121	67	19
												207		

Long Island Rail Road

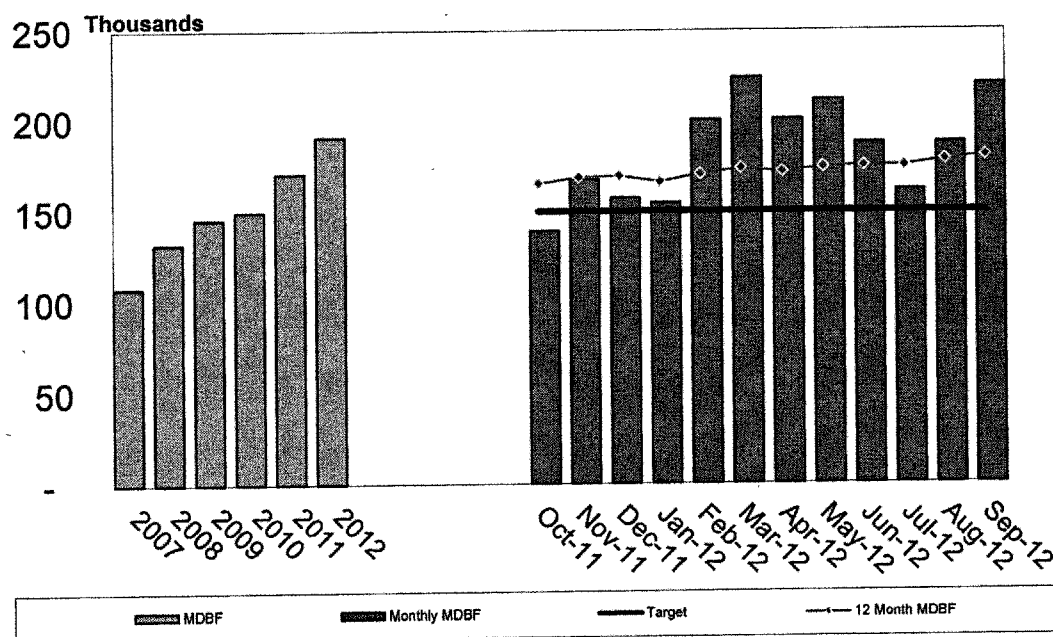
MEAN DISTANCE BETWEEN FAILURES

	Equip- ment Type	Total Fleet Size	2012 Data					2011 Data		
			MDBF Goal (miles)	September MDBF (miles)	September No. of Primary Failures	YTD MDBF thru September (miles)	12 month MDBF Rolling Avg (miles)	September MDBF (miles)	September No. of Primary Failures	YTD MDBF thru September (miles)
Mean Distance Between Failures	M-3	150	55,000	105,792	5	76,284	79,174	60,140	10	63,748
	M-7	836	350,000	384,714	12	409,614	397,004	718,522	7	459,864
	DM	22	18,000	77,990	1	29,974	23,025	38,382	2	21,522
	DE	23	18,000	25,738	3	18,763	19,106	15,922	5	23,468
	C-3	134	70,000	106,708	6	102,991	84,525	62,407	11	69,942
	Diesel	179	44,000	79,545	10	60,472	52,458	46,825	18	49,514
	Fleet	1,165	150,000	220,036	27	191,237	180,312	184,969	35	175,803

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





Long Island Rail Road

OPERATING REPORT FOR MONTH OF OCTOBER 2012

Standee Report

East Of Jamaica

			2012 Data October	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	4	11
		Total Standees	4	11
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Huntington Branch	Program Standees	40	0
		Add'l Standees	7	0
		Total Standees	47	0
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	1	0
		Total Standees	1	0
	Long Beach Branch	Program Standees	0	0
		Add'l Standees	4	0
		Total Standees	4	0
	Montauk Branch	Program Standees	0	0
		Add'l Standees	6	0
		Total Standees	6	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	9	0
		Total Standees	9	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	7	10
		Total Standees	7	10
	Ronkonkoma Branch	Program Standees	0	28
		Add'l Standees	0	31
		Total Standees	0	59
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
System Wide PEAK			77	81

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.



Long Island Rail Road

OPERATING REPORT FOR MONTH OF OCTOBER 2012

Standee Report

West Of Jamaica

			2012 Data October	
			AM Peak	PM Peak
Daily Average	Babylon Branch	Program Standees	0	0
		Add'l Standees	18	32
		Total Standees	18	32
	Far Rockaway Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Huntington Branch	Program Standees	40	0
		Add'l Standees	6	27
		Total Standees	46	27
	Hempstead Branch	Program Standees	0	0
		Add'l Standees	1	14
		Total Standees	1	14
	Long Beach Branch	Program Standees	78	0
		Add'l Standees	24	0
		Total Standees	102	0
	Montauk Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Oyster Bay Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Jefferson Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
	Port Washington Branch	Program Standees	0	0
		Add'l Standees	7	10
		Total Standees	7	10
	Ronkonkoma Branch	Program Standees	0	38
		Add'l Standees	0	39
		Total Standees	0	77
	West Hempstead Branch	Program Standees	0	0
		Add'l Standees	0	0
		Total Standees	0	0
System Wide PEAK			174	159

Definitions

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

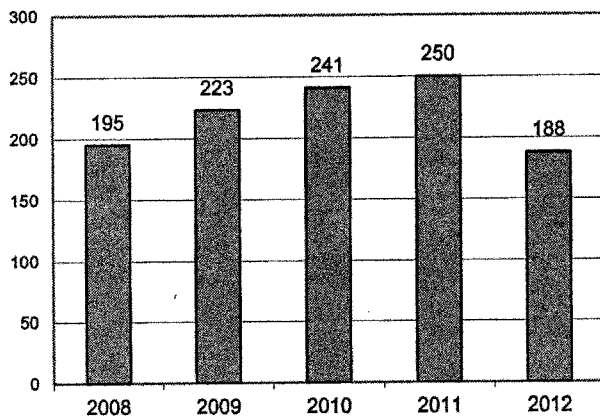
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Note: These statistics do not include the effects of daily ridership variation or uneven distribution of customers within trains.

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

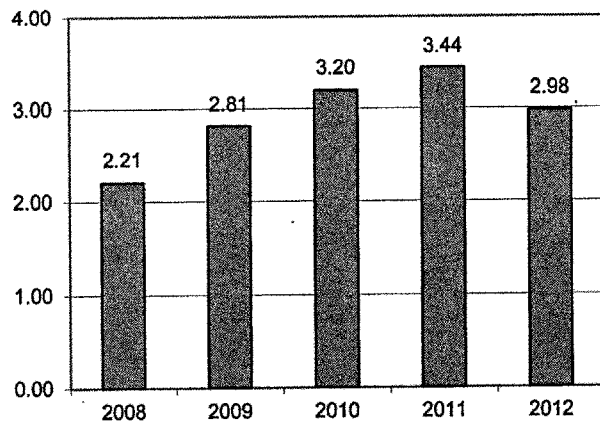
MTA Long Island Rail Road Summary of Employee Injuries thru September



Total Employee Injuries

Year	Total
2008	195
2009	223
2010	241
2011	250
2012	188

% change from last year: -24.8%



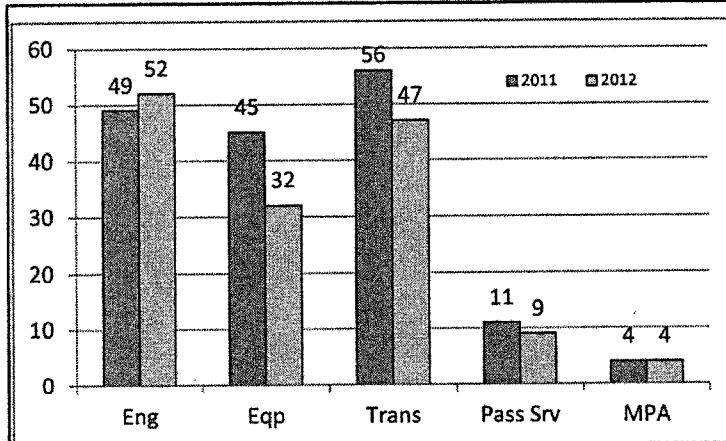
Employee FRA Reportable Injuries

Year	Total	FRA FI*
2008	119	2.21
2009	149	2.81
2010	159	3.20
2011	165	3.44
2012	144	2.98

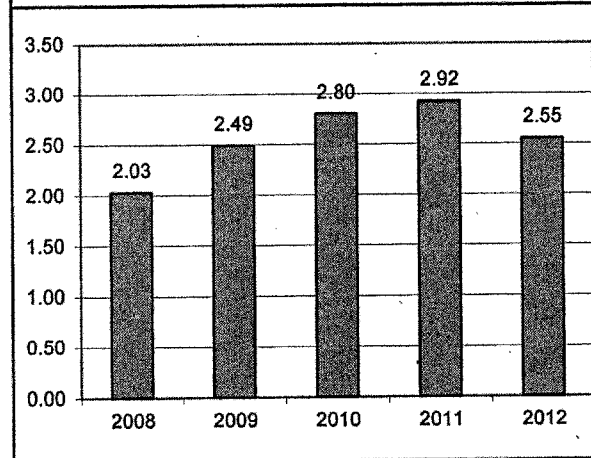
% change from last year: -12.7%

* Federal Railroad Administration Frequency Index

MTA Long Island Rail Road Summary of Employee Injuries thru September



Employee Reportable Accidents Comparison by Department			
Department	2011	2012	% Change
Engineering	49	52	6%
Equipment	45	32	-29%
Transportation	56	47	-16%
Pass Serv	11	9	-18%
MPA	4	4	0%



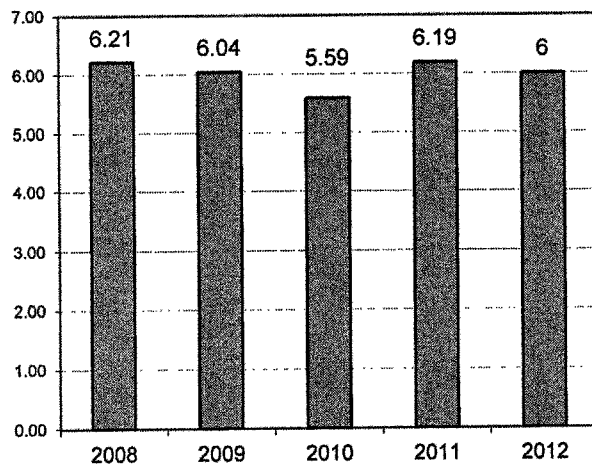
Employee Lost Time and Restricted Duty Injuries					
Year	LT	RD	LT FI*	RD FI*	LT&RD FI*
2008	105	4	1.95	0.07	2.03
2009	131	1	2.47	0.02	2.49
2010	136	3	2.74	0.06	2.80
2011	138	2	2.88	0.04	2.92
2012	123	0	2.55	0.00	2.55

% change from last year: -12.7%

* - Injuries per 200,000 hours worked

**OPERATING REPORT
FOR MONTH OF OCTOBER 2012**

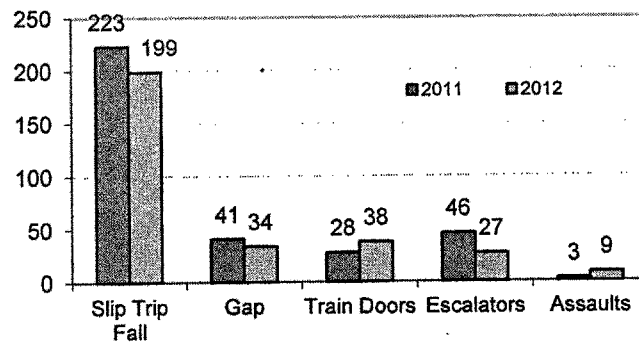
MTA Long Island Rail Road Summary of Customer Injuries thru September



Total Customer Injuries

Year	Total	FI*
2008	409	6.21
2009	377	6.04
2010	342	5.59
2011	372	6.19
2012	376	6.00

% change from last year: 1.1%



Top 5 Customer Injuries by Type

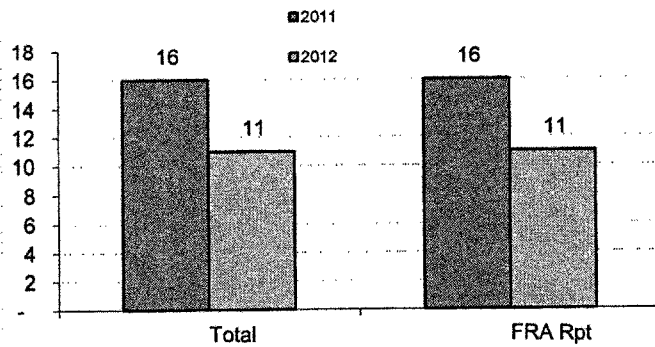
Year	Slip Trip Fall	Gap	Train Doors	Escalators	Assaults
2011	223	41	28	46	3
2012	199	34	38	27	9

*- Injuries per 1,000,000 rides

**OPERATING REPORT
FOR MONTH OF OCTOBER 2012**

MTA Long Island Rail Road

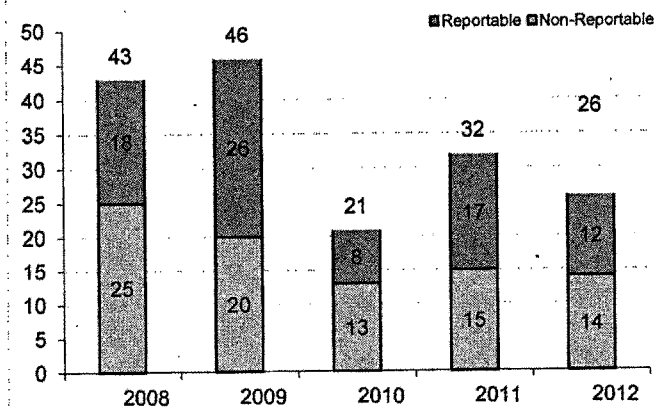
Summary of Contractor Injuries, Train Accidents & T.R.A.C.K.S. thru September



Contractor Injuries

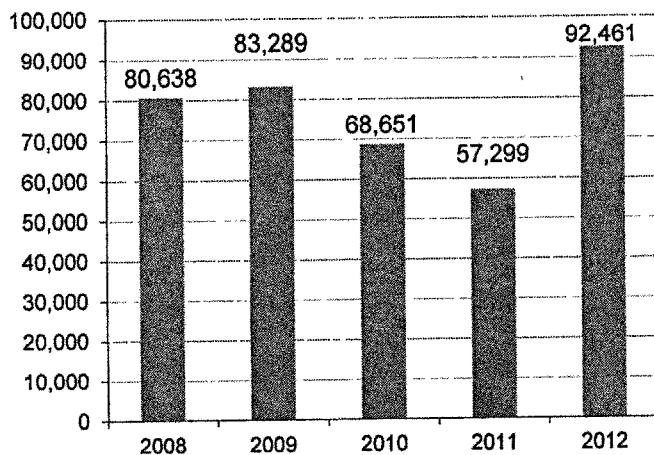
Year	Total	FRA Rpt.
2011	19	19
2012	11	10

% change from last year: -47.4%



Train Accidents

Year	Non-Reportable	Reportable
2008	25	18
2009	20	26
2010	13	8
2011	15	17
2012	14	12



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

Total Participants

Year	Total
2008	80,638
2009	83,289
2010	68,651
2011	57,299
2012	92,461



Long Island Rail Road

Monthly Financial Report

September 2012

MTA LONG ISLAND RAIL ROAD

September Ridership and Financial Report

Executive Summary

November 26, 2012

Ridership

- During the month of September, total ridership was 6.7 million, which was 2.1% higher than September 2011 (adjusted for same number of work days) and 0.7% above the forecast.
 - 2012 Total ridership through September was 62.7 million. This was 4.3% higher than 2011 and 0.4% higher than the 2012 forecast.
 - Through September 2012, commutation ridership was 3.1% higher than 2011 (work day adjusted) and 0.1% higher than the 2012 forecast.
 - Through September 2012, non-commutation ridership was 5.9% higher than 2011 and 0.7% above the forecast.
-

Revenues

- Farebox revenue through September totaling \$442.2 million was \$2.5 million above the forecast, reflecting continued strong ridership growth.
- Capital & Other Revenue of \$176.3 million was \$7.9 million less than forecast due to lower material used on capital projects and timing of project activity.
- In summary, total LIRR revenue of \$618.5 million was \$(5.4) million lower than forecast.

Expenses

- Through September 2012, total expenses of \$1,339.7 million were \$36.0 million less than forecast.
- Straight-time payroll spending was \$6.2 million favorable to forecast due to vacant positions and timing of retiree sick/vacation payouts, constructive allowance payments and other accruals, partially offset by management vacation buyback. 114 of 6,519 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 decreased by 2.4% in 2012 compared to 2011. This decrease is primarily caused by lower weather-related overtime, partially offset by higher maintenance overtime, vacancy/absentee coverage and project activity.
- Year-to-date overtime hours worked was 4.0% 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 \$20.4 million, Electric Power and Fuel \$10.3 million, benefits associated with vacant positions and timing of various other expenses.

Financial Performance Measures

- Through September, the Adjusted Farebox Operating Ratio was 61.8%, which is favorable to forecast due to lower expenses and higher revenue.
- Through September, the Adjusted Cost per Passenger was \$12.16, which is less than expected due to lower expenses and higher ridership.
- Through September, the Revenue per Passenger was \$7.09, slightly favorable to forecast.

FINANCIAL REPORT
(\$ In Millions)
For the Month Ending September 30, 2012

REVENUE

Year-to-date September **Total Revenues** (including Capital and Other Reimbursements) of \$618.5 were \$(5.4) or (0.9)% unfavorable to the forecast. The month of September of \$68.1 was unfavorable to forecast by \$(1.4) million or (2.0)%.

- **Y-T-D Farebox Revenues** were \$2.5 favorable to the forecast. The month was \$0.7 favorable to forecast due to higher ridership.
- **Y-T-D Other Operating Revenues** were \$0.3 favorable to forecast. The month was \$(0.2) unfavorable due to timing.
- **Y-T-D Capital and Other Reimbursements** were \$(8.2) unfavorable to the forecast. The month was \$(2.0) unfavorable due to timing of capital activity.

OPERATING EXPENSES

Year-to-date September **Total Expenses** (including depreciation and other) of \$1,339.7 were favorable to the forecast by \$36.0 or 2.6%. The total expenses for the month of \$135.9 were favorable to forecast by \$17.5 or 11.4%.

Labor Expenses, \$(0.3) unfavorable Y-T-D; \$11.3 favorable for the month.

- **Payroll**, \$6.2 favorable Y-T-D; \$0.4 favorable for the month (primarily vacant positions, constructive allowance payments and timing of retiree sick/vacation payments, partially offset by management vacation buyback).
- **Overtime**, \$(4.1) unfavorable Y-T-D; \$(0.5) unfavorable for the month (primarily open jobs in Maintenance of Equipment, 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 and lower project activity).
- **Health & Welfare**, \$(0.3) favorable Y-T-D; \$(0.4) unfavorable for the month (higher rates, partially offset by vacant positions).
- **OPEB Current Payment**, \$1.8 favorable Y-T-D; \$0.6 favorable for the month (lower retirees).
- **Pension**, \$(8.8) unfavorable Y-T-D; \$9.5 favorable for the month (timing of accrual adjustment to properly reflect mid-year forecast. Expected to be on plan by year-end.)
- **Other Fringe**, \$4.9 favorable Y-T-D; \$1.6 favorable for the month (lower Rail Road Retirement taxes and FELA indemnity payments).

Non-Labor Expenses, \$42.3 favorable Y-T-D; \$5.6 favorable for the month.

- **Electric Power**, \$9.5 favorable Y-T-D; \$2.1 favorable for the month (primarily lower rates and usage).
- **Maintenance and Other Operating Contracts**, \$2.5 favorable Y-T-D; \$0.1 favorable for the month (primarily timing of project activity, lower IESS security costs, communication expenses and timing of vegetation management and elevator/escalator maintenance, partially offset by unfavorable joint facilities).
- **Professional Services**, \$8.1 favorable Y-T-D; \$1.8 favorable for the month (primarily timing of capital activity and IT initiatives).
- **Materials and Supplies**, \$20.5 favorable Y-T-D; \$2.6 favorable for the month (timing of capital material usage, pool material reclaims, rolling stock maintenance and modifications and inventory adjustments).
- **Other Business Expenses**, \$1.5 favorable Y-T-D; \$0.1 favorable for the month (primarily timing).

Depreciation and Other, \$(6.0) unfavorable Y-T-D; \$0.6 favorable for the month (primarily Depreciation).

FAREBOX OPERATING RATIO

The year-to-date Farebox Operating Ratio was 49.7%, 0.7 percentage point higher than year-to-date August. The Farebox Operating Ratio for the month of September of 56.5% was 8.6 percentage points above the forecast resulting from lower expenses and higher revenue. The adjusted year-to-date Farebox Operating Ratio was 61.8%. 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
September 2012
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
			Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$49.120	\$49.850	\$0.730	1.5	\$0.000	\$0.000	\$0.000	-	\$49.120	\$49.850	\$0.730	1.5
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	2.842	2.644	(0.198)	(7.0)	0.000	0.000	0.000	-	2.842	2.644	(0.198)	(7.0)
Capital & Other Reimbursements	0.000	0.000	0.000	-	17.581	15.625	(1.956)	(11.1)	17.581	15.625	(1.956)	(11.1)
Total Revenue	\$51.962	\$52.494	\$0.532	1.0	\$17.581	\$15.625	(\$1.956)	(11.1)	\$69.543	\$68.118	(\$1.425)	(2.0)
Expenses												
Labor:												
Payroll	\$33.755	\$34.066	(\$0.311)	(0.9)	\$5.511	\$4.772	\$0.739	13.4	\$39.266	\$38.838	\$0.428	1.1
Overtime	6.218	6.867	(0.649)	(10.4)	1.084	0.904	0.180	16.6	7.302	7.771	(0.469)	(6.4)
Health and Welfare	7.267	7.740	(0.473)	(6.5)	0.974	0.896	0.078	8.0	8.241	8.636	(0.395)	(4.8)
OPEB Current Payment	4.829	4.230	0.599	12.4	0.000	0.000	0.000	-	4.829	4.230	0.599	12.4
Pensions	12.860	3.135	9.725	75.6	1.482	1.678	(0.196)	(13.2)	14.342	4.812	9.530	66.4
Other Fringe Benefits	8.576	7.161	1.415	16.5	1.173	1.021	0.152	13.0	9.749	8.182	1.567	16.1
Reimbursable Overhead	(2.272)	(1.698)	(0.574)	(25.3)	2.272	1.698	0.574	25.3	0.000	0.000	0.000	-
Total Labor Expenses	\$71.233	\$61.501	\$9.732	13.7	\$12.496	\$10.968	\$1.528	12.2	\$83.729	\$72.469	\$11.260	13.4
Non-Labor:												
Electric Power	\$8.168	\$6.094	\$2.074	25.4	\$0.000	\$0.000	\$0.000	-	\$8.168	\$6.094	\$2.074	25.4
Fuel	2.363	2.328	0.035	1.5	0.000	0.000	0.000	-	2.363	2.328	0.035	1.5
Insurance	1.315	1.307	0.008	0.6	0.407	0.278	0.129	31.7	1.722	1.585	0.137	8.0
Claims	0.356	1.656	(1.300)	*	0.000	0.000	0.000	-	0.356	1.656	(1.300)	*
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	5.261	5.424	(0.163)	(3.1)	0.744	0.447	0.297	39.9	6.005	5.872	0.133	2.2
Professional Service Contracts	3.174	1.704	1.470	46.3	0.328	0.016	0.312	95.2	3.502	1.720	1.782	50.9
Materials & Supplies	8.781	5.691	3.090	35.2	3.445	3.901	(0.456)	(13.2)	12.226	9.592	2.634	21.5
Other Business Expenses	1.326	1.329	(0.003)	(0.2)	0.161	0.014	0.147	91.5	1.487	1.343	0.144	9.7
Total Non-Labor Expenses	\$30.744	\$25.533	\$5.211	16.9	\$5.085	\$4.656	\$0.429	8.4	\$35.829	\$30.189	\$5.639	15.7
Other Expense Adjustments:												
Other	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Other Expense Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$101.977	\$87.034	\$14.943	14.7	\$17.581	\$15.625	\$1.956	11.1	\$119.558	\$102.658	\$16.899	14.1
Depreciation	\$27.077	\$26.026	\$1.051	3.9	\$0.000	\$0.000	\$0.000	-	\$27.077	\$26.026	\$1.051	3.9
Other Post Employment Benefits	6.555	7.019	(0.464)	(7.1)	0.000	0.000	0.000	-	6.555	7.019	(0.464)	(7.1)
Environmental Remediation	0.167	0.167	(0.000)	(0.1)	0.000	0.000	0.000	-	0.167	0.167	(0.000)	(0.1)
Total Expenses	\$135.775	\$120.246	\$15.529	11.4	\$17.581	\$15.625	\$1.956	11.1	\$153.356	\$135.870	\$17.485	11.4
Net Surplus/(Deficit)	(\$83.813)	(\$67.752)	\$16.061	19.2	\$0.000	\$0.000	\$0.000	-	(\$83.813)	(\$67.752)	\$16.061	19.2
Cash Conversion Adjustments												
Depreciation	27.077	26.026	(1.051)	(3.9)	0.000	0.000	0.000	-	27.077	26.026	(1.051)	(3.9)
Operating/Capital	(1.042)	(1.540)	(0.498)	(47.8)	0.000	0.000	0.000	-	(1.042)	(1.540)	(0.498)	(47.8)
Other Cash Adjustments	7.648	(2.873)	(10.521)	*	0.000	0.000	0.000	-	7.648	(2.873)	(10.521)	*
Total Cash Conversion Adjustments	\$33.683	\$21.614	(\$12.069)	(35.8)	0.000	\$0.000	\$0.000	-	\$33.683	\$21.614	(\$12.069)	(35.8)
Net Cash Surplus/(Deficit)	(\$50.130)	(\$46.138)	\$3.991	8.0	\$0.000	\$0.000	\$0.000	-	(\$50.130)	(\$46.138)	\$3.991	8.0

TABLE 2

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

	Nonreimbursable				Reimbursable				Total			
			Favorable (Unfavorable)				Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent	Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$439,707	\$442,161	\$2,454	0.6	\$0,000	\$0,000	\$0,000	-	\$439,707	\$442,161	\$2,454	0.6
Vehicle Toll Revenue	0,000	0,000	0,000	-	0,000	0,000	0,000	-	0,000	0,000	0,000	-
Other Operating Revenue	28,404	28,691	0,287	1.0	0,000	0,000	0,000	-	28,404	28,691	0,287	1.0
Capital & Other Reimbursements	0,000	0,000	0,000	-	155,812	147,651	(8,161)	(5.2)	155,812	147,651	(8,161)	(5.2)
Total Revenue	\$468,111	\$470,852	\$2,741	0.6	\$155,812	\$147,651	(\$8,161)	(5.2)	\$623,923	\$618,503	(\$5,419)	(0.9)
Expenses												
Labor:												
Payroll	\$312,262	\$308,929	\$3,333	1.1	\$51,614	\$48,700	\$2,914	5.6	363,876	\$357,629	\$6,247	1.7
Overtime	56,972	60,058	(3,086)	(5.4)	8,283	9,280	(0,997)	(12.0)	65,255	69,338	(4,083)	(6.3)
Health and Welfare	64,209	64,470	(0,261)	(0.4)	9,145	9,144	0,001	0.0	73,354	73,614	(0,260)	(0.4)
OPEB Current Payment	42,940	41,170	1,770	4.1	0,000	0,000	0,000	-	42,940	41,170	1,770	4.1
Pensions	125,224	131,582	(6,358)	(5.1)	14,850	17,288	(2,438)	(16.4)	140,074	148,871	(8,797)	(6.3)
Other Fringe Benefits	82,524	77,996	4,528	5.5	10,849	10,523	0,326	3.0	93,373	88,519	4,854	5.2
Reimbursable Overhead	(20,247)	(17,623)	(2,624)	(13.0)	20,247	17,623	2,624	13.0	(0,000)	0,000	(0,000)	(100.0)
Total Labor Expenses	\$663,884	\$666,583	(\$2,699)	(0.4)	\$114,988	\$112,558	\$2,429	2.1	\$778,872	\$779,141	(\$0,269)	(0.0)
Non-Labor:												
Electric Power	\$73,874	\$64,232	\$9,642	13.1	\$0,000	\$0,145	(\$0,145)	-	73,874	\$64,377	\$9,497	12.9
Fuel	20,847	20,003	0,844	4.0	0,000	0,000	0,000	-	20,847	20,003	0,844	4.0
Insurance	11,592	11,642	(0,050)	(0.4)	3,562	2,938	0,624	17.5	15,154	14,580	0,574	3.8
Claims	2,355	3,561	(1,206)	(51.2)	0,000	0,000	0,000	-	2,355	3,561	(1,206)	(51.2)
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	40,927	36,607	4,320	10.6	7,486	9,307	(1,821)	(24.3)	48,413	45,915	2,498	5.2
Professional Service Contracts	23,245	16,838	6,407	27.6	2,480	0,760	1,720	69.4	25,725	17,598	8,127	31.6
Materials & Supplies	77,102	61,697	15,404	20.0	26,600	21,533	5,067	19.0	103,701	83,231	20,471	19.7
Other Business Expenses	10,993	9,817	1,176	10.7	0,697	0,410	0,287	41.1	11,690	10,227	1,463	12.5
Total Non-Labor Expenses	\$260,935	\$224,398	\$36,537	14.0	\$40,824	\$35,093	\$5,731	14.0	\$301,759	\$259,491	\$42,268	14.0
Other Expense Adjustments												
Other	\$0,000	\$0,000	(\$0,000)	-	\$0,000	\$0,000	\$0,000	-	0,000	\$0,000	(\$0,000)	-
Total Other Expense Adjustments	\$0,000	\$0,000	(\$0,000)	-	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	(\$0,000)	-
Total Expenses before Depreciation & Other Post Employment Benefits	\$924,819	\$890,981	\$33,838	3.7	\$155,812	\$147,651	\$8,161	5.2	\$1,080,631	\$1,038,632	\$41,999	3.9
Depreciation	\$235,911	\$239,457	(3,546)	(1.5)	\$0,000	\$0,000	\$0,000	-	235,911	\$239,457	(\$3,546)	(1.5)
Other Post Employment Benefits	57,586	60,080	(2,494)	(4.3)	0,000	0,000	0,000	-	57,586	60,080	(2,494)	(4.3)
Environmental Remediation	1,501	1,500	0,000	0.0	0,000	0,000	0,000	-	1,501	1,500	0,000	0.0
Total Expenses	\$1,219,817	\$1,192,018	\$27,798	2.3	\$155,812	\$147,651	\$8,161	5.2	\$1,375,628	\$1,339,669	\$35,959	2.6
Net Surplus/(Deficit)	(\$751,706)	(\$721,166)	\$30,539	4.1	\$0,000	\$0,000	\$0,000	-	(\$751,706)	(\$721,166)	\$30,539	4.1
Cash Conversion Adjustments												
Depreciation	235,911	239,457	3,546	1.5	0,000	0,000	0,000	-	235,911	239,457	3,546	1.5
Operating/Capital	(5,249)	(2,095)	3,154	60.1	0,000	0,000	0,000	-	(5,249)	(2,095)	3,154	60.1
Other Cash Adjustments	37,676	64,620	26,944	71.5	0,000	0,000	0,000	-	37,676	64,620	26,944	71.5
Total Cash Conversion Adjustments	\$268,338	\$301,981	\$33,644	12.5	\$0,000	\$0,000	\$0,000	-	\$268,338	\$301,981	\$33,644	12.5
Net Cash Surplus/(Deficit)	(\$483,368)	(\$419,185)	\$64,183	13.3	\$0,000	\$0,000	\$0,000	-	(\$483,368)	(\$419,185)	\$64,183	13.3

TABLE 3

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

September 2012				Year-to-Date September 2012			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Revenue							
Farebox Revenue	Non Reimb.	0.730	1.5	Higher ridership \$0.350 and yield \$0.380.	2.454	0.6	Higher ridership \$1.576 and yield \$0.878.
Other Operating Revenue	Non Reimb.	(0.198)	(7.0)	Primarily due to lower station privileges and timing of miscellaneous revenue.	0.287	1.0	Primarily due to higher station privileges, rental and timing of miscellaneous revenue.
Capital & Other Reimbursements	Reimb.	(1.956)	(11.1)	Primarily due to the timing of project activity and other reimbursements.	(8.161)	(5.2)	Primarily due to the timing of project activity and other reimbursements.
Expenses							
Payroll	Non Reimb.	(0.311)	(0.9)	Primarily management vacation buyback and Engineering workforce performing more maintenance activity instead of project activity, partially offset by lower rates, retiree payments and lower work rule payments.	3.333	1.1	Primarily lower retiree payments, lower rates, vacant positions, lower vacation pay accrual/reversals and lower work rule payments, partially offset by Engineering workforce performing more maintenance activity than project activity and management vacation buyback.
	Reimb.	0.739	13.4	Primarily due to the timing of project activity and other reimbursements.	2.914	5.6	Primarily due to the timing of project activity and other reimbursements.
Overtime	Non Reimb.	(0.649)	(10.4)	Higher open job coverage, rates, and relief-day overtime, partially offset by lower maintenance-related overtime.	(3.086)	(5.4)	Higher relief-day overtime, rates, crew book and open job coverage, partially offset by lower maintenance-related overtime.
	Reimb.	0.180	16.6	Primarily due to timing of project activity.	(0.997)	(12.0)	Primarily due to timing of project activity.
Health and Welfare	Non Reimb.	(0.473)	(6.5)	Primarily higher rates than forecast.	(0.261)	(0.4)	Primarily higher rates than forecast.
	Reimb.	0.078	8.0	Primarily due to timing of project activity.	0.001	0.0	Primarily due to timing of project activity.
OPEB Current Payment	Non Reimb.	0.599	12.4	Lower rates and fewer retirees/beneficiaries.	1.770	4.1	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

September 2012				Year-to-Date September 2012			
Generic Revenue or Expense Category	Non Reimb. Or Reimb.	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Pensions	Non Reimb.	9.725	75.6	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.	(6.358)	(5.1)	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.	(0.196)	(13.2)	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.	(2.438)	(16.4)	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.	1.415	16.5	Lower Railroad Retirement taxes and FELA indemnity payments.	4.528	5.5	Lower FELA indemnity payments, Railroad Retirement taxes and Unemployment Insurance.
	Reimb.	0.152	13.0	Primarily due to timing of project activity.	0.326	3.0	Primarily due to timing of project activity.
Electric Power	Non Reimb.	2.074	25.4	Primarily due to lower rates, consumption and timing of accrual adjustments.	9.642	13.1	Primarily due to lower rates, consumption and timing of accrual adjustments.
	Reimb.	0.000	-		(0.145)	-	VD Yard
Fuel	Non Reimb.	0.035	1.5	Lower consumption, partially offset by higher rates.	0.844	4.0	Primarily lower rates and consumption.
Insurance	Non Reimb.	0.008	0.6	Timing of premium payments.	(0.050)	(0.4)	Timing of premium payments.
	Reimb.	0.129	31.7	Force Account Insurance associated with project activity.	0.624	17.5	Force Account Insurance associated with project activity.
Claims	Non Reimb.	(1.300)	*	Primarily timing of payments.	(1.206)	(51.2)	Primarily timing of payments.
Maintenance & Other Operating Contracts	Non Reimb.	(0.163)	(3.1)	Higher joint facilities, partially offset by timing of vegetation management, elevator/escalator, security initiatives and communication expenses.	4.320	10.6	Timing of activities and payments for toilet servicing, rubbish removal, communications, plant equipment maintenance, 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.	0.297	39.9	Primarily due to timing of project activity.	(1.821)	(24.3)	Primarily due to timing of project activity.

TABLE 3

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

September 2012				Year-to-Date September 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.	1.470	46.3	Primarily due to timing of payments for computer hardware and various consulting contracts.	6.407	27.6	Primarily due to timing of payments and activities for IT software and hardware, data center charges, outside training, postage and various consulting contracts.
	Reimb.	0.312	95.2	Primarily due to timing of project activity.	1.720	69.4	Primarily due to timing of project activity.
Materials & Supplies	Non Reimb.	3.090	35.2	Primarily timing of corporate inventory adjustments, lower usage of running repair material in the Support Shops (Wheel, Truck, Battery and A/C) pool material reclaims greater than chargeouts.	15.404	20.0	Primarily due to timing of charge-outs of fleet modification material, lower usage of running repair material in the Support and Car Shops, (Truck, Wheel, A/C and Battery Shops) timing of charge-outs for pool material in the Equipment Department, 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.	(0.456)	(13.2)	Primarily due to timing of project activity and timing of payments for project material.	5.067	19.0	Primarily due to timing of project activity and timing of payments for project material.
Other Business Expenses	Non Reimb.	(0.003)	(0.2)	Higher bad debt expenses, partially offset by lower debit/credit card fees.	1.176	10.7	Primarily due to timing of expenses and lower debit/credit card fees, partially offset by higher bad debt.
	Reimb.	0.147	91.5	Primarily due to timing of project activity.	0.287	41.1	Primarily due to timing of project activity.
Depreciation	Non Reimb.	1.051	3.9	Primarily timing.	(3.546)	(1.5)	Higher based on latest projection of projects achieving beneficial use in 2012.
Other Post Employment Benefits	Non Reimb.	(0.464)	(7.1)	Higher GASB adjustment to reflect the value associated with unfunded accrued liability for post employment benefits.	(2.494)	(4.3)	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
September 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	\$51.544	\$49.736	(\$1.808)	(3.5)	\$461.564	\$461.417	(\$0.147)	(0.0)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	3.735	2.459	(1.276)	(34.2)	34.953	30.761	(4.192)	(12.0)
Capital & Other Reimbursements	12.673	12.773	0.100	0.8	145.309	148.383	3.074	2.1
Total Receipts	\$67.952	\$64.968	(\$2.984)	(4.4)	\$641.826	\$640.561	(\$1.265)	(0.2)
Expenditures								
<i>Labor:</i>								
Payroll	\$38.093	\$36.969	\$1.124	2.9	\$360.406	\$355.396	\$5.010	1.4
Overtime	7.259	7.880	(0.621)	(8.6)	66.363	70.209	(3.846)	(5.8)
Health and Welfare	8.241	8.487	(0.246)	(3.0)	73.353	74.018	(0.665)	(0.9)
OPEB Current Payment	4.829	4.213	0.616	12.8	42.942	41.098	1.844	4.3
Pensions	11.410	11.409	0.001	0.0	148.870	148.762	0.108	0.1
Other Fringe Benefits	9.714	7.883	1.831	18.8	92.427	82.471	9.956	10.8
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	-
Total Labor Expenditures	\$79.546	\$76.842	\$2.704	3.4	\$784.361	\$771.953	\$12.408	1.6
<i>Non-Labor:</i>								
Electric Power	\$10.205	\$3.134	\$7.071	69.3	\$76.561	\$59.413	\$17.148	22.4
Fuel	2.810	1.517	1.293	46.0	23.146	19.363	3.783	16.3
Insurance	0.000	2.833	(2.833)	-	20.322	15.322	5.000	24.6
Claims	0.023	0.995	(0.972)	*	2.556	5.279	(2.723)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	6.876	11.988	(5.112)	(74.3)	57.857	50.924	6.933	12.0
Professional Service Contracts	3.179	1.978	1.201	37.8	23.633	14.748	8.885	37.6
Materials & Supplies	11.413	9.503	1.910	16.7	104.427	96.609	7.818	7.5
Other Business Expenses	1.638	0.728	0.910	55.6	11.508	6.670	4.838	42.0
Total Non-Labor Expenditures	\$36.144	\$32.676	\$3.468	9.6	\$320.010	\$268.328	\$51.682	16.2
<i>Other Expenditure Adjustments:</i>								
Other	2.392	1.922	0.470	19.6	20.824	19.309	1.515	7.3
Total Other Expenditure Adjustments	\$2.392	\$1.922	\$0.470	19.6	\$20.824	\$19.309	\$1.515	7.3
Total Expenditures	\$118.082	\$111.439	\$6.643	5.6	\$1,125.195	\$1,059.590	\$65.605	5.8
Cash Timing and Availability Adjustment	0.000	0.333	0.333	-	0.000	(0.157)	(0.157)	-
Net Cash Deficit (excludes opening balance)	(\$50.130)	(\$46.138)	\$3.992	8.0	(\$483.369)	(\$419.185)	\$64.184	13.3
Subsidies								
MTA	50.130	46.140	(3.990)	(8.0)	480.121	415.935	(64.186)	(13.4)

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	September 2012			Year-to-Date as of September 30, 2012		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Receipts						
Farebox Revenue	(\$1.808)	(3.5)	Lower advance sales impact \$(2.337) and lower Metrocard/AirTrain sales \$(0.201), partially offset by higher yields \$0.380 and higher ridership \$0.350.	(\$0.147)	0.0%	Lower Metrocard/AirTrain sales \$(1.671) and lower advance sales impact \$(0.930), partially offset by higher ridership \$1.576, and higher yields \$0.878.
Other Operating Revenue	(\$1.276)	(34.2)	Primarily due to the timing of rental revenue and intercompany receipts.	(\$4.192)	-12.0%	Primarily due to the timing of intercompany receipts, miscellaneous, rental and freight revenue.
Capital and Other Reimbursements	\$0.100	0.8	Timing of activity and reimbursement for capital and other reimbursements.	\$3.074	2.1%	Timing of activity and reimbursement for capital and other reimbursements.
Expenditures						
Labor:						
Payroll	\$1.124	2.9	Primarily vacant positions, lower rates, retiree payments and work rule payments, partially offset by management vacation buybacks.	\$5.010	1.4%	Primarily due to lower retiree payments, lower rates, project activity, vacant positions, and lower work rule payments, partially offset by higher management vacation buybacks.
Overtime	(\$0.621)	(8.6)	Primarily higher vacancy/absentee coverage, rates, and relief day overtime, partially offset by lower project and maintenance-related overtime.	(\$3.846)	-5.8%	Primarily higher relief day overtime, rates, vacancy/absentee coverage, and project overtime, partially offset by lower maintenance-related overtime.
Health and Welfare	(\$0.246)	(3.0)	Primarily due to higher rates.	(\$0.665)	-0.9%	Primarily due to timing of payments and higher rates.
OPEB Current Payment	\$0.616	12.8	Primarily due to fewer retirees/beneficiaries.	\$1.844	4.3%	Primarily due to 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	September 2012			Year-to-Date as of September 30, 2012		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Other Fringe Benefits	\$1.831	18.8	Primarily lower FELA indemnity and Railroad Retirement Tax payments.	\$9.956	10.8%	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	\$7.071	69.3	Primarily due to the timing of payments, lower consumption and lower rates.	\$17.148	22.4%	Primarily due to the timing of payments, lower consumption and lower rates.
Fuel	\$1.293	46.0%	Timing of payments and lower consumption, partially offset by higher rates.	\$3.783	16.3%	Timing of payments, lower consumption and lower rates.
Insurance	(\$2.833)	-	Timing of payments.	\$5.000	24.6%	Timing of payments.
Claims	(\$0.972)	*	Timing of payment for claims.	(\$2.723)	*	Timing of payment for claims.
Maintenance and Other Operating Contracts	(\$5.112)	(74.3)	Timing of payments.	\$6.933	12.0%	Timing of payments.
Professional Service Contracts	\$1.201	37.8	Timing of and payment for consulting services.	\$8.885	37.6%	Timing of and payment for consulting services.
Materials and Supplies	\$1.910	16.7	Primarily the timing of program, production plan, and operating funded capital material and supplies.	\$7.818	7.5%	Primarily the timing of program, production plan, and operating funded capital material and supplies.
Other Business Expenses	\$0.910	55.6%	Primarily due to the timing of payments and lower debit/credit card fee payments.	\$4.838	42.0%	Primarily due to the timing of payments and lower debit/credit card fee payments.
Other Expenditure Adjustments	\$0.470	20.7%	Lower Metrocard/AirTrain pass through payments.	\$1.515	17.1%	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)
September 2012
(\$ in millions)

	Month				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Revenue	\$2.424	(\$0.114)	(\$2.538)	*	\$21.857	\$19.256	(\$2.601)	(11.9)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	0.893	(0.184)	(1.077)	*	6.549	2.070	(4.479)	(68.4)
Capital & Other Reimbursements	(4.908)	(2.852)	2.056	41.9	(10.503)	0.732	11.234	*
Total Receipts	(\$1.591)	(\$3.150)	(\$1.559)	(98.0)	\$17.903	\$22.058	\$4.155	23.2
Expenditures								
Labor:								
Payroll	\$1.173	\$1.869	\$0.696	59.3	\$3.470	\$2.234	(\$1.236)	(35.6)
Overtime	0.043	(0.109)	(0.152)	*	(1.108)	(0.872)	0.236	21.3
Health and Welfare	0.000	0.149	0.149	-	0.001	(0.403)	(0.404)	*
OPEB Current Payment	0.000	0.017	0.017	-	(0.002)	0.072	0.074	*
Pensions	2.932	(6.597)	(9.529)	*	(8.796)	0.109	8.905	*
Other Fringe Benefits	0.035	0.299	0.264	*	0.946	6.049	5.103	*
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
Total Labor Expenditures	\$4.183	(\$4.372)	(\$8.555)	*	(\$5.489)	\$7.188	\$12.677	*
Non-Labor:								
Electric Power	(\$2.037)	\$2.960	\$4.997	*	(\$2.687)	\$4.964	\$7.651	*
Fuel	(0.447)	0.811	1.258	*	(2.299)	0.640	2.939	*
Insurance	1.722	(1.248)	(2.970)	*	(5.168)	(0.742)	4.426	85.6
Claims	0.333	0.661	0.328	98.5	(0.201)	(1.719)	(1.518)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(0.871)	(6.116)	(5.245)	*	(9.444)	(5.010)	4.434	47.0
Professional Service Contracts	0.323	(0.258)	(0.581)	*	2.092	2.850	0.759	36.3
Materials & Supplies	0.813	0.089	(0.724)	(89.1)	(0.726)	(13.378)	(12.652)	*
Other Business Expenses	(0.151)	0.615	0.766	*	0.182	3.557	3.375	*
Total Non-Labor Expenditures	(\$0.315)	(\$2.486)	(\$2.171)	*	(\$18.251)	(\$8.837)	\$9.414	51.6
Other Expenditure Adjustments:								
Other	(2.392)	(1.922)	0.470	19.6	(20.824)	(19.309)	1.515	7.3
Total Other Expenditure Adjustments	(\$2.392)	(\$1.922)	\$0.470	19.6	(\$20.824)	(\$19.309)	\$1.515	7.3
Total Expenditures before Depreciation	\$1.476	(\$8.781)	(\$10.257)	*	(\$44.564)	(\$20.958)	\$23.607	53.0
Depreciation Adjustment	27.077	26.026	(1.051)	(3.9)	235.911	239.457	3.546	1.5
Other Post Employment Benefits	6.555	7.019	0.464	7.1	57.586	60.080	2.494	4.3
Environmental Remediation	0.167	0.167	0.000	0.1	1.501	1.500	(0.000)	(0.0)
Total Expenditures	\$35.274	\$24.431	(\$10.843)	(30.7)	\$250.433	\$280.080	\$29.647	11.8
Cash Timing and Availability Adjustment	0.000	0.333	0.333	-	0.000	(0.157)	(0.157)	-
Total Cash Conversion Adjustments	\$33.683	\$21.614	(\$12.069)	(35.8)	\$268.337	\$301.981	\$33.645	12.5

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

	September 2012						September Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u> ¹	26,832	\$1.356	29,335	\$1.5	(2,503)	(\$0.1)	248,448	\$12.5	257,365	\$13.0	(8,917)	(\$0.4)
					-9.3%	-7.3%					-3.6%	-3.5%
<u>Unscheduled Service</u>	10,873	\$0.6	9,207	\$0.5	1,665	\$0.1	81,761	\$4.3	81,257	\$4.2	505	\$0.0
					15.3%	11.1%					0.6%	0.6%
<u>Programmatic/Routine Maintenance</u>	39,931	\$1.8	40,920	\$1.9	(989)	(\$0.0)	368,225	\$17.0	345,146	\$16.1	23,080	\$0.9
					-2.5%	-2.6%					6.3%	5.5%
<u>Unscheduled Maintenance</u>	520	\$0.0	1,800	\$0.1	(1,280)	(\$0.1)	4,855	\$0.2	5,976	\$0.3	(1,121)	(\$0.1)
											-23.1%	-19.0%
<u>Vacancy/Absentee Coverage</u>	47,777	\$2.3	56,102	\$2.7	(8,324)	(\$0.4)	427,148	\$20.5	482,933	\$23.1	(55,785)	(\$2.6)
					-17.4%	-19.1%					-13.1%	-11.3%
<u>Weather Emergencies</u>	1,566	\$0.1	658	\$0.0	908	\$0.1	29,294	\$1.4	23,653	\$1.1	5,641	\$0.3
					58.0%	63.2%					19.3%	30.1%
<u>Safety/Security/Law Enforcement</u> ²												
<u>Other</u> ³	1,462	\$0.1	1,426	\$0.2	36	(\$0.1)	12,876	\$1.0	12,144	\$2.2	732	(\$1.2)
					2.5%	*					5.7%	-53.4%
Subtotal	128,960	\$6.2	139,447	\$6.9	(10,487)	(\$0.6)	1,172,608	\$57.0	1,208,473	\$60.1	(35,865)	(\$3.1)
					-8.1%	-10.4%					-3.1%	-5.1%
REIMBURSABLE OVERTIME	21,810	\$1.1	20,483	\$0.9	1,327	0.2	164,278	\$8.3	181,318	\$9.3	(17,040)	(\$1.0)
					6.1%	16.5%					-10.4%	-10.7%
TOTAL OVERTIME	150,771	\$7.3	159,930	\$7.8	(9,159)	(\$0.5)	1,336,886	\$65.3	1,389,791	\$69.3	(52,905)	(\$4.1)
					-6.1%	-6.4%					-4.0%	-5.9%

¹ Includes Service Delay, Tour Length and Holiday overtime.

² Not Applicable

³ 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	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u>	(2,503)	(0.1)	Due to overruns in Crew book overtime	(8,917)	(0.4)	Due to overruns in Crew book overtime
	-9.3%	-7.3%		-3.6%	-3.5%	
<u>Unscheduled Service</u>	1,665	0.1		505	0.0	
	15.3%	11.1%		0.6%	0.6%	
<u>Programmatic/Routine Maintenance</u>	(989)	(0.0)		23,080	0.9	Primarily due to Maintenance of Equipment aggressive management oversight.
	-2.5%	-2.6%		6.3%	5.5%	
<u>Unscheduled Maintenance</u>	(1,280)	(0.1)	Overage due to train derailment in Hillside Yard	(1,121)	(0.1)	Overage due to train derailment in Hillside Yard
	*	*		-23.1%	-19.0%	
<u>Vacancy/Absentee Coverage</u>	(8,324)	(0.4)	Primarily vacant craft and foreman positions in Maintenance of Equipment Department and lower availability in Train Operations and Customer Service, partially offset by higher availability in the Maintenance of Equipment Department.	(55,785)	(2.6)	Due to craft and foreman position vacancies in Maintenance of Equipment Department YTD against forecast. Hiring plan in place to fill by first-quarter 2013. Lower availability in Train Operations (train and engine) and Customer Service.
	-17.4%	-19.1%		-13.1%	-11.3%	
<u>Weather Emergencies</u>	908	0.1		5,641	0.3	
	58.0%	63.2%		19.3%	30.1%	
<u>Safety/Security/Law Enforcement</u>						
<u>Other</u>	36	(0.1)		732	(1.2)	
	2.5%	*		5.7%	-53.4%	
Subtotal	(10,487)	(\$0.6)		(35,865)	(\$3.1)	
	-8.1%	-10.4%		-3.1%	-5.1%	
REIMBURSABLE OVERTIME	1,327	0.2		(17,040)	(1.0)	Over-run due to PNTC-Annual Track Program resulting from latest project schedule requirements.
	6.1%	16.5%		-10.4%	-10.7%	
TOTAL OVERTIME	(9,159)	(\$0.5)		(52,905)	(\$4.1)	
	-6.1%	-6.4%		-4.0%	-5.9%	
* Exceeds 100%						

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 SEPTEMBER 2012

	Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Executive VP	3	4	(1)
Labor Relations	11	11	0
Procurement & Logistics (excl. Stores)	86	79	7
Human Resources	31	28	3
Sr VP Administration	2	2	0
Strategic Investments	28	27	1
President	4	4	0
VP & CFO/Pension	8	8	0
Information Technology	160	155	5
Controller	41	38	3
Management & Budget	18	17	1
Process Re-Engineering	7	6	1
VP - East Side Access & Special Projects	20	22	(2)
Market Dev. & Public Affairs	59	58	1
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	18	4
Total Administration	609	585	24
Operations			
Train Operations	1,868	1,857	11
Customer Services	294	289	5
Total Operations	2,162	2,146	16
Maintenance			
Engineering	1,550	1,518	32
Equipment	1,978	1,950	28
Procurement (Stores)	94	91	3
Total Maintenance	3,622	3,559	63
Engineering/Capital			
Department of Project Management	126	115	11
Total Engineering/Capital	126	115	11
Baseline Total Positions	6,519	6,405	114
Non-Reimbursable	5,770	5,768	2
Reimbursable	749	637	112
Total Full-Time	6,519	6,405	114
Total Full-Time-Equivalents			

**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 SEPTEMBER 2012**

Explanation of Variances
NON-REIMBURSABLE POSITIONS - Favorable 2 positions due to hiring delays company-wide.
REIMBURSABLE POSITIONS - Favorable 112 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 SEPTEMBER 2012

	Forecast	Actual	Favorable/ (Unfavorable) Variance
Administration			
Managers/Supervisors	298	285	13
Professional, Technical, Clerical	311	300	11
Operational Hourlies			-
Total Administration	609	585	24
Operations			
Managers/Supervisors	320	294	26
Professional, Technical, Clerical	167	165	2
Operational Hourlies	1,675	1,687	(12)
Total Operations	2,162	2,146	16
Maintenance			
Managers/Supervisors	685	645	40
Professional, Technical, Clerical	273	251	22
Operational Hourlies	2,664	2,663	1
Total Maintenance	3,622	3,559	63
Engineering/Capital			
Managers/Supervisors	103	94	9
Professional, Technical, Clerical	23	21	2
Operational Hourlies	-	-	-
Total Engineering/Capital	126	115	11
Total Positions			
Managers/Supervisors	1,406	1,318	88
Professional, Technical, Clerical	774	737	37
Operational Hourlies	4,339	4,350	(11)
Total Positions	6,519	6,405	114

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

RIDERSHIP	September 2012				Year-to-date September 2012			
	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance	%	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance	%
Monthly	3.564	3.589	0.026	0.7%	34.725	34.726	0.000	0.0%
Weekly	0.142	0.154	0.012	8.2%	1.315	1.350	0.035	2.7%
Total Commutation	3.706	3.743	0.037	1.0%	36.040	36.076	0.035	0.1%
One-Way Full Fare	0.681	0.644	(0.037)	-5.5%	6.002	6.125	0.124	2.1%
One-Way Off-Peak	1.500	1.518	0.018	1.2%	13.290	13.212	(0.077)	-0.6%
All Other	0.785	0.814	0.030	3.8%	7.110	7.252	0.142	2.0%
Total Non-Commutation	2.966	2.976	0.010	0.3%	26.401	26.589	0.188	0.7%
Total	6.672	6.719	0.048	0.7%	62.441	62.665	0.224	0.4%

**MTA LONG ISLAND RAIL ROAD
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST
MONTHLY PERFORMANCE INDICATORS
September 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 ⁽¹⁾	56.5%	47.9%	46.0%	8.6%	10.5%
	Adjusted ⁽²⁾	63.9%	58.1%	54.7%	5.8%	9.2%
Cost Per Passenger						
	Standard ⁽¹⁾	\$13.18	\$15.44	\$15.37	\$2.26	\$2.19
	Adjusted ⁽²⁾	\$12.24	\$13.40	\$13.45	\$1.16	\$1.21
Passenger Revenue/Passenger ⁽³⁾		\$7.45	\$7.39	\$7.07	\$0.06	\$0.38
		<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 ⁽¹⁾	49.7%	47.5%	49.2%	2.2%	0.5%
	Adjusted ⁽²⁾	61.8%	58.4%	60.0%	3.4%	1.8%
Cost Per Passenger						
	Standard ⁽¹⁾	\$14.25	\$14.90	\$14.39	\$0.65	\$0.14
	Adjusted ⁽²⁾	\$12.16	\$12.84	\$12.43	\$0.68	\$0.27
Passenger Revenue/Passenger ⁽³⁾		\$7.09	\$7.07	\$7.09	\$0.02	\$0.00

(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

MTA LONG ISLAND RAIL ROAD

MONTHLY RIDERSHIP REPORT

SEPTEMBER 2012

SEPTEMBER 2012 RIDERSHIP AND REVENUE REPORT MTA LONG ISLAND RAIL ROAD EXECUTIVE SUMMARY

September

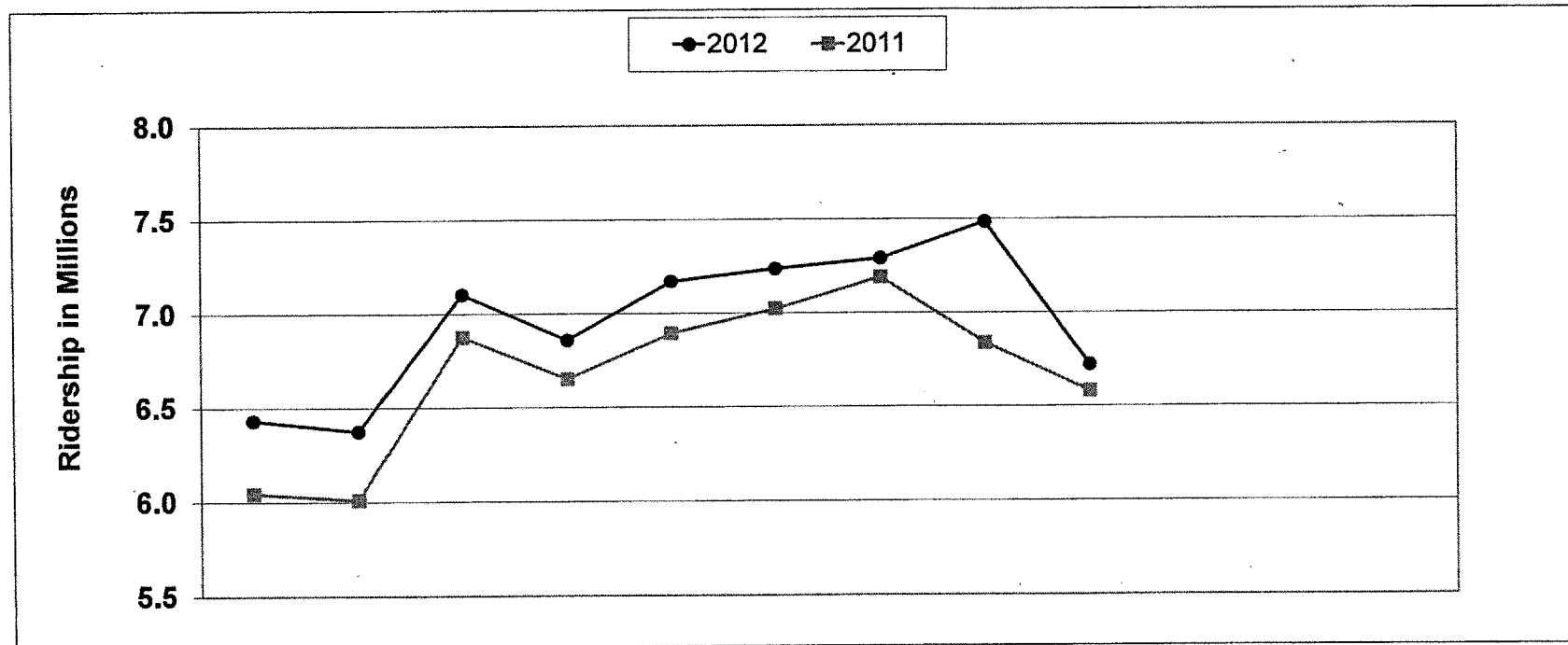
- September 2012 total ridership was 6.7 million vs. 6.6 million in September 2011, an increase of 140,186 passengers, or a 2.1% increase compared to September 2011.
- September 2012 commutation ridership was 3.7 million vs. 3.6 million in September 2011, an increase of 98,044 passengers, or an increase of 2.7%.
- September 2012 non-commutation ridership was 3.0 million vs. 2.9 million in September 2011, an increase of 42,142 passengers, or an increase of 1.4%.
- September 2012 revenue was \$49.9 million vs. \$48.5 million, an increase of \$1,379,515 or an increase of 2.8% compared to September 2011.

Year-To-Date

- 2012 YTD total ridership was 62.7 million vs. 60.1 million in 2011, an increase of 2,565,066 or a 4.3% increase compared to 2011, and 0.4% above mid-year forecast.
- 2012 YTD commutation ridership was 36.1 million vs. 35.0 million in 2011, an increase of 1,072,921 or a 3.1% increase compared to 2011, and 0.1% above mid-year forecast.
- 2012 YTD non-commutation ridership was 26.6 million vs. 25.1 million in 2011, an increase of 1,492,145 or an increase of 5.9% compared to 2011, and 0.7% above mid-year forecast.
- 2012 YTD revenue was \$442.2 million vs. \$424.0 million in 2011, an increase of \$18,139,427 or an increase of 4.3% compared to 2011 and 0.6% above mid-year forecast.

SEPTEMBER RIDERSHIP

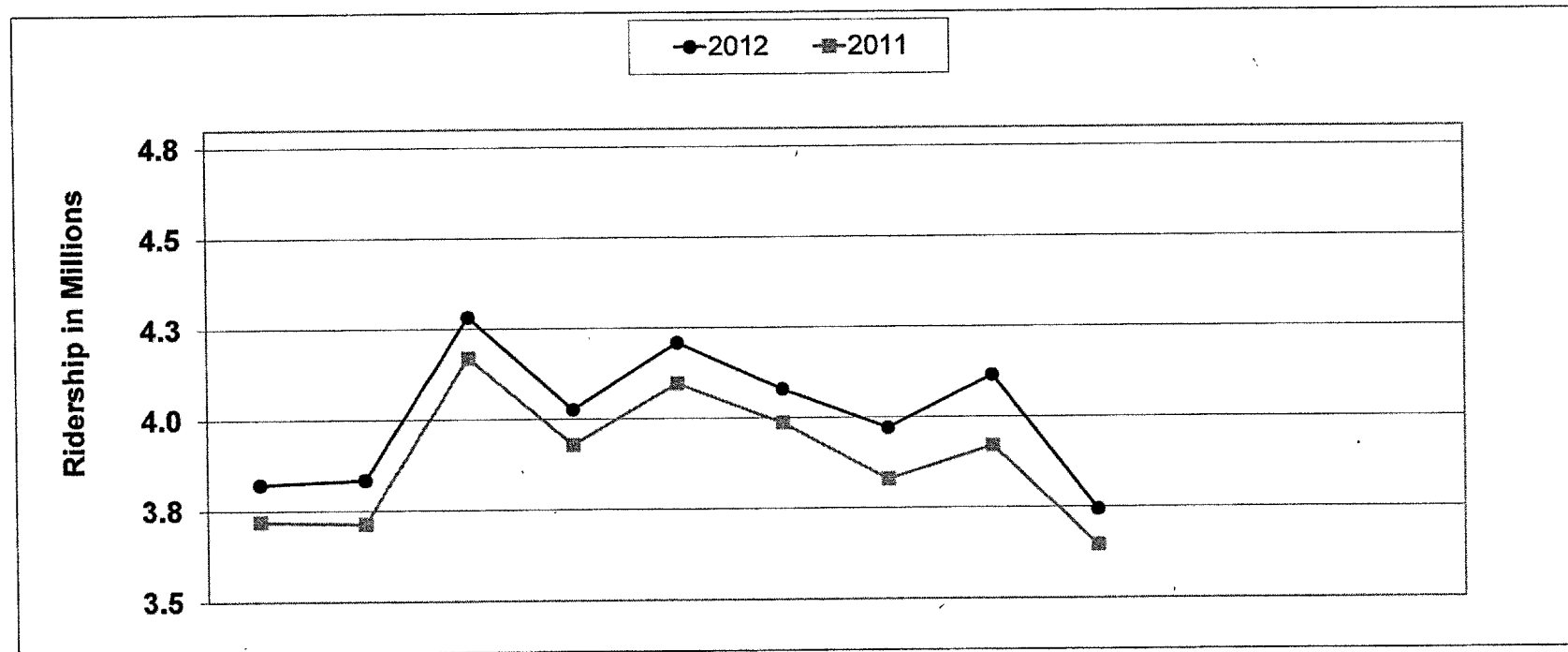
- September's Total Ridership was 2.1% above '11 and 0.7% above Mid-Year Forecast.



	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	6.7				62.7
2011	6.0	6.0	6.9	6.7	6.9	7.0	7.2	6.8	6.6				60.1
PCT CHG.	6.4%	6.1%	3.3%	3.1%	4.0%	3.0%	1.4%	9.4%	2.1%				4.3%

SEPTEMBER COMMUTATION RIDERSHIP

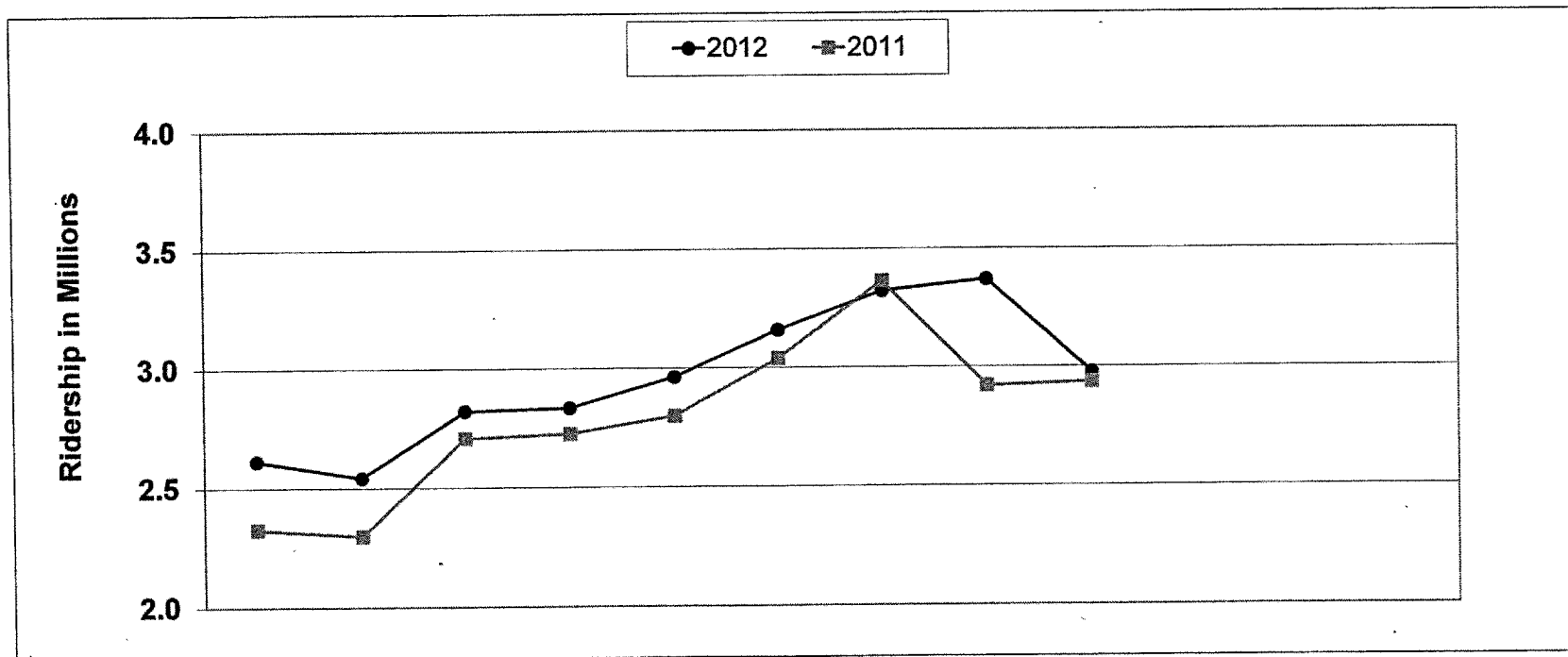
- September's Commutation Ridership was 2.7% above '11 and 1.0% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	3.8	3.8	4.3	4.0	4.2	4.1	4.0	4.1	3.7				36.1
2011	3.7	3.7	4.2	3.9	4.1	4.0	3.8	3.9	3.6				35.0
PCT CHG.	2.8%	3.2%	2.7%	2.5%	2.8%	2.3%	3.7%	5.0%	2.7%				3.1%

SEPTEMBER NON-COMMUTATION RIDERSHIP

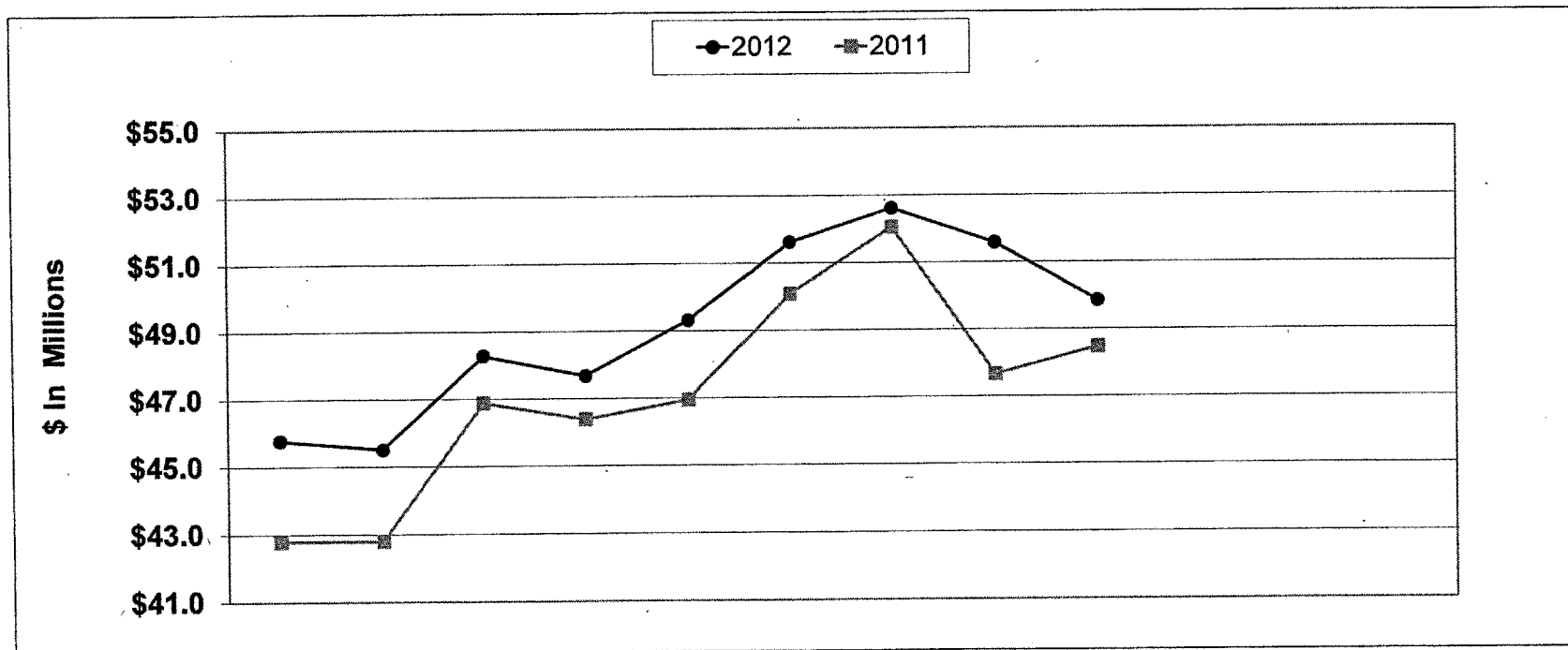
- September's Non-Commutation Ridership was 1.4% above '11 and 0.4% above Mid-Year Forecast.



	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	2.6	2.5	2.8	2.8	3.0	3.2	3.3	3.4	3.0				26.6
2011	2.3	2.3	2.7	2.7	2.8	3.0	3.4	2.9	2.9				25.1
PCT CHG.	12.3%	10.6%	4.2%	4.0%	5.8%	4.0%	-1.3%	15.4%	1.4%				5.9%

SEPTEMBER REVENUE

- September's Total Revenue was 2.8% above '11 and 1.5% above Mid-Year Forecast.



	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	\$49.8				\$442.2
2011	\$42.8	\$42.8	\$46.9	\$46.4	\$46.9	\$50.1	\$52.1	\$47.7	\$48.5				\$424.0
PCT CHG.	7.0%	6.4%	3.0%	2.8%	5.0%	3.1%	1.1%	8.2%	2.8%				4.3%

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

TICKET TYPE/SERVICE	SEPTEMBER 2012	SEPTEMBER 2011	CHANGE VS. 2011	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	3,743,250	3,645,206	98,044	2.7%
NON-COMMUTATION RIDERSHIP	2,975,998	2,933,856	42,142	1.4%
TOTAL RIDERSHIP	6,719,248	6,579,062	140,186	2.1%

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

TICKET TYPE/SERVICE	SEPTEMBER 2012	SEPTEMBER 2011	CHANGE VS. 2011	
			NUMBER	PERCENT
COMMUTATION RIDERSHIP	36,075,700	35,002,779	1,072,921	3.1%
NON-COMMUTATION RIDERSHIP	26,589,474	25,097,329	1,492,145	5.9%
TOTAL RIDERSHIP	62,665,174	60,100,108	2,565,066	4.3%

* 2011 ridership numbers were adjusted using 2012 factors.

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

REVENUE	SEPTEMBER 2012	SEPTEMBER 2011	CHANGE VS. 2011	
			AMOUNT	PERCENT
COMMUTATION REVENUE	\$25,809,136	\$24,936,804	\$872,332	3.5%
NON-COMMUTATION REVENUE	\$24,040,848	\$23,533,664	\$507,183	2.2%
TOTAL REVENUE	\$49,849,983	\$48,470,468	\$1,379,515	2.8%

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

REVENUE	SEPTEMBER 2012	SEPTEMBER 2011	CHANGE VS. 2011	
			AMOUNT	PERCENT
COMMUTATION REVENUE	228,940,582.42	\$222,570,006	\$6,370,576	2.9%
NON-COMMUTATION REVENUE	213,220,489.49	\$201,451,639	\$11,768,851	5.8%
TOTAL REVENUE	\$442,161,072	\$424,021,645	\$18,139,427	4.3%



Long Island Rail Road

CAPITAL PROGRAM REPORT

SEPTEMBER 2012

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

PN-AA: SUBSTATION REPLACEMENT

Project Budget: \$25.52M

Milestone: Construction Start

A Contract for the Replacement of Hillside and Kew Gardens Substations was awarded to Myers Controlled Power LLC for \$11,471,450 on October 4. The existing buildings and equipment will be replaced with new prefabricated modular substation buildings housing pre-installed AC and DC switchgear, rectifiers, control cabinets, and associated equipment. Project Beneficial Use is planned for the last quarter 2014.

PN-V4: ESCALATOR REPLACEMENT PROGRAM

Project Budget: \$9.70M

Milestone: Design Start

A Design Contract for the Replacement of Six Escalators and associated equipment at Rockville Centre, Baldwin, Freeport, Amityville, Copiague, and Lindenhurst on the Babylon Branch was awarded to AECOM for \$310,831 on October 12. The escalators will be replaced with new all-weather heavy duty equipped with safety enhancements that measure horizontal impact / forces applied to comb plates at the top and bottom of the equipment, sense handrail speed variations, and provide remote monitoring capability. Design Completion is planned for Spring 2013.

PN-BF: NOSTRAND AVENUE STATION [ATLANTIC AVENUE VIADUCT PHASE 2B]

Project Budget: \$46.80M

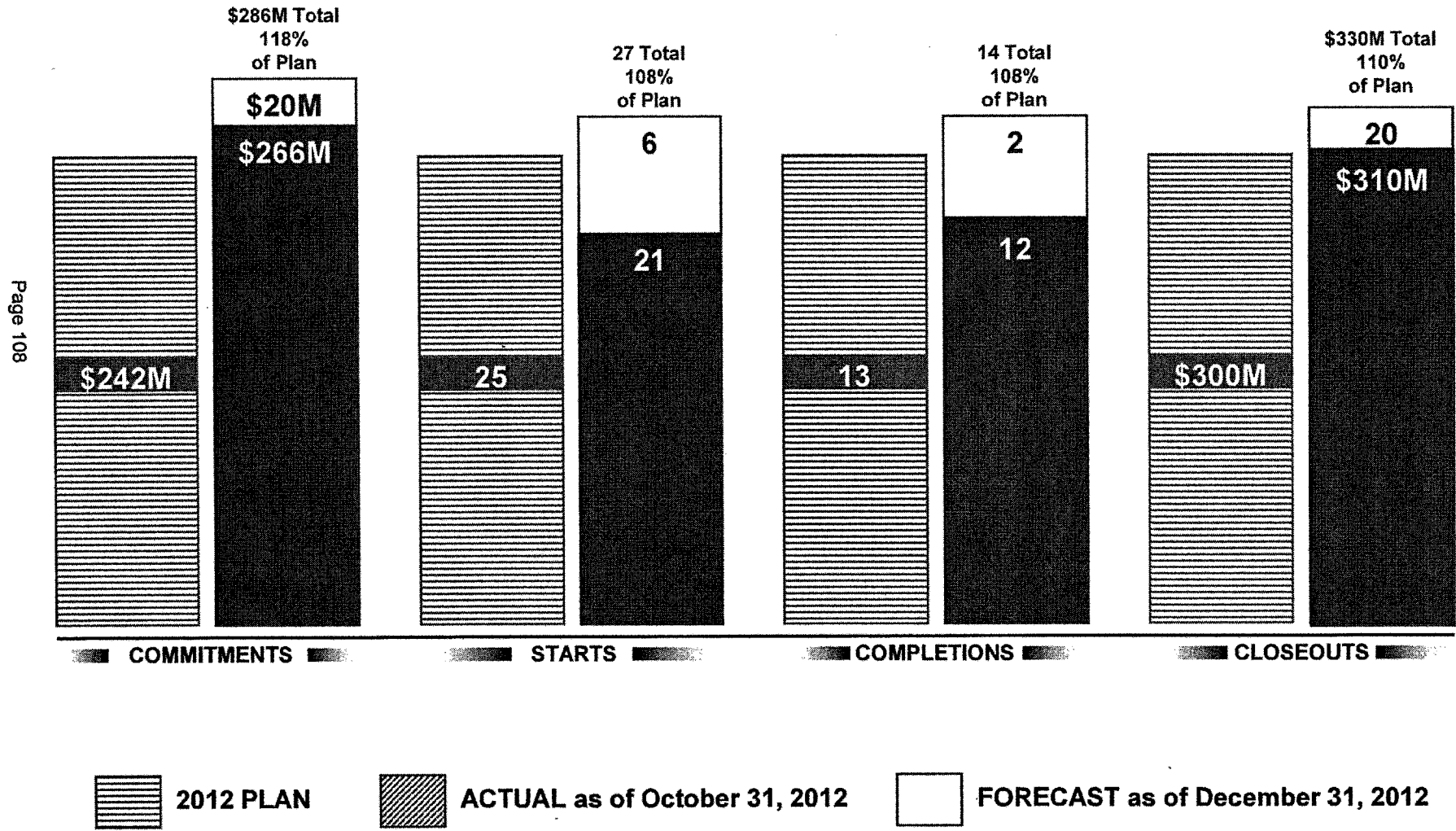
Milestone: Design Start

A Design Contract for the Rehabilitation of Nostrand Avenue Station on the Atlantic Branch was awarded to Henningson, Durham, & Richardson Architecture & Engineering, P.C. for \$405,218 on October 25. The station work will include rehabilitation and replacement of platforms, railings, canopies, stairs, handrails, lighting, signage, and electrical and communication systems. Design Completion is planned for the 1st quarter 2014.

MENTORING ACTIVITIES

- Hillside Support Facility Platform Elevator Replacements: South elevator work commenced.
- Richmond Hill Sheridan Shop Roof Replacement: Contractor mobilized. Work commenced.
- Richmond Hill Storage Facility Fitout: Work continued.
- Massapequa Bridge Painting: Contractor mobilized. Work in progress.
- HVAC Replacement West Side Yard: Submittal review in progress.

2012 LIRR Capital Program Goals





Metro-North Railroad

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



Metro-North Railroad



MONTHLY OPERATING REPORT

November 2012

Performance Summary			2012 Data			2011 Data	
			Annual Goal	October	YTD thru October	October	YTD thru October
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	System	Overall	97.8%	97.8%	97.7%	95.8%	96.6%
		AM Peak	97.0%	97.1%	97.9%	94.4%	95.5%
		AM Reverse Peak	97.6%	98.3%	98.2%	95.3%	96.2%
		PM Peak	98.0%	97.7%	97.2%	97.6%	96.6%
		Total Peak		97.5%	97.6%	95.8%	96.0%
		Off Peak Weekday	97.9%	98.2%	97.4%	97.7%	97.2%
		Weekend	97.9%	97.5%	98.2%	92.3%	96.8%
	Hudson Line	Overall	98.2%	98.7%	98.1%	97.8%	97.9%
		AM Peak	98.0%	99.2%	99.1%	96.9%	97.4%
		AM Reverse Peak	98.5%	99.5%	98.3%	99.5%	98.3%
		PM Peak	98.4%	99.0%	97.9%	98.5%	98.4%
		Total Peak		99.2%	98.5%	97.9%	97.9%
		Off Peak Weekday	98.1%	98.8%	97.8%	99.0%	98.2%
		Weekend	98.2%	97.4%	97.9%	95.8%	97.5%
	Harlem Line	Overall	98.3%	98.3%	98.2%	95.6%	97.6%
		AM Peak	98.0%	98.3%	98.4%	93.7%	97.0%
		AM Reverse Peak	98.0%	99.4%	98.6%	92.1%	97.1%
		PM Peak	98.5%	98.9%	98.1%	98.0%	97.6%
		Total Peak		98.7%	98.3%	95.1%	97.3%
		Off Peak Weekday	98.4%	98.4%	98.0%	97.8%	98.0%
		Weekend	98.5%	97.2%	98.6%	92.2%	97.6%
	New Haven Line	Overall	97.2%	96.9%	97.0%	94.8%	95.2%
		AM Peak	95.7%	95.0%	96.8%	93.4%	93.0%
		AM Reverse Peak	96.8%	96.6%	97.7%	96.3%	94.2%
		PM Peak	97.5%	96.0%	96.0%	96.6%	94.7%
		Total Peak		95.6%	96.6%	95.1%	93.8%
		Off Peak Weekday	97.5%	97.8%	96.8%	97.0%	96.1%
		Weekend	97.4%	97.7%	98.1%	90.1%	95.7%
Operating Statistics				16,704	177,126	17,781	173,426
Trains Scheduled							
Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>				14.0	15.0	17.5	15.6
Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>			1,000	80	1,034	179	1,582
Trains Canceled			160	6	168	113	347
Trains Terminated			160	18	204	28	300
Percent of Scheduled Trips Completed			99.8%	99.9%	99.8%	99.2%	99.6%
Consist Compliance <i>(Percent of trains where the number of seats provided was greater than or equal to the required number of seats per loading standards)</i>	System	Overall	98.6%	99.9%	99.8%	99.4%	98.8%
		AM Peak	97.7%	99.8%	99.6%	98.6%	97.9%
		AM Reverse Peak	97.7%	100.0%	99.9%	99.5%	99.0%
		PM Peak	97.3%	99.9%	99.8%	98.7%	97.7%
		Total Peak		99.9%	99.7%	98.7%	98.0%
		Off Peak Weekday	99.3%	99.9%	99.9%	99.8%	99.4%
		Weekend	99.3%	99.8%	99.8%	99.7%	99.5%
	Hudson Line	AM Peak	99.0%	99.9%	99.9%	99.9%	99.8%
		PM Peak	99.0%	99.8%	99.9%	99.9%	99.7%
	Harlem Line	AM Peak	99.0%	99.9%	99.9%	99.5%	99.6%
		PM Peak	99.0%	99.9%	99.9%	99.8%	99.3%
	New Haven Line	AM Peak	96.0%	99.6%	99.1%	97.0%	95.0%
		PM Peak	95.0%	100.0%	99.7%	97.1%	95.2%

Categories of Delay
Train Delay Incidents Resulting in Late Trains.

(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.)

	2012 Data			2011 Data	
	September	October	YTD thru October	October	YTD thru October
Maintenance of Way	103	77	1506	219	1724
Capital Projects	11	14	210	32	137
Maintenance of Equipment	165	139	1291	170	1850
Operations Services	19	8	162	18	183
Police Incidents	21	66	428	22	412
Other	11	14	210	16	397
Customers	31	72	436	38	371
3rd Party Operations <i>(Other railroads, marine traffic, etc.)</i>	0	0	32	45	283
Weather and Environmental	262	43	718	316	1592

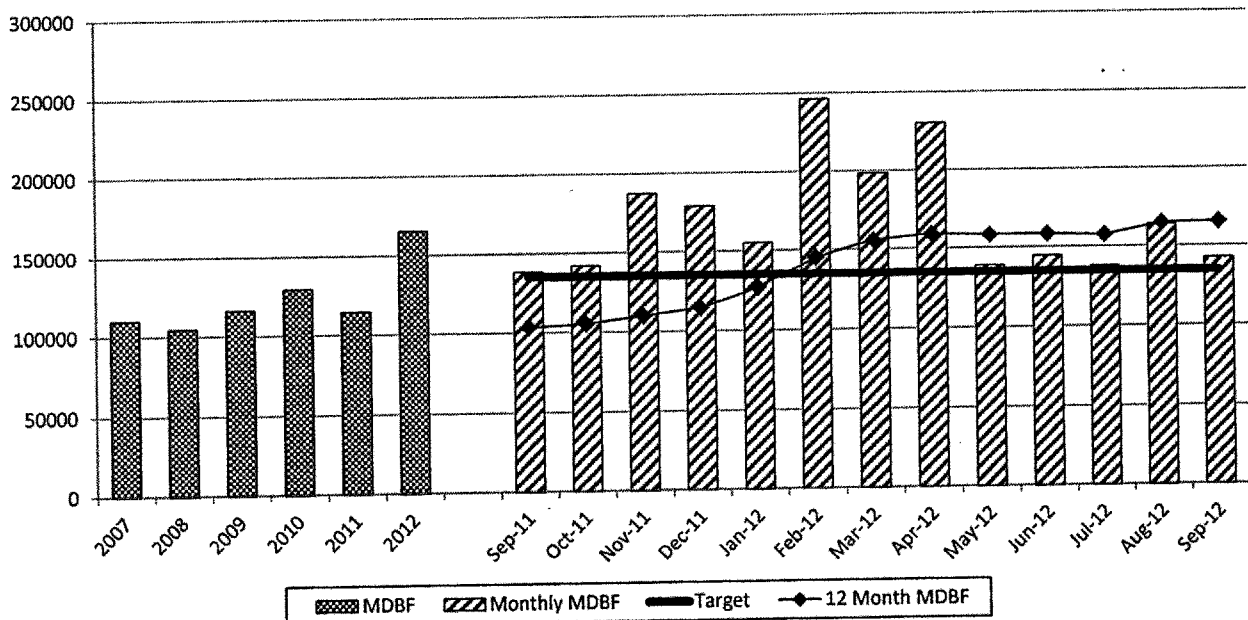
EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) OR TERMINATED (T) TRAINS

Date	Day	DESCRIPTION OF EVENT	Number of Late Trains															TOTAL		
			AM Peak			AM Reverse			PM Peak			Off Peak			Weekend			Late	Cxd	Term
			L	C	T	L	C	T	L	C	T	L	C	T	L	C	T			
10/17	Wed	Deadhead train 1059 struck a trespasser on track 3 at cat 287, east of Greenwich, causing delays on the New Haven line.	0	0	0	0	0	0	17	0	2	13	2	0	0	0	0	30	2	2
10/20	Sat	138th Street Bridge was open.	0	0	0	0	0	0	0	0	0	0	0	0	16	0	0	16	0	0
TOTAL FOR MONTH			0	0	0	0	0	0	17	0	2	13	2	0	16	0	0	46	2	2
																		50		

	Equip- ment Type	Total Fleet Size	2012 Data						2011 Data		
			MDBF Goal (miles)	Sep MDBF (miles)	Primary Failure Goal	Sep No. of Primary Failures	YTD MDBF thru Sep (miles)	12 month MDBF Rolling Avg (miles)	Sep MDBF (miles)	Sep No. of Primary Failures	YTD MDBF thru Sep (miles)
Mean Distance Between Failures	M2	198	80,000	113,098	10	8	121,390	119,415	71,050	21	58,832
	M4/M6	102	60,000	62,911	7	7	84,633	81,041	55,139	9	38,452
	M8	138	200,000	85,219	5	11	121,388	125,282	175,532	1	124,507
	M3	140	120,000	250,654	3	1	622,823	555,115	283,533	0	210,360
	M7	336	440,000	897,703	4	2	640,511	649,223	356,323	5	587,006
	Coach	213	290,000	433,523	5	3	361,163	398,969	270,424	5	316,695
	P-32	31	35,000	25,270	5	7	35,234	33,825	192,710	1	37,181
	BL-20	12	12,000	14,146	3	2	10,035	10,726	25,342	0	9,278
	Fleet	1170	135,000	142,302	42	41	165,077	165,551	138,075	42	103,089
	M2/4/6/8		100,000	87,791	22	26	110,943	109,011	69,801	31	53,341
	M3/7		300,000	682,020	7	3	638,153	635,107	413,029	5	471,115
	Diesel/Coach		120,000	125,479	13	12	129,562	134,596	261,696	6	128,853

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



West of Hudson Performance Summary			2012 Data			2011 Data	
			Annual Goal	October	YTD thru October	October	YTD thru October
On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i>	West of Hudson Total	Overall	96.4%	97.5%	97.4%	97.0%	96.3%
		AM Peak	97.3%	98.9%	97.9%	98.3%	96.1%
		PM Peak	96.8%	97.7%	97.9%	100.0%	95.9%
		Total Peak		98.3%	97.9%	99.0%	96.0%
		Off Peak Weekday	95.9%	97.3%	97.3%	96.8%	96.3%
		Weekend	95.9%	96.7%	96.6%	92.9%	96.5%
	Pascack Line	Overall	97.0%	98.4%	98.3%	96.7%	97.4%
	Valley Line	AM Peak	98.0%	100.0%	98.8%	97.9%	98.2%
		PM Peak	97.5%	99.3%	98.6%	100.0%	97.2%
		Total Peak		99.7%	98.7%	98.8%	97.8%
		Off Peak Weekday	96.5%	98.6%	98.2%	97.2%	97.2%
		Weekend	96.5%	95.8%	97.8%	92.9%	97.2%
	Port Jervis Line	Overall	95.5%	96.4%	96.1%	97.8%	94.4%
		AM Peak	96.0%	97.5%	96.7%	99.0%	92.6%
		PM Peak	96.0%	95.8%	97.2%	100.0%	94.6%
		Total Peak		96.7%	96.9%	99.5%	93.7%
		Off Peak Weekday	95.0%	95.4%	96.1%	95.8%	94.8%
		Weekend	95.0%	98.2%	94.6%		95.1%
Operating Statistics				1,544	16,347	1,332	15,412
Trains Scheduled							
Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small>				18.2	20.1	28.7	19.5
Trains Over 15 min. Late <small>excluding trains canceled or terminated</small>			80	11	165	19	237
Trains Canceled				0	14	6	26
Trains Terminated				5	46	2	45
Percent of Scheduled Trips Completed			99.8%	99.7%	99.6%	99.4%	99.5%

OCTOBER 2012 STANDEE REPORT

East of Hudson

East of Hudson			OCT ** 2011	YTD 2011	OCT 2012	YTD 2012
Daily Average AM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	3	2	0	0
		Total Standees	3	2	0	0
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	0	6	0	4
		Total Standees	0	6	0	4
	New Haven Line	Program Standees	0	65 *	0	0
		Add'l Standees	23	114	10	18
		Total Standees	23	179	10	18
	EAST OF HUDSON TOTAL - AM PEAK		26	187	10	22
Daily Average PM Peak	Hudson Line	Program Standees	0	0	0	0
		Add'l Standees	3	2	0	0
		Total Standees	3	2	0	0
	Harlem Line	Program Standees	0	0	0	0
		Add'l Standees	6	9	0	1
		Total Standees	6	9	0	1
	New Haven Line	Program Standees	0	73 *	0	0
		Add'l Standees	75	115	0	8
		Total Standees	75	188	0	8
	EAST OF HUDSON TOTAL - PM PEAK		84	199	0	9

West of Hudson

West of Hudson			OCT ** 2011	YTD 2011	OCT 2012	YTD 2012
Daily Average AM Peak	Port Jervis Line	Program Standees	NA	0	0	0
		Add'l Standees	NA	0	0	1
		Total Standees	NA	0	0	1
	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	WEST OF HUDSON TOTAL - AM PEAK		0	0	0	1
Daily Average PM Peak	Port Jervis Line	Program Standees	NA	0	0	0
		Add'l Standees	NA	0	0	0
		Total Standees	NA	0	0	0
	Pascack Valley Line	Program Standees	0	0	0	0
		Add'l Standees	0	0	0	0
		Total Standees	0	0	0	0
	WEST OF HUDSON TOTAL - PM PEAK		0	0	0	0

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.

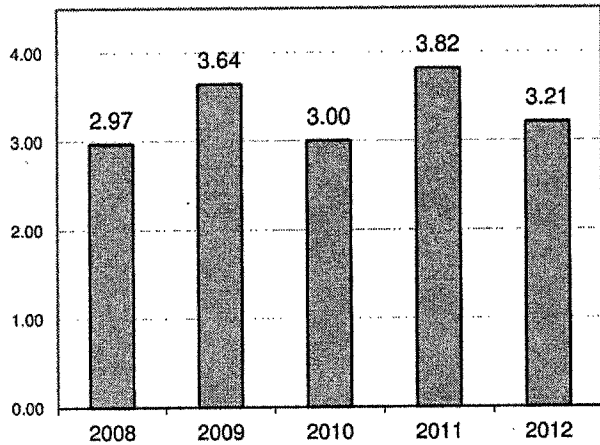
** Data through October 21, 2011.

NA - Port Jervis Line train service was suspended due to extensive damage from Tropical Storm Irene. 2012 data includes through October 26 (prior to Hurricane Sandy).

Operations Planning and Analysis/pbb

MTA Metro-North Railroad

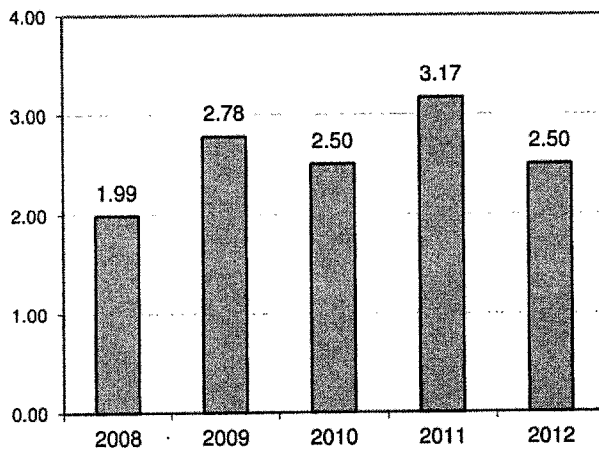
Summary of Employee Injuries thru September



Total Employee Injuries

Year	Total	Total FI*
2008	140	2.97
2009	174	3.64
2010	139	3.00
2011	178	3.82
2012	150	3.21

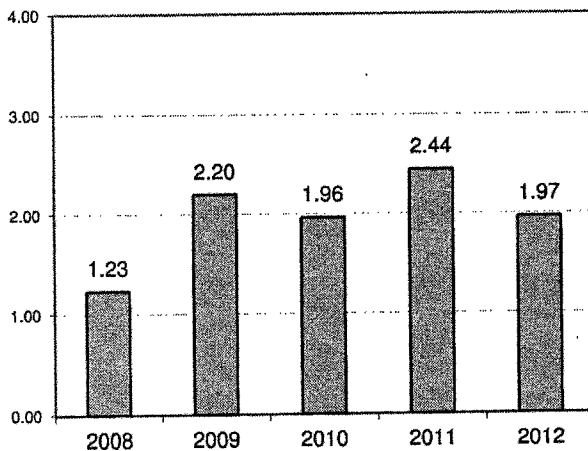
% change from last year: -15.9%
2012 Total FI Goal 2.90



Employee FRA Reportable Injuries

Year	Total	FRA FI*
2008	94	1.99
2009	133	2.78
2010	116	2.50
2011	148	3.17
2012	117	2.50

% change from last year: -21.1%
2012 FRA FI Goal 2.50



Employee Lost Time and Restricted Duty Injuries

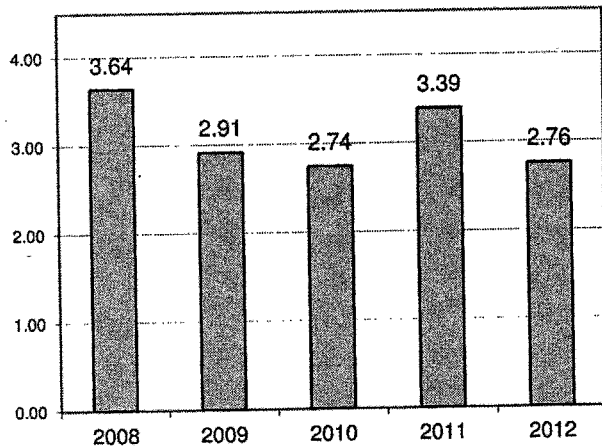
Year	LT	RD	LT FI*	RD FI*	LT&RD FI*
2008	38	20	0.81	0.42	1.23
2009	93	12	1.95	0.25	2.20
2010	74	17	1.60	0.37	1.96
2011	88	26	1.89	0.56	2.44
2012	85	7	1.82	0.15	1.97

% change from last year: -19.5%
2012 LT&RD FI Goal 2.00

* - Injuries per 200,000 hours worked

MTA Metro-North Railroad

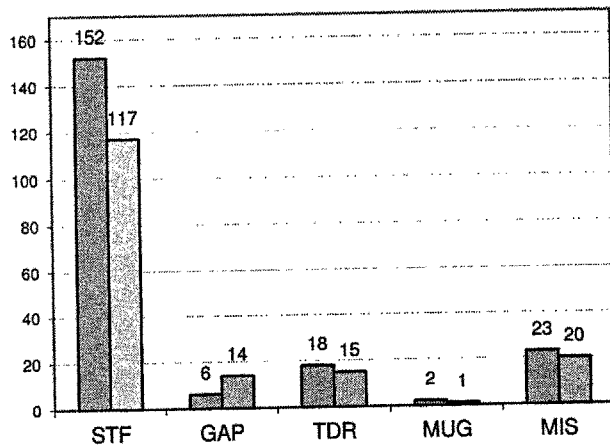
Summary of Customer/Contractor Injuries thru September



Total Customer Injuries

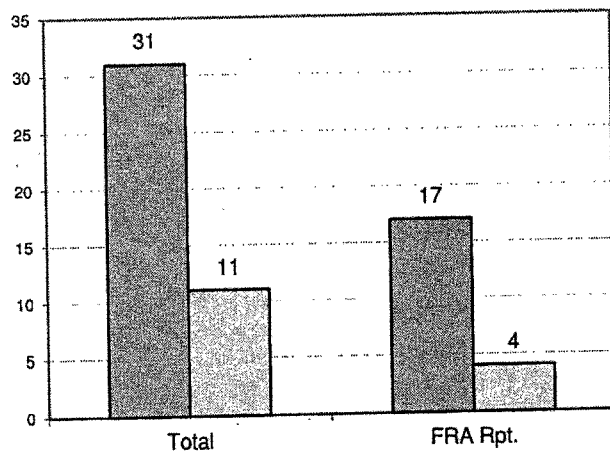
Year	Total	Total FI*
2008	221	3.64
2009	169	2.91
2010	161	2.74
2011	201	3.39
2012	170	2.76

% change from last year: -18.5%
2012 Total FI Goal 2.70



Top 5 Customer Injuries by Type

Year	Slip/Trip/Fall	Gap	Train Doors	Mugging	Misc.
2011	152	6	18	2	23
2012	117	14	15	1	20



Contractor Injuries

Year	Total	FRA Rpt.
2011	31	17
2012	11	4
% Chg	-64.5%	-76.5%

* - Injuries per 1,000,000 rides



Metro-North Railroad

**Financial and Ridership Report
November 2012**



FINANCIAL STATEMENTS
MONTH ENDED: SEPTEMBER 2012

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

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

Overall September year-to-date financial results were favorable vs. the Mid-Year Forecast. Total operating revenue was 0.2% favorable due to higher GCT non-passenger revenue (higher advertising revenue from digital displays and lower service costs made on behalf of retail tenants) partly offset by lower farebox revenue. Operating expenses were 2.7% lower than the Mid-Year Forecast. This was due to a number of items: timing of non-payroll service expenditures; continued control of overtime; lower energy costs; lower West of Hudson NJT subsidy payments, as well as improved material usage requirements due to on-going cost control efforts. Capital program expenditures (and reimbursements) were \$21.0 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 projects, reduced Metro-North subsidy requirements from both the MTA and CDOT.

Ridership

Total ridership was 6.8 million for September and 62.9 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 September ridership of 6.6 million was 1.4% lower than the Mid-Year Forecast and 1.6% higher than 2011.
- September year-to-date ridership was 61.6 million, or 0.7% lower than the Mid-Year Forecast and 3.6% above last year.
- Commutation ridership was 1.3% lower than the Mid-Year Forecast for the month, and 0.5% lower year-to-date. Compared to 2011, year-to-date commutation ridership was 2.3% higher.
- Non-commutation ridership for September was 1.5% lower than the Mid-Year Forecast and 2.7% above last year; year-to-date was 1.1% lower than the Mid-Year Forecast and 5.5% higher than 2011.

West of Hudson

- September year-to-date ridership was 2.6% lower than the Mid-Year Forecast and 3.8% lower than 2011 due to 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 \$609.6 million through September was \$20.2 million, or 3.2% lower than the Mid-Year Forecast:

- Fare Box Revenue of \$441.0 million was \$2.5 million lower than the Mid-Year Forecast due to lower ridership.
- Other Operating Revenue of \$37.9 million was \$3.4 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 \$130.7 million was \$21.0 million lower than the Mid-Year Forecast due to scheduling changes in a number of projects, the most significant of which were West Haven Station, Various Track Programs, Main Line High Speed Turnout, Cos Cob West Substation, and NHL Waterbury Branch CWR Replacement.

Expenses

Total non-reimbursable and reimbursable expenses of \$1,059.9 million through September were \$47.2 million lower than the Mid-Year Forecast.

- \$40.1 million was attributable schedule changes in locomotive overhauls; lower material usage resulting from the combined effect of the new M-8 cars as well as improved costs from continued strategic procurement efforts; lower West of Hudson NJT subsidy; and timing differences in expenditures for capital projects.
- Total Labor costs (operating and capital) were \$6.6 million (1.1%) below the Mid-Year Forecast.

Financial Performance Measures

- Adjusted Farebox Operating Ratio of 70.5% for September year-to-date was 2.8 percentage points better than the Mid-Year Forecast due to lower expenses.
- Adjusted Cost per Passenger of \$11.24 for the period was \$0.38 lower than the Mid-Year Forecast due to lower expenses.
- Revenue per Passenger of \$7.25 for the period was \$0.02 higher than the Mid-Year Forecast.

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

REVENUE

Total Revenue and Reimbursements – September year-to-date is \$609.6 million which is \$20.2 million (3.2%) lower than the Mid-Year Forecast.

- **Farebox Revenue** of \$441.0 million was \$2.5 million (0.6%) lower than the Mid-Year Forecast due to lower commutation and non-commutation ridership, primarily on the New Haven Line. For the month of September, fare-box revenue was \$0.7 million (1.4%) lower than the Mid-Year Forecast.
- **Other Operating Revenue** – year-to-date and month were higher than the Mid-Year Forecast by \$3.4 million (9.8%), and \$0.2 million (4.2%), respectively, due to higher advertising revenue from GCT digital displays combined with higher GCT retail revenue due to lower tenant service costs.
- **Capital and Other Reimbursements** – Timing and scheduling changes versus Mid-Year Forecast resulted in actual year-to-date reimbursements \$21.0 million lower than the Mid-Year Forecast. Most of this was attributable to the following capital projects: West Haven Station, various Track Programs, Main Line High Speed Turnout, Cos Cob West Substation, and NHL Waterbury Branch Rail Replacement. For the month of September, Capital and Other Reimbursements were \$9.3 million lower than the Mid-Year Forecast.

EXPENSES

Total Expenses – Year-to-date non-reimbursable and reimbursable expense of \$1,059.9 million was \$47.2 million lower than the Mid-Year Forecast. For the month, total expenses were \$12.7 million or 9.9% lower than the Mid-Year Forecast.

- **Labor Expense** (including fringe and overhead recoveries) was \$587.4 million YTD. This was \$6.6 million (1.1%) lower than Mid-Year Forecast and \$1.8 million lower 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 the on-going efforts to reduce injuries and promote a safe work environment.
- **Non-Labor Expenses**
YTD non-labor expenses were \$256.8 million, \$40.1 million lower than the Mid-Year Forecast and \$10.1 million lower for the month.
 - **Electric Power** – \$4.4 million lower year-to-date and \$0.8 million lower for the month primarily due to a one-time credit of \$2.2 million in August for East Side Access electricity that was charged to GCT operating costs and lower traction power prices and consumption levels.
 - **Maintenance & Other Operating Contracts** – year-to-date expenses were \$75.6 million, \$10.8 million lower than the Mid-Year Forecast primarily due to rescheduled Genesis locomotive overhaul costs and lower expense for utilities. For the month, expenses were \$0.8 million lower than the Mid-Year Forecast.
 - **Professional Services** – \$22.4 million year-to-date expense was \$3.8 million lower vs. the Mid-Year Forecast mainly due to timing of audit, medical, legal, bridge inspection and IT service fees. For the month, expenses were \$0.9 million lower than the Mid-Year Forecast.
 - **Materials & Supplies** – \$59.7 million year-to-date expense was \$14.8 million below the Mid-Year Forecast due to timing differences in reimbursable capital project activity (\$10.2 million primarily in West Haven Station and 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 \$6.6 million lower than the Mid-Year Forecast.
 - **Other Business Expenses** – \$13.0 million, \$6.6 million lower than the Mid-Year Forecast primarily due to a lower than estimated settlement of 2011 subsidies to NJ Transit, due to reduced Port Jervis line service caused by Tropical Storm Irene. For the month, expenses were \$1.3 million lower than the Mid-Year Forecast.
- **Depreciation and Other Non Cash Liability Adjustments** – \$215.7 million in total which was \$0.5 million below the Mid-Year Forecast year-to-date due to favorable timing of depreciation expense and minimal payments for Environmental Remediation, offset by an increase of \$4.2 million for Other Post Employment Benefit (OPEB) obligation based on updated actuarial estimate. For the month, expenses were \$0.7 million lower than the Mid-Year Forecast.

CASH DEFICIT

Cash Deficit through September of \$152.3 million was \$72.8 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 work.

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

SCHEDULE 1 - 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
Revenue												
Farebox Revenue	\$50.030	\$49.332	(\$0.698)	(1.4)	\$0.000	\$0.000	\$0.000	-	\$50.030	\$49.332	(\$0.698)	(1.4)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	3.941	4.107	0.166	4.2	0.000	0.000	0.000	-	3.941	4.107	0.166	4.2
Capital & Other Reimbursements:												
MTA	0.000	0.000	0.000	-	10.034	6.036	(3.998)	(39.8)	10.034	6.036	(3.998)	(39.8)
CDOT	0.000	0.000	0.000	-	11.641	6.159	(5.482)	(47.1)	11.641	6.159	(5.482)	(47.1)
Other	0.000	0.000	0.000	-	0.649	0.864	0.215	33.2	0.649	0.864	0.215	33.2
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	22.324	13.059	(9.265)	(41.5)	22.324	13.059	(9.265)	(41.5)
Total Revenue/Receipts	\$53.971	\$53.439	(\$0.532)	(1.0)	\$22.324	\$13.059	(\$9.265)	(41.5)	\$76.295	\$66.498	(\$9.797)	(12.8)
Expenses												
Labor:												
Payroll	\$31.269	\$31.279	(\$0.010)	(0.0)	\$3.886	\$3.093	\$0.792	20.4	\$35.155	\$34.372	\$0.782	2.2
Overtime	4.372	4.139	0.233	5.3	1.456	1.509	(0.053)	(3.6)	5.828	5.648	0.180	3.1
Health and Welfare	6.189	6.048	0.141	2.3	1.096	0.928	0.168	15.3	7.285	6.977	0.309	4.2
OPEB Current Payment	1.494	1.579	(0.084)	(5.7)	0.000	0.000	0.000	-	1.494	1.579	(0.084)	(5.7)
Pensions	5.209	5.184	0.025	0.5	0.725	0.535	0.190	26.2	5.934	5.719	0.215	3.6
Other Fringe Benefits	7.378	6.901	0.477	6.5	0.904	0.857	0.047	5.2	8.282	7.758	0.524	6.3
Reimbursable Overhead	(3.617)	(2.842)	(0.775)	(21.4)	3.570	2.895	0.674	18.9	(0.048)	0.054	(0.101)	-
Total Labor	\$52.295	\$52.289	\$0.006	0.0	\$11.636	\$9.818	\$1.818	15.6	\$63.931	\$62.107	\$1.825	2.9
Non-Labor:												
Electric Power	\$6.706	\$5.911	\$0.796	11.9	\$0.000	\$0.043	(\$0.043)	-	\$6.706	\$5.953	\$0.753	11.2
Fuel	2.183	2.278	(0.094)	(4.3)	0.000	0.000	(0.000)	-	2.183	2.278	(0.095)	(4.3)
Insurance	0.935	0.914	0.021	2.2	0.388	0.327	0.061	15.6	1.323	1.242	0.082	6.2
Claims	0.063	0.289	(0.226)	-	0.000	0.000	0.000	-	0.063	0.289	(0.226)	-
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	8.048	8.277	(0.229)	(2.8)	1.665	0.680	0.985	59.1	9.713	8.958	0.755	7.8
Professional Service Contracts	2.169	1.754	0.415	19.1	0.545	0.043	0.502	92.2	2.714	1.796	0.918	33.8
Materials & Supplies	6.224	5.417	0.807	13.0	7.781	1.978	5.803	74.6	14.005	7.395	6.609	47.2
Other Business Expenses	1.821	0.633	1.188	65.2	0.309	0.170	0.139	45.0	2.129	0.803	1.326	62.3
Total Non-Labor	\$28.150	\$25.473	\$2.677	9.5	\$10.688	\$3.241	\$7.447	69.7	\$38.837	\$28.714	\$10.124	26.1
Other Adjustments:												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$80.445	\$77.761	\$2.683	3.3	\$22.324	\$13.059	\$9.265	41.5	\$102.769	\$90.820	\$11.948	11.6
Depreciation	18.432	18.978	(0.546)	(3.0)	0.000	0.000	0.000	-	18.432	18.978	(0.546)	(3.0)
OPEB Obligation	5.000	4.679	0.321	6.4	0.000	0.000	0.000	-	5.000	4.679	0.321	6.4
Environmental Remediation	1.214	0.287	0.926	76.3	0.000	0.000	0.000	-	1.214	0.287	0.926	76.3
Total Expenses	\$105.090	\$101.706	\$3.384	3.2	\$22.324	\$13.059	\$9.265	41.5	\$127.414	\$114.765	\$12.649	9.9
Net Surplus/(Deficit)	(\$51.119)	(\$48.268)	\$2.852	5.6	\$0.000	\$0.000	\$0.000	-	(\$51.119)	(\$48.268)	\$2.852	5.6
Cash Conversion Adjustments:												
Depreciation	18.432	18.978	0.546	3.0	0.000	0.000	0.000	-	18.432	18.978	0.546	3.0
Operating/Capital	(2.954)	(1.386)	1.568	53.1	0.000	0.000	0.000	-	(2.954)	(1.386)	1.568	53.1
Other Cash Adjustments	(6.197)	23.068	29.265	-	0.000	0.000	0.000	-	(6.197)	23.068	29.265	-
Total Cash Conversion Adjustments	\$9.281	\$40.661	\$31.379	-	\$0.000	\$0.000	\$0.000	-	\$9.281	\$40.661	\$31.379	-
Net Cash Surplus/(Deficit)	(\$41.838)	(\$7.607)	\$34.231	81.8	\$0.000	\$0.000	\$0.000	-	(\$41.838)	(\$7.607)	\$34.231	81.8

-- 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
September 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
Revenue												
Farebox Revenue	\$443.519	\$441.033	(\$2.486)	(0.6)	\$0.000	\$0.000	\$0.000	-	\$443.519	\$441.033	(\$2.486)	(0.6)
Vehicle Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	34.498	37.884	3.385	9.8	0.000	0.000	0.000	-	34.498	37.884	3.385	9.8
<i>Capital & Other Reimbursements:</i>												
MTA	0.000	0.000	0.000	-	76.950	65.126	(11.824)	(15.4)	76.950	65.126	(11.824)	(15.4)
CDOT	0.000	0.000	0.000	-	67.657	57.296	(10.361)	(15.3)	67.657	57.296	(10.361)	(15.3)
Other	0.000	0.000	0.000	-	7.163	8.299	1.136	15.9	7.163	8.299	1.136	15.9
Total Capital and Other Reimbursements	0.000	0.000	0.000	-	151.770	130.720	(21.049)	(13.9)	151.770	130.720	(21.049)	(13.9)
Total Revenue/Receipts	\$478.017	\$478.916	\$0.899	0.2	\$151.770	\$130.720	(\$21.049)	(13.9)	\$629.787	\$609.637	(\$20.150)	(3.2)
Expenses												
<i>Labor:</i>												
Payroll	\$295.290	\$295.571	(\$0.282)	(0.1)	\$34.049	\$30.439	\$3.611	10.6	\$329.339	\$326.010	\$3.329	1.0
Overtime	38.071	37.805	0.265	0.7	13.082	13.999	(0.916)	(7.0)	51.153	51.804	(0.651)	(1.3)
Health and Welfare	59.354	58.284	1.071	1.8	9.688	9.088	0.601	6.2	69.043	67.371	1.672	2.4
OPEB Current Payment	13.517	14.043	(0.526)	(3.9)	0.000	0.000	0.000	-	13.517	14.043	(0.526)	(3.9)
Pensions	49.237	48.907	0.330	0.7	6.093	5.214	0.879	14.4	55.330	54.121	1.209	2.2
Other Fringe Benefits	67.687	65.857	1.830	2.7	8.316	8.440	(0.125)	(1.5)	76.003	74.297	1.706	2.2
Reimbursable Overhead	(30.996)	(27.160)	(3.836)	(12.4)	30.595	26.917	3.677	12.0	(0.401)	(0.242)	(0.159)	(39.6)
Total Labor	\$492.160	\$493.308	(\$1.148)	(0.2)	\$101.823	\$94.096	\$7.727	7.6	\$593.983	\$587.404	\$6.579	1.1
<i>Non-Labor:</i>												
Electric Power	\$57.937	\$53.348	\$4.589	7.9	\$0.000	\$0.196	(\$0.196)	-	\$57.937	\$53.544	\$4.393	7.6
Fuel	20.230	20.842	(0.613)	(3.0)	0.000	0.001	(0.001)	-	20.230	20.843	(0.614)	(3.0)
Insurance	8.196	8.015	0.181	2.2	3.499	3.092	0.407	11.6	11.694	11.106	0.588	5.0
Claims	0.301	0.524	(0.223)	(74.2)	0.000	0.000	0.000	-	0.301	0.524	(0.223)	(74.2)
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	72.626	62.622	10.004	13.8	13.765	12.983	0.782	5.7	86.391	75.605	10.787	12.5
Professional Service Contracts	18.989	16.337	2.652	14.0	7.212	6.099	1.113	15.4	26.201	22.436	3.764	14.4
Materials & Supplies	50.736	46.299	4.438	8.7	23.787	13.438	10.349	43.5	74.523	59.737	14.786	19.8
Other Business Expenses	17.933	12.164	5.768	32.2	1.683	0.815	0.868	51.6	19.616	12.980	6.636	33.8
Total Non-Labor	\$246.948	\$220.151	\$26.797	10.9	\$49.946	\$36.624	\$13.322	26.7	\$296.894	\$256.775	\$40.119	13.5
<i>Other Adjustments</i>												
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses before Non-Cash Liability Adjs.	\$739.108	\$713.459	\$25.649	3.5	\$151.770	\$130.720	\$21.049	13.9	\$890.877	\$844.179	\$46.698	5.2
Depreciation	168.433	166.338	2.096	1.2	0.000	0.000	0.000	-	168.433	166.338	2.096	1.2
OPEB Obligation	44.998	49.199	(4.201)	(9.3)	0.000	0.000	0.000	-	44.998	49.199	(4.201)	(9.3)
Environmental Remediation	2.742	0.138	2.604	95.0	0.000	0.000	0.000	-	2.742	0.138	2.604	95.0
Total Expenses	\$955.281	\$929.133	\$26.147	2.7	\$151.770	\$130.720	\$21.049	13.9	\$1,107.050	\$1,059.854	\$47.197	4.3
Net Surplus/(Deficit)	(\$477.263)	(\$450.217)	\$27.047	5.7	\$0.000	(\$0.000)	(\$0.000)	-	(\$477.263)	(\$450.217)	\$27.047	5.7
<i>Cash Conversion Adjustments:</i>												
Depreciation	168.433	166.338	(2.096)	(1.2)	0.000	0.000	0.000	-	168.433	166.338	(2.096)	(1.2)
Operating/Capital	(13.431)	(9.660)	3.771	28.1	0.000	0.000	0.000	-	(13.431)	(9.660)	3.771	28.1
Other Cash Adjustments	97.126	141.242	44.116	45.4	0.000	0.000	0.000	-	97.126	141.242	44.116	45.4
Total Cash Conversion Adjustments	\$252.128	\$297.920	\$45.791	18.2	\$0.000	\$0.000	\$0.000	-	\$252.128	\$297.920	\$45.791	18.2
Net Cash Surplus/(Deficit)	(\$225.135)	(\$152.297)	\$72.838	32.4	\$0.000	(\$0.000)	(\$0.000)	-	(\$225.135)	(\$152.297)	\$72.838	32.4

- 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 - 2012 MID-YEAR FORECAST
SEPTEMBER, 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	\$0.166	4.2%	Reflect higher GCT net retail and higher station rents and concessions, partially offset by lower advertising.	\$3.385	9.8%	Reflects higher revenues from GCT retail operations, advertising and station rents and concessions.
CAPITAL AND OTHER REIMBURSEMENTS	Reimb	(\$9.265)	(41.5%)	Lower reimbursements reflect scheduling changes in capital project expenditures.	(\$21.049)	(13.9%)	Lower reimbursements reflect scheduling changes in capital project expenditures.
PAYROLL	Reimb	\$0.792	20.4%	Reflects lower than projected activity on the Main Line/High Speed Turnouts and Peck Bridge Mitre Rail Track projects and delays in the C-29 Track Program, Repair Undergrade Bridge, Cos Cob West Substation, NHL Station - PH II, Positive Train Control and the Cyclical Replace Insulated Joints.	\$3.611	10.6%	Reflects lower than projected activity on the Mainline Turnouts Project and Waterbury Branch CWR Replacement, delays in C-29 Track program, NHL Stations PH II, Positive Train Control and the Cos Cob West Substation and prior period corrections on East Side Access (EIS & Engineering) project
OVERTIME	Non-Reimb	\$0.233	5.3%	Reflects lower rolling stock maintenance requirements due to high performance of car fleets offset by Train & Engine crew costs for service coverage due to vacancies.			
	Reimb	(\$0.053)	(3.6%)	Reflects higher than projected activity on the C-28 Track Program and partially offset by lower activity on the Peck Bridge Mitre Rail Track and project delay of the Positive Train Control.	(\$0.916)	(7.0%)	Reflects higher than projected activity on the West Haven Station and the CDOT Bridge and Catenary "C1B" project.
HEALTH AND WELFARE	Reimb	\$0.168	15.3%	Reflects lower project activity.	\$0.601	6.2%	Reflects lower project activity.
OPEB CURRENT PAYMENT	Non-Reimb	(\$0.084)	(5.7%)	Reflects increased medical premiums for retired employees (Medicare Part B)	(\$0.526)	(3.9%)	Reflects increased medical premiums for retired employees (Medicare Part B).
PENSIONS	Reimb	\$0.190	26.2%	Reflects lower project activity.	\$0.879	14.4%	Reflects lower project activity.
OTHER FRINGE BENEFITS	Non-Reimb	\$0.477	6.5%	Reflects (\$0.638 mil) favorable employee claims payments offset by higher railroad taxes and employee reimbursements.			
	Reimb	\$0.047	5.2%	Reflects rate differentials and project adjustments	(\$0.125)	(1.5%)	Reflects rate differentials and project adjustments

MTA METRO-NORTH RAILROAD
ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST
SEPTEMBER, 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
		\$	%		\$	%	
REIMBURSABLE OVERHEAD	Non-Reimb	(\$0.775)	(21.4%)	Reflects lower capital project activity for: NHL - Waterbury Branch - CWR Replacement MP 2 - MP 8, NHL - Bridge Timber Replacement, Replace/Repair Undergrade Bridge Program, Positive Train Control and New Haven Line Stations - Ph II	(\$3.836)	(12.4%)	Reflects lower capital project activity for: CDOT C29 Track Program, East Side Access (FA Design Support), Mainline/High Speed Turnouts, Positive Train Control, NHL - Bridge Timber Replacement Program and Devon Bridge Repairs.
	Reimb	\$0.674	18.9%	Reflect lower project activity noted above.	\$3.677	12.0%	Reflects lower project activity noted above.
ELECTRIC POWER	Non-Reimb	\$0.796	11.9%	Previously lower Traction Power costs on the Harlem/Hudson Lines.	\$4.589	7.9%	Reflects \$2.2 mil credit for East Side Access electricity usage originally charged to GCT (2009-2012) and favorable price variances of \$1.6 mil from East of Hudson train service power requirements.
INSURANCE	Reimb	\$0.061	15.6%	Reflects lower project activity.	\$0.407	11.6%	Reflects lower project activity.
CLAIMS	Non-Reimb	(\$0.226)	*	Payments of New Jersey Transit employee claims for MNR West of Hudson service.	(\$0.223)	(74.2%)	Payments of New Jersey Transit employee claims for MNR West of Hudson service.
MAINTENANCE AND OTHER OPERATING CONTRACTS	Non-Reimb				\$10.004	13.8%	Lower expenditures reflect scheduling changes in locomotive overhauls, M-2 car disposals, and vehicle repairs as well as lower costs for telephone services, office space charges, shop equipment, and facility maintenance.
	Reimb	\$0.985	59.1%	Reflects the delay on the West of Hudson Track Program.	\$0.782	5.7%	Reflects delay of the Cos Cob West Substation project partially offset by costs for the New Haven Independent Wheel True Shop.
PROFESSIONAL SERVICE CONTRACTS	Non-Reimb	\$0.415	19.1%	Favorable variance reflects lower Engineering Services, legal expenses, and market research costs.	\$2.652	14.0%	Favorable variance reflects lower legal expenses, lower IT service costs, outside audit services, outside training, medical costs, position advertising, and bridge inspection services.
	Reimb	\$0.502	92.2%	Reflects delay in invoicing for the NHL EMU Fleet Replacement project and delays on the Radio Frequency Rebanding and the MainLine Turnouts projects.	\$1.113	15.4%	Reflects lower cost on the Mainline High Speed Turnouts and timing difference in the Cos Cob West Substation project.

MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN MID-YEAR FORECAST AND ACTUAL RESULTS
 JULY FINANCIAL PLAN - 2012 MID-YEAR FORECAST
 SEPTEMBER, 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
		\$	%		\$	%	
MATERIAL AND SUPPLIES	Non-Reimb	\$0.807	13.0%	Primarily due to lower rolling stock parts and supplies usage.	\$4.438	8.7%	Primarily due to lower rolling stock parts and supplies usage and switch and signal equipment.
	Reimb	\$5.803	74.6%	Variance reflects material costs not incurred for these projects: West Haven Station, Turnouts: Mainline/High Speed and Bronx Station/Capacity Improvement. Project delays and changes in scheduling are the underlying causes of the favorable variance.	\$10.349	43.5%	Variance reflects material costs not incurred on the West Haven Station, NHL Waterbury Branch CWR Replacement, Cyclical Track Program, 2012 and the Replace Fiber/C&S Cables projects as well as the delay in the C-29 Track program and MainLine/High Speed Turnouts projects. Project delays and changes in scheduling are the underlying causes of the favorable variance.
OTHER BUSINESS EXPENSES	Non-Reimb	\$1.188	65.2%	Favorable variance reflects lower NJT Subsidy Payments, lower supply purchases, and lower credit card and other service fees.	\$5.768	32.2%	Primarily reflects lower NJT Subsidy Payments due to prior period credit for Port Jervis Line service.
	Reimb	\$0.139	45.0%	Reflects project delay on the PBX Equipment Upgrade project.	\$0.868	51.6%	Reflects project delay on the PBX Equipment Upgrade and insignificant variance on various projects.
OTHER POST EMPLOYMENT BENEFITS	Non-Reimb				(\$4.201)	(9.3%)	Reflects updated actuary analysis of annual required contribution.
ENVIRONMENTAL REMEDIATION	Non-Reimb	\$0.926	76.3%	Primarily due to fewer projects requiring remediation. Many large projects are winding down, new projects are generally smaller in scope and require less remediation.	\$2.604	95.0%	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	\$1.568	53.1%	Reflects lower activity on the Harmon Material Distribution Center Roof, Vehicle Replacement, LAN Hardware Replacement, Fork Truck Fleet Replacement and the Repair of Boring Machines partially offset by higher than projected activity on the Replacement of CW 102 Wrecking Crane.	\$3.771	28.1%	Reflects lower activity on the following projects: Harmon Material Distribution Center Roof Replacement, Snowmelter Cabinets, DC Substation, Signal House Roofs, Repair Boring Machines, Junior Tamper, Vertical Lift Systems for Harmon Shop, GIS Expansion and the Bridge Walkways Installation. These decreases are partially offset by higher than projected activity on the M of W Equipment and HI Rail Speed Swing Crane Projects.

* Variance exceeds 100%.

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

SCHEDULE III

	September 2012				Year-to-Date			
	Mid-Year Forecast	Actual	Favorable (Unfavorable)		Mid-Year Forecast	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Receipts	\$50.799	\$47.215	(\$3.584)	(7.1)	\$449.043	\$445.258	(\$3.785)	(0.8)
Toll Receipts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Receipts	6.123	8.694	2.571	42.0	57.842	58.717	0.875	1.5
<i>Capital & Other Reimbursements:</i>								
MTA	6.677	7.460	0.783	11.7	104.899	111.537	6.638	6.3
CDOT	9.318	6.427	(2.891)	(31.0)	85.198	78.879	(6.319)	(7.4)
Other	0.717	2.599	1.882	*	10.418	16.599	6.181	59.3
Total Capital and Other Reimbursements	16.712	16.486	(0.226)	(1.4)	200.515	207.015	6.500	3.2
Total Receipts	\$73.634	\$72.395	(\$1.239)	(1.7)	\$707.400	\$710.990	\$3.590	0.5
Expenditures								
<i>Labor:</i>								
Payroll	\$36.245	\$33.974	\$2.271	6.3	\$333.733	\$323.157	\$10.576	3.2
Overtime	5.933	5.652	0.281	4.7	53.254	52.608	0.646	1.2
Health and Welfare	8.153	2.307	5.846	71.7	77.826	73.553	4.273	5.5
OPEB Current Payment	1.627	0.306	1.321	81.2	14.612	14.043	0.569	3.9
Pensions	5.822	5.804	0.018	0.3	37.532	37.440	0.092	0.2
Other Fringe Benefits	8.148	6.892	1.256	15.4	81.305	76.048	5.257	6.5
GASB Account	0.729	0.729	0.000	0.0	6.561	6.561	0.000	0.0
Reimbursable Overhead	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Labor	\$66.657	\$55.664	\$10.993	16.5	\$604.823	\$583.410	\$21.413	3.5
<i>Non-Labor:</i>								
Electric Power	\$7.404	\$6.161	\$1.243	16.8	\$57.772	\$53.222	\$4.550	7.9
Fuel	2.683	1.857	0.826	30.8	19.611	15.947	\$3.664	18.7
Insurance	1.938	0.000	1.938	100.0	12.344	11.316	1.028	8.3
Claims	0.054	0.346	(0.292)	*	0.467	1.188	(0.721)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	14.025	4.540	9.485	67.6	94.303	71.311	22.992	24.4
Professional Service Contracts	3.321	1.673	1.648	49.6	25.709	22.988	2.721	10.6
Materials & Supplies	15.070	5.351	9.719	64.5	81.135	64.461	16.674	20.6
Other Business Expenditures	4.320	4.410	(0.090)	(2.1)	36.371	39.444	(3.073)	(8.4)
Total Non-Labor	\$48.815	\$24.338	\$24.477	50.1	\$327.712	\$279.877	\$47.835	14.6
<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	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$115.472	\$80.002	\$35.470	30.7	\$932.535	\$863.287	\$69.248	7.4
Net Cash Deficit (excludes Opening Cash Balance)	(\$41.838)	(\$7.607)	\$34.231	81.8	(\$225.135)	(\$152.297)	\$72.838	32.4
Subsidies								
MTA	36.174	9.823	(26.351)	(72.8)	158.243	97.903	(60.340)	(38.1)
CDOT	5.664	3.129	(2.535)	(44.8)	58.306	54.366	(3.940)	(6.8)
Total Subsidies	\$41.838	\$12.952	(\$28.886)	(69.0)	\$216.549	\$152.269	(\$64.280)	(29.7)
Cash Timing and Availability Adjustment	\$0.000	(\$1.660)	(\$1.660)	-	\$8.586	3.713	(\$4.873)	(56.8)

-- 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	September, 2012			Year-To-Date as of September 30, 2012		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
FAREBOX RECEIPTS	(3.584)	(7.1%)	Receipt timing difference as well as lower commutation and one-way peak tickets.			
OTHER REVENUE	2.571	42.0%	Higher net GCT retail revenues due to holiday market receipts ahead of forecast (October), as well as a timing difference from parking revenue receipts.			
CAPITAL AND OTHER REIMBURSEMENTS:						
MTA	0.783	11.7%	Receipt timing difference offset by lower project activity.	6.638	6.3%	Primarily payment of prior period bills.
CDOT	(2.891)	(31.0%)	Primarily lower project activity.	(6.319)	(7.4%)	Primarily lower project activity.
OTHER	1.882	*	Predominantly higher project activity.	6.181	59.3%	Primarily receipt timing difference.
PAYROLL	2.271	6.3%	Primarily due to higher vacancies, lower capital project payroll costs, and a timing difference in the payment of employee railroad retirement taxes.	10.576	3.2%	Primarily due to higher vacancies, lower capital project activity, Management wage increase not paid and timing differences in payroll tax payment.
HEALTH AND WELFARE	5.846	71.7%	Timing difference in payments for NYSHIP and other health insurance premiums.	4.273	5.5%	Timing difference in payments for NYSHIP and other health insurance premiums.
OPEB CURRENT PAYMENT	1.321	81.2%	Timing difference in payments for agreement retiree health benefits.			
OTHER FRINGE BENEFITS	1.256	15.4%	Lower employee claim payments for the period, as well as a timing difference for railroad retirement tax payments.	5.257	6.5%	Lower employee claim payments for the period, as well as lower railroad retirement tax payments resulting from lower payroll costs.
ELECTRIC POWER	1.243	16.8%	Primarily due to payment timing differences for New Haven Line traction power.	4.550	7.9%	Primarily due to lower usage, and timing differences in payments, partially offset by higher price. Also contributing to the favorable variance are lower non-traction power costs.
FUEL	0.826	30.8%	Primarily due to payments for New Haven fueling facility paid directly by CDOT.	3.664	18.7%	Lower expenditures due to payments for New Haven fueling facility paid directly by CDOT, as well as lower consumption, partially offset by higher non-revenue fuel costs resulting from gasoline higher prices.
INSURANCE	1.938	100.0%	Payment timing difference for force account (\$1.1m), and property (\$0.8m).	1.028	8.3%	Primarily due to timing difference in premium payments for property and automobile insurance.
CLAIMS	(0.292)	*	Higher claim payments in the month.	(0.721)	*	Higher claim payments for the period.

* 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	September, 2012			Year-To-Date as of September 30, 2012		
	Variance Fav (Unfav)		Reason for Variance	Variance Fav (Unfav)		Reason for Variance
	\$	%		\$	%	
MAINTENANCE & OTHER OPERATING CONTRACTS	9.485	67.6%	Payment timing difference in the month for MTA Police services (+\$4.1m; forecasted in September and paid in August), capital related projects (\$3.2m), as well as other miscellaneous contractual services.	22.992	24.4%	Payment timing difference for capital related projects, NHL Police services, locomotive overhauls, occupancy expenses, as well as other maintenance services and lower West of Hudson expenditures.
PROFESSIONAL SERVICE CONTRACTS	1.648	49.6%	Payment timing difference for capital project engineering services, New Haven Line BSC charges (paid in August), and other various services.	2.721	10.6%	Timing difference for audit charges and capital engineering services (for Mainline/High Speed Turnouts, M8 Specifications, Radio Frequency Rebanding and other).
MATERIALS & SUPPLIES	9.719	64.5%	Lower purchases due to timing for capital projects (\$6.9m), as well as non-capital purchases for truck/suspension, power, and brake material (\$2.7m).	16.674	20.6%	Lower material purchases of rolling stock maintenance material as well as timing differences and scheduling changes in material purchases for capital projects.
OTHER BUSINESS EXPENSES				(3.073)	(8.4%)	Primarily due to payment timing for NJT subsidy, partially offset by lower payments in the period for capital project activity, travel, printing & stationery and other miscellaneous expenses.
MTA SUBSIDY RECEIPTS	(26.351)	(72.8%)	Lower subsidy draw due to a lower net cash deficit, partially offset by the change in available bank balance and lower CDOT subsidy payment.	(60.340)	(38.1%)	Lower subsidy draw due to a lower net cash deficit, partially offset by the change in available bank balance and lower CDOT subsidy payment.
CDOT SUBSIDY RECEIPTS	(2.535)	(44.8%)	Lower subsidy payment due to an adjustment of actual to estimated deficit requirement.	(3.940)	(6.8%)	Lower subsidy payments due to an adjustment of actual to estimated deficit requirements.
TOTAL SUBSIDY RECEIPTS	(28.886)	(69.0%)		(64.280)	(29.7%)	

* Variance exceeds 100%

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

	September 2012				Year-to-Date			
			Favorable				Favorable	
			(Unfavorable)				(Unfavorable)	
Receipts								
Farebox Revenue	\$0.770	(\$2.117)	(\$2.886)	*	\$5.524	\$4.225	(\$1.299)	(23.5)
Toll Revenue	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Other Operating Revenue	2.182	4.587	2.405	*	23.344	20.833	(2.510)	(10.8)
Capital & Other Reimbursements:		0.000				0.000		
MTA	(3.357)	1.424	4.781	*	27.949	46.411	18.462	66.1
CDOT	(2.323)	0.268	2.591	*	17.541	21.583	4.042	23.0
Other	0.068	1.735	1.667	*	3.255	8.300	5.045	*
Total Capital and Other Reimbursements	(5.612)	3.427	9.039	*	48.745	76.295	27.549	56.5
Total Revenue/Receipts	(\$2.661)	\$5.897	\$8.558	*	\$77.613	\$101.353	\$23.740	30.6
Expenditures								
Labor:								
Payroll	(\$1.090)	\$0.398	\$1.489	*	(\$4.394)	\$2.853	\$7.247	*
Overtime	(0.105)	(0.004)	0.101	95.8	(2.101)	(0.804)	1.297	61.7
Health and Welfare	(0.867)	4.670	5.537	*	(8.784)	(6.182)	2.602	29.6
OPEB Current Payment	(0.133)	1.273	0.000		(1.095)	(0.000)	1.095	100.0
Pensions	0.112	(0.085)	(0.197)	*	17.798	16.681	(1.117)	(6.3)
Other Fringe Benefits	0.134	0.866	0.732	*	(5.302)	(1.751)	3.551	67.0
GASB Account	(0.729)	(0.729)	0.000	0.0	(6.561)	(6.561)	0.000	0.0
Reimbursable Overhead	(0.048)	0.054	0.101	*	(0.401)	(0.242)	0.159	39.6
Total Labor	(\$2.726)	\$6.443	\$9.168	*	(\$10.840)	\$3.994	\$14.834	*
Non-Labor:								
Electric Power	(\$0.698)	(\$0.208)	\$0.490	70.2	\$0.165	\$0.322	\$0.157	94.9
Fuel	(\$0.500)	\$0.421	\$0.921	*	\$0.619	\$4.896	\$4.278	*
Insurance	(0.615)	1.242	1.856	*	(0.650)	(0.210)	0.440	67.7
Claims	0.009	(0.057)	(0.066)	*	(0.166)	(0.664)	(0.498)	*
Paratransit Service Contracts	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Maintenance and Other Operating Contracts	(4.312)	4.418	8.730	*	(7.912)	4.294	12.205	*
Professional Service Contracts	(0.607)	0.123	0.730	*	0.492	(0.552)	(1.043)	*
Materials & Supplies	(1.065)	2.044	3.110	*	(6.612)	(4.724)	1.888	28.6
Other Business Expenses	(2.191)	(3.607)	(1.416)	(64.7)	(16.755)	(26.464)	(9.709)	(58.0)
Total Non-Labor	(\$9.978)	\$4.376	\$14.353	*	(\$30.818)	(\$23.102)	\$7.716	25.0
Other Adjustments:								
Other	0.000	0.000	0.000	-	0.000	0.000	0.000	-
Total Other Adjustments	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures Adjustments before Non-Cash	(\$12.703)	\$10.818	\$23.522	*	(\$41.658)	(\$19.108)	\$22.550	54.1
Depreciation	18.432	18.978	0.546	3.0	168.433	166.338	(2.095)	(1.2)
OPEB Obligation	5.000	4.679	(0.321)	6.4	44.998	49.199	4.201	(9.3)
Environmental Remediation	1.214	0.287	(0.926)	(76.3)	2.742	0.138	(2.604)	95.0
Total Expenditures Adjustments	\$11.942	\$34.763	\$22.821	*	\$174.515	\$196.567	\$22.051	12.6
Total Cash Conversion Adjustments	\$9.281	\$40.661	\$31.379	*	\$252.128	\$297.920	\$45.791	18.2

* ABB actual operating savings are captured within the category construct of MTA's traditional financial statements. Please see variance explanations for more detail.

- 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)

	September						September Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u> ¹	38,328	\$2.0	49,666	\$2.6	(11,338)	(\$0.6)	339,718	\$18.1	360,626	\$18.8	(20,908)	(\$0.8)
					-29.6%	-27.3%					-6.2%	-4.2%
<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>	22,217	\$1.0	19,844	\$0.9	2,373	\$0.0	176,168	\$7.7	142,721	\$6.7	33,447	\$1.0
					10.7%	4.1%					19.0%	12.8%
<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> ²	19,378	\$0.9	18,771	\$0.8	608	\$0.0	164,536	\$7.2	160,754	\$7.1	3,783	\$0.0
					3.1%	0.4%					2.3%	0.7%
<u>Weather Emergencies</u>	8,243	\$0.4	3,220	\$0.2	5,023	\$0.2	90,168	\$4.1	83,285	\$4.0	6,883	\$0.2
					60.9%	59.0%					7.6%	3.7%
<u>Safety/Security/Law Enforcement</u> ³	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0	0	\$0.0
					-	-					-	-
<u>Other</u> ⁴	3,464	\$0.1	(8,100)	(\$0.4)	11,563	\$0.5	23,079	\$1.0	24,798	\$1.1	(1,719)	(\$0.2)
					*	*					-7.4%	-16.8%
Subtotal	91,629	\$4.4	83,400	\$4.1	8,229	\$0.2	793,668	\$38.1	772,184	\$37.8	21,485	\$0.3
					9.0%	5.3%					2.7%	0.7%
REIMBURSABLE OVERTIME	24,771	\$1.5	31,800	\$1.5	(7,029)	(\$0.1)	250,652	\$13.1	284,386	\$14.0	(33,734)	(\$0.9)
					-28.4%	-3.6%					-13.5%	-7.0%
TOTAL OVERTIME	116,400	\$5.8	115,200	\$5.6	1,200	\$0.2	1,044,320	\$51.2	1,056,569	\$51.8	(12,249)	(\$0.7)
					1.0%	3.1%					-1.2%	-1.3%

Totals may not add due to rounding.

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

* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

² Excludes T&E crew coverage (included in Direct Service category)

³ Not Applicable

⁴ 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)

	September			September Year-to-Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u> ¹	(11,338)	(\$0.6)	Primarily coverage for train service vacancies to ensure sufficient staffing levels to meet revenue collection	(20,908)	(\$0.8)	Primarily coverage for train service vacancies to ensure sufficient staffing levels to meet revenue collection requirements.
	-29.6%	-27.3%		-6.2%	-4.2%	
<u>Unscheduled Service</u>	0	\$0.0		0	\$0.0	
	-	-		-	-	
<u>Programmatic/Routine Maintenance</u>	2,373	\$0.0		33,447	\$1.0	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.
	10.7%	4.1%		19.0%	12.8%	
<u>Unscheduled Maintenance</u>	0	\$0.0		0	\$0.0	
	-	-		-	-	
<u>Vacancy/Absentee Coverage</u> ²	608	\$0.0		3,783	\$0.0	
	3.1%	0.4%		2.3%	0.7%	
<u>Weather Emergencies</u>	5,023	\$0.2		6,883	\$0.2	
	60.9%	59.0%		7.6%	3.7%	
<u>Safety/Security/Law Enforcement</u> ³	0	\$0.0		0	\$0.0	
	-	-		-	-	
<u>Other</u> ⁴	11,563	\$0.5	Reflects timing differences related to payroll and calendar cutoff dates.	(1,719)	(\$0.2)	Higher overtime due to ticket seller and customer service representative vacancies. Also reflects timing differences related to payroll and calendar cutoff dates.
	*	*		-7.4%	-16.8%	
Subtotal	8,229	\$0.2		21,485	\$0.3	
	9.0%	5.3%		2.7%	0.7%	
REIMBURSABLE OVERTIME	(7,029)	(\$0.1)		(33,734)	(\$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.
	-28.4%	-3.6%		-13.5%	-7.0%	
TOTAL OVERTIME	1,200	\$0.2		(12,249)	(\$0.7)	

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

* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

² Excludes T&E crew coverage (included in Direct Service category)

³ Not Applicable

⁴ 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

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not resulting from extraordinary events</u> , including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Includes overtime coverage for clerical, administrative positions that are eligible for overtime.
<i>Reimbursable Overtime</i>	Overtime incurred to support projects that are reimbursed from the MTA Capital Program and other funding sources.

MTA METRO-NORTH RAILROAD
2012 MID YEAR FORECAST VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
September 30, 2012

<u>Department</u>	<u>2012 Mid Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
Administration			
President	3	3	-
Labor Relations	9	9	0
Safety	18	17	1
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	43	6
Employee Relations & Diversity	4	2	2
VP Planning	2	2	-
Operations Planning & Analysis	16	16	0
Capital Planning & Programming	10	12	(2)
Business Development, Facilities & Mktg (4)	21	22	(1)
Long Range Planning	7	7	-
VP Finance & Information Systems	2	1	1
Controller	78	79	(1)
Information Technology & Project Mgmt	94	83	11
Budget	18	14	4
Customer Service (2) (3)	42	44	(2)
Procurement & Material Mgmt (5)	33	37	(4)
Total Administration	491	473	18
Operations			
Operations Administration	49	49	0
Operations Services	1,728	1,711	17
Customer Service (2) (3)	227	221	6
Business Development, Facilities & Mktg (4)	38	33	5
Metro-North West	27	28	(1)
Total Operations	2,069	2,042	27
Maintenance			
GCT	361	350	11
Maintenance of Equipment	1,292	1,262	30
Maintenance of Way	1,684	1,599	85
Procurement & Material Mgmt (5)	119	116	3
Total Maintenance	3,456	3,327	129
Engineering/Capital			
Construction Management	37	32	5
Engineering & Design	54	56	(2)
Total Engineering/Capital	91	88	3
Total Positions	6,107	5,930	177
Non-Reimbursable	5,461	5,451	10
Reimbursable	646	479	167
Total Full-Time	6,106	5,929	177
Total Full-Time-Equivalents (of part-time positions)	1	1	-

(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
September 30, 2012

FUNCTION/OCCUPATION	2012 Mid Year Forecast	Actual	Favorable (Unfavorable) Variance
Administration (1)			
Managers/Supervisors	56	61	(5)
Professional, Technical, Clerical	435	412	23
Operational Hourlies	-	-	-
Total Administration	491	473	18
Operations (1)			
Managers/Supervisors	30	29	1
Professional, Technical, Clerical	479	465	14
Operational Hourlies	1,560	1,548	12
Total Operations	2,069	2,042	27
Maintenance (1)			
Managers/Supervisors	57	48	9
Professional, Technical, Clerical	1,008	959	49
Operational Hourlies	2,391	2,320	71
Total Maintenance	3,456	3,327	129
Engineering/Capital			
Managers/Supervisors	27	26	1
Professional, Technical, Clerical	64	62	2
Operational Hourlies	-	-	-
Total Engineering/Capital	91	88	3
Public Safety			
Managers/Supervisors	-	-	-
Professional, Technical, Clerical	-	-	-
Operational Hourlies	-	-	-
Total Public Safety	-	-	-
Total Positions			
Managers/Supervisors	170	164	6
Professional, Technical, Clerical	1,986	1,898	88
Operational Hourlies	3,951	3,868	83
Total Positions	6,107	5,930	177

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**

September 30, 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)	2,069	2,042	27	Reflects vacancies in operation services staffing (RTCs, Operations Managers, Car Cleaners, and T&E positions)
Maintenance (1)	3,456	3,327	129	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)	491	473	18	Reflects timing differences in hiring Training staff and IT personnel.
Engineering / Capital	91	88	3	
Total Agency-wide Headcount	6,107	5,930	177	
Non-Reimbursable	5,461	5,451	10	
Reimbursable	646	479	167	

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)

	Month of September		Variance Fav (Unfav)		Year-to-Date September		Variance Fav (Unfav)	
	Forecast	Actual	Amount	%	Forecast	Actual	Amount	%
<u>Farebox Revenue</u>								
Harlem Line	\$14.824	\$14.667	(\$0.157)	-1.1	\$131.526	\$131.308	(\$0.218)	-0.2
Hudson Line	\$11.036	\$10.860	(\$0.176)	-1.6	\$96.167	\$96.079	(\$0.088)	-0.1
New Haven Line	\$24.119	\$23.761	(\$0.358)	-1.5	\$215.389	\$213.226	(\$2.163)	-1.0
Total Farebox Revenue	\$49.979	\$49.288 ⁽¹⁾	(\$0.691)	-1.4	\$443.082	\$440.613 ⁽¹⁾	(\$2.469)	-0.6
 <u>Ridership</u>								
Harlem Line	2.179	2.162	(0.017)	-0.8	20.185	20.145	(0.040)	-0.2
Hudson Line	1.316	1.301	(0.015)	-1.1	12.065	12.037	(0.028)	-0.2
New Haven Line	3.216	3.155	(0.061)	-1.9	29.792	29.407	(0.385)	-1.3
Total Ridership East of Hudson	6.711	6.618	(0.093)	-1.4	62.042	61.589	(0.453)	-0.7
West of Hudson	0.141	0.137	(0.005)	-3.3	1.300	1.294	(0.006)	-0.5
Total Ridership	6.852	6.755	(0.098)	-1.4	63.342	62.883	(0.459)	-0.7

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.044 million for the month and \$0.420 million year-to-date.

East of Hudson:

Through September, East of Hudson ridership year-to-date was 61.6 million, 0.7% lower than the Mid-Year Forecast, but 3.6% higher than 2011. For the month ridership of 6.6 million was 1.4% lower than the Mid-Year Forecast and 1.6% higher than September 2011.

Commutation ridership was 1.3% lower for the month and 0.5% lower year-to-date vs. the Mid-Year Forecast. Compared to 2011, September year-to-date commutation ridership was 2.3% higher. Non-commutation ridership was 1.5% lower for the month and 1.1% lower year-to-date versus the Mid-Year Forecast. Compared to 2011, September YTD non-commutation ridership was 5.5% higher than forecasted.

West of Hudson:

West of Hudson ridership was 6.7% lower for the month and 2.6% 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 *
SEPTEMBER 2012**

	MONTH			VARIANCE	
	2012	FORECAST	2011	FORECAST	2011
Farebox Operating Ratio					
Standard ⁽¹⁾	65.2%	62.4%	60.3%	2.8%	4.9%
Adjusted ⁽²⁾	72.5%	68.9%	66.8%	3.6%	5.7%
Cost per Passenger					
Standard ⁽¹⁾	\$11.56	\$12.09	\$11.75	\$0.53	\$0.19
Adjusted ⁽²⁾	\$11.37	\$11.92	\$11.62	\$0.55	\$0.25
Passenger Revenue/Passenger ⁽³⁾	\$7.54	\$7.55	\$7.09	(\$0.01)	\$0.45
	YEAR-TO-DATE			VARIANCE	
	2012	FORECAST	2011	FORECAST	2011
Farebox Operating Ratio					
Standard ⁽¹⁾	63.4%	61.4%	60.3%	2.0%	3.1%
Adjusted ⁽²⁾	70.5%	67.7%	67.5%	2.8%	3.0%
Cost per Passenger					
Standard ⁽¹⁾	\$11.43	\$11.79	\$11.84	\$0.36	\$0.41
Adjusted ⁽²⁾	\$11.24	\$11.62	\$11.71	\$0.38	\$0.47
Passenger Revenue/Passenger ⁽³⁾	\$7.25	\$7.23	\$7.14	\$0.02	\$0.11

(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.

MTA METRO-NORTH RAILROAD

MONTHLY RIDERSHIP REPORT

SEPTEMBER 2012

Operations Planning & Analysis Department
November, 2012

SEPTEMBER 2012 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

EXECUTIVE SUMMARY

September

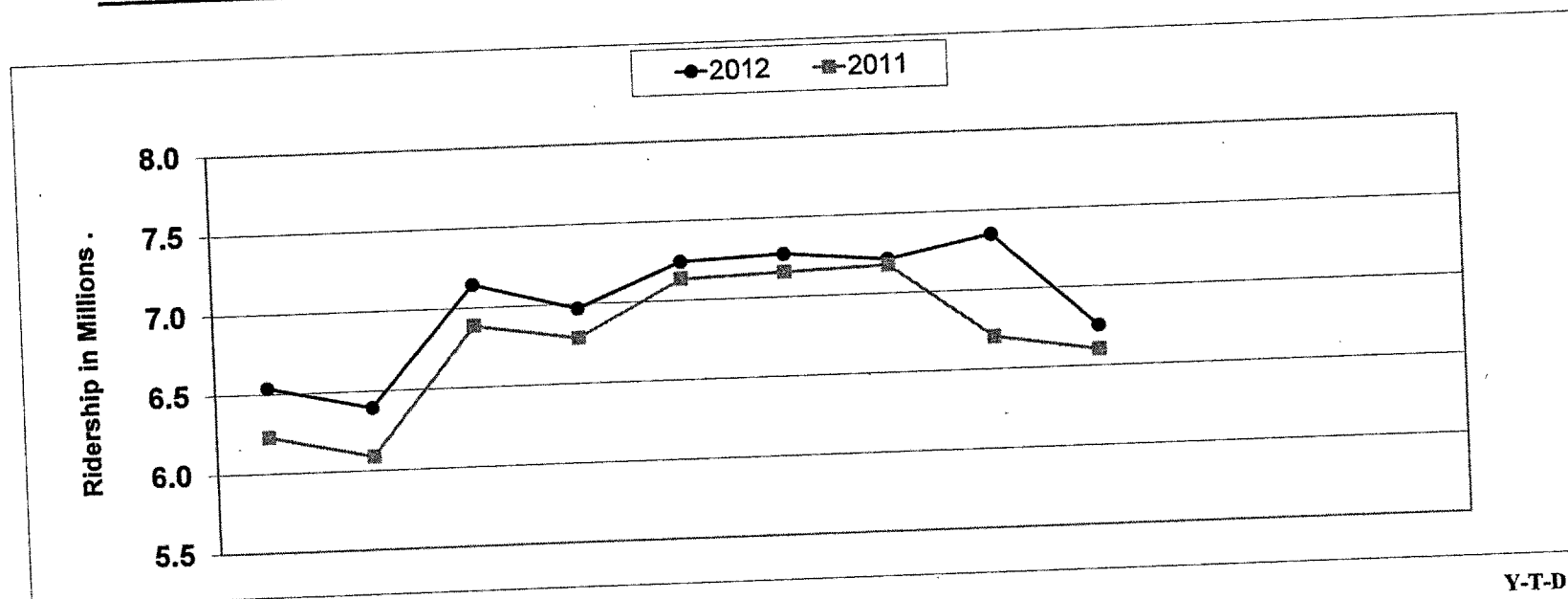
- September 2012 **Total MNR System Ridership** was 6.797 million vs. 6.648 million in September 2011, an increase of 148,769 passengers (+2.2%).
- September 2012 **Total Rail Ridership** was 6.755 million vs. 6.605 million in September 2011, an increase of 150,349 passengers (+2.3%).
 - **Rail Commutation Ridership** was +1.2% vs. 2011
 - **Rail Non-commutation Ridership** was +3.7% vs. 2011
- September 2012 **East of Hudson Ridership** was 6.618 million vs. 6.513 million in September 2011, an increase of 105,190 passengers (+1.6%).
- September 2012 **West of Hudson Ridership** was 0.137 million vs. 0.092 million in September 2011, an increase of 45,159 passengers (+49.3%).
- September 2012 **Connecting Services Ridership** was 0.042 million vs. 0.044 million in September 2011, a decrease of 1,580 passengers (-3.6%).
- September 2012 **Rail Revenue** was \$50.4 million vs. \$48.7 million in September 2011, an increase of \$1,657,803 (+3.4%).

Year To Date

- 2012 YTD **Total MNR System Ridership** was 3.5% above '11 and 0.8% below forecast.
- 2012 YTD **Total Rail Ridership** was 3.5% above '11 and 0.8% below forecast.
- 2012 YTD **East of Hudson Ridership** was 3.6% above '11 and 0.7% below forecast.
- 2012 YTD **West of Hudson ridership** was 3.8% below '11 and 2.6% below forecast.
- 2012 YTD **Connecting Services Ridership** was 1.7% above '11 and 0.1% above forecast.
- 2012 YTD **Rail Revenue** was 5.3% above '11 and 0.6% below forecast.

SEPTEMBER RAIL RIDERSHIP ⁽¹⁾

- SEPTEMBER's Total Rail Ridership was 2.3% above 2011 and 1.5% below forecast.

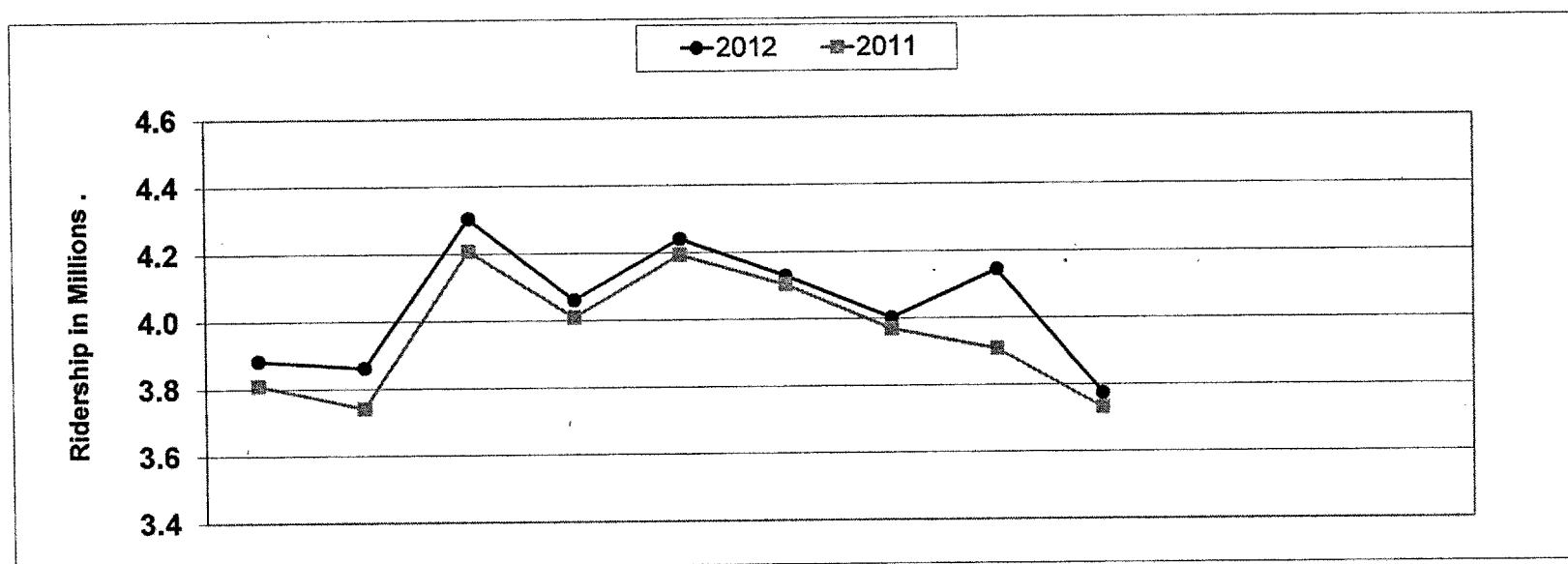


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	6.5	6.4	7.1	7.0	7.2	7.3	7.2	7.3	6.8				62.9
2011	6.2	6.1	6.9	6.8	7.1	7.2	7.2	6.7	6.6				60.8
PCT CHG.	4.9%	5.1%	3.7%	2.7%	1.5%	1.6%	0.5%	9.6%	2.3%				3.5%

1) Includes East and West of Hudson.

SEPTEMBER RAIL COMMUTATION RIDERSHIP ⁽¹⁾

- SEPTEMBER's Rail Commutation Ridership was 1.2% above 2011 and 1.4% below forecast.

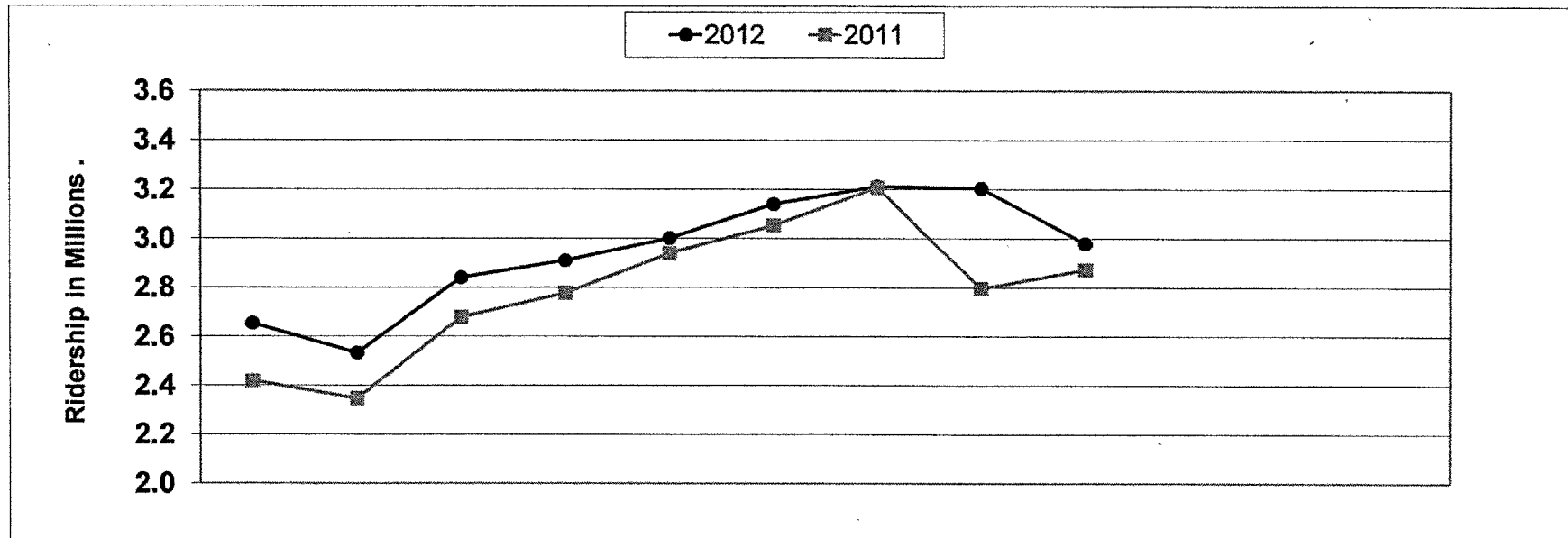


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	3.9	3.9	4.3	4.1	4.2	4.1	4.0	4.1	3.8				36.4
2011	3.8	3.7	4.2	4.0	4.2	4.1	4.0	3.9	3.7				35.7
PCT CHG.	1.9%	3.2%	2.3%	1.3%	1.1%	0.6%	0.8%	6.0%	1.2%				2.0%

1) Includes East and West of Hudson.

SEPTEMBER RAIL NON-COMMUTATION RIDERSHIP ⁽¹⁾

- SEPTEMBER's Rail Non-Commutation Ridership was 3.7% above 2011 and 1.7% below forecast.

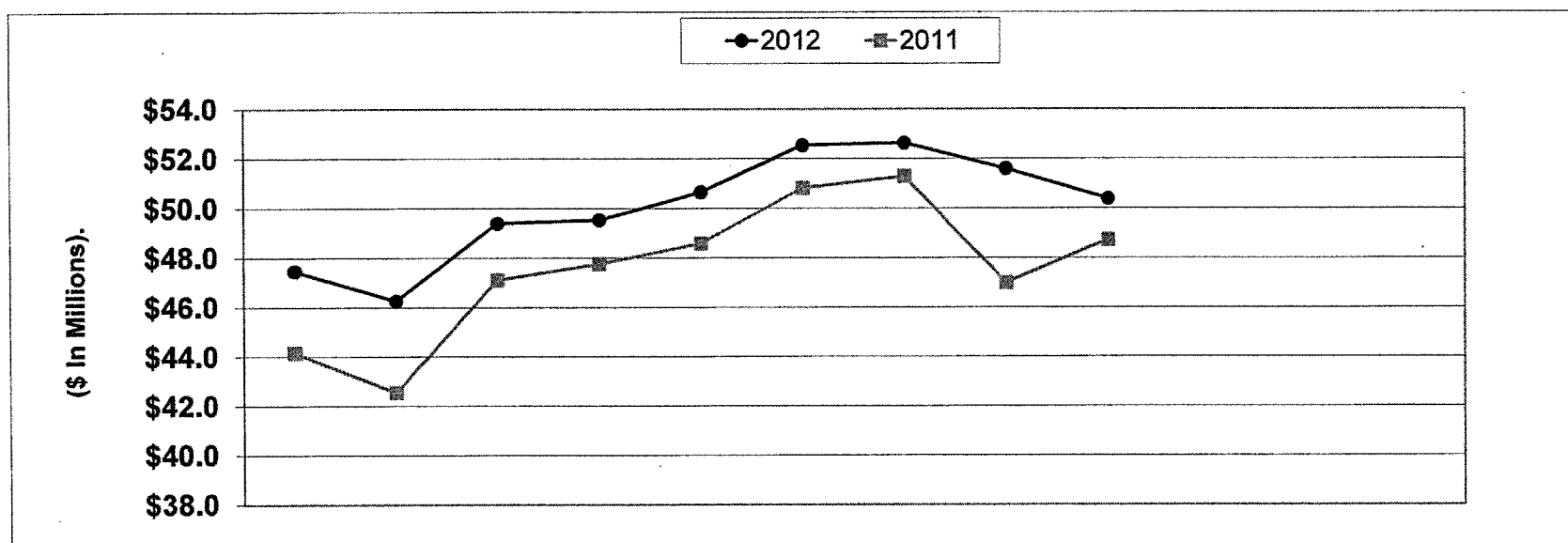


	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Y-T-D Total
2012	2.7	2.5	2.8	2.9	3.0	3.1	3.2	3.2	3.0				26.5
2011	2.4	2.3	2.7	2.8	2.9	3.1	3.2	2.8	2.9				25.1
PCT CHG.	9.7%	8.0%	6.1%	4.8%	2.1%	2.9%	0.1%	14.6%	3.7%				5.5%

1) Includes East and West of Hudson.

SEPTEMBER RAIL REVENUE⁽¹⁾

- SEPTEMBER's Total Rail Revenue was 3.4% above 2011 and 1.5% 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	\$50.4				\$450.5
2011	\$44.2	\$42.6	\$47.1	\$47.8	\$48.6	\$50.8	\$51.3	\$47.0	\$48.7				\$428.0
PCT CHG.	7.5%	8.7%	4.9%	3.7%	4.3%	3.4%	2.6%	9.8%	3.4%				5.3%

1) Includes East and West of Hudson.

MTA METRO-NORTH RAILROAD

RIDERSHIP SUMMARY

SEPTEMBER 2012

TICKET TYPE/SERVICE	SEPTEMBER 2012	SEPTEMBER 2011 (1)	CHANGE VS. 2011	
			AMOUNT	PERCENT
RAIL COMMUTATION RIDERSHIP				
East of Hudson	3,696,764	3,668,616	28,148	0.8%
West of Hudson	78,544	63,147	15,397	24.4%
Total Rail Commutation Ridership	3,775,308	3,731,763	43,545	1.2%
RAIL NON-COMMUTATION RIDERSHIP				
East of Hudson	2,921,430	2,844,388	77,042	2.7%
West of Hudson	58,244	28,482	29,762	104.5%
Total Rail Non-Commutation Ridership	2,979,674	2,872,870	106,804	3.7%
TOTAL RAIL RIDERSHIP				
East of Hudson	6,618,194	6,513,004	105,190	1.6%
West of Hudson	136,788	91,629	45,159	49.3%
TOTAL RAIL RIDERSHIP	6,754,982	6,604,633	150,349	2.3%
CONNECTING SERVICES RIDERSHIP (2)	41,976	43,556	(1,580)	-3.6%
TOTAL MNR SYSTEM RIDERSHIP	6,796,958	6,648,189	148,769	2.2%

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
RAIL COMMUTATION RIDERSHIP				
East of Hudson	35,634,462	34,820,765	813,697	2.3%
West of Hudson	769,275	855,806	(86,531)	-10.1%
Total Rail Commutation Ridership	36,403,737	35,676,571	727,166	2.0%
RAIL NON-COMMUTATION RIDERSHIP				
East of Hudson	25,954,012	24,604,017	1,349,995	5.5%
West of Hudson	524,332	489,558	34,774	7.1%
Total Rail Non-Commutation Ridership	26,478,344	25,093,575	1,384,769	5.5%
TOTAL RAIL RIDERSHIP				
East of Hudson	61,588,474	59,424,782	2,163,692	3.6%
West of Hudson	1,293,607	1,345,364	(51,757)	-3.8%
TOTAL RAIL RIDERSHIP	62,882,081	60,770,146	2,111,935	3.5%
CONNECTING SERVICES RIDERSHIP ⁽²⁾	421,261	414,289	6,972	1.7%
TOTAL MNR SYSTEM RIDERSHIP	63,303,342	61,184,435	2,118,907	3.5%

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

SEPTEMBER 2012

LINE	SEPTEMBER 2012 ACTUAL	SEPTEMBER 2012 MID-YEAR	VARIANCE VS. MID-YEAR		SEPTEMBER 2011 RESTATE ⁽¹⁾	CHANGE FROM 2011	
			AMOUNT	PERCENT		AMOUNT	PERCENT
EAST OF HUDSON							
Harlem Line	2,162,096	2,179,410	(17,314)	-0.8%	2,136,124	25,972	1.2%
Hudson Line	1,300,945	1,315,967	(15,022)	-1.1%	1,290,898	10,047	0.8%
New Haven Line	3,155,153	3,216,024	(60,871)	-1.9%	3,085,982	69,171	2.2%
Total East of Hudson	6,618,194	6,711,401	(93,207)	-1.4%	6,513,004	105,190	1.6%
WEST OF HUDSON							
Port Jervis Line	85,604	97,034	(11,430)	-11.8%	46,107	39,497	85.7%
Pascack Valley Line	51,184	49,580	1,604	3.2%	45,522	5,662	12.4%
Total West of Hudson	136,788	146,614	(9,826)	-6.7%	91,629	45,159	49.3%
TOTAL RAIL RIDERSHIP	6,754,982	6,858,015	(103,033)	-1.5%	6,604,633	150,349	2.3%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS							
Hudson Rail Link	26,012	25,707	305	1.2%	26,778	(766)	-2.9%
Haverstraw-Ossining Ferry	9,831	9,662	169	1.7%	9,202	629	6.8%
Newburgh-Beacon Ferry	6,133	8,258	(2,125)	-25.7%	7,576	(1,443)	-19.0%
Total Connecting Services	41,976	43,627	(1,651)	-3.8%	43,556	(1,580)	-3.6%
TOTAL MNR SYSTEM	6,796,958	6,901,642	(104,684)	-1.5%	6,648,189	148,769	2.2%

Notes:

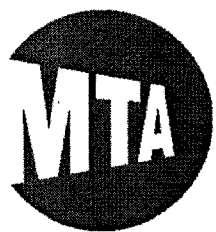
1) 2011 ridership figures have been restated to eliminate calendar impacts on ridership

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 ⁽¹⁾	CHANGE FROM 2011	
			AMOUNT	PERCENT		AMOUNT	PERCENT
EAST OF HUDSON							
Harlem Line	20,144,572	20,185,304	(40,732)	-0.2%	19,508,407	636,165	3.3%
Hudson Line	12,036,934	12,064,557	(27,623)	-0.2%	11,705,174	331,760	2.8%
New Haven Line	29,406,968	29,792,091	(385,123)	-1.3%	28,211,201	1,195,767	4.2%
Total East of Hudson	61,588,474	62,041,952	(453,478)	-0.7%	59,424,782	2,163,692	3.6%
WEST OF HUDSON							
Port Jervis Line	817,144	867,317	(50,173)	-5.8%	915,446	(98,302)	-10.7%
Pascack Valley Line	476,463	460,429	16,034	3.5%	429,918	46,545	10.8%
Total West of Hudson	1,293,607	1,327,746	(34,139)	-2.6%	1,345,364	(51,757)	-3.8%
TOTAL RAIL RIDERSHIP	62,882,081	63,369,698	(487,617)	-0.8%	60,770,146	2,111,935	3.5%
CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS							
Hudson Rail Link	267,404	263,588	3,816	1.4%	274,400	(6,996)	-2.5%
Haverstraw-Ossining Ferry	92,605	92,509	96	0.1%	85,042	7,563	8.9%
Newburgh-Beacon Ferry	61,252	64,789	(3,537)	-5.5%	54,847	6,405	11.7%
Total Connecting Services	421,261	420,886	375	0.1%	414,289	6,972	1.7%
TOTAL MNR SYSTEM	63,303,342	63,790,584	(487,242)	-0.8%	61,184,435	2,118,907	3.5%

Notes.

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



Metro-North Railroad

Capital Program Report

November 2012

CAPITAL PROGRAM

HIGHLIGHTS

November 26, 2012

STATIONS/PARKING/FACILITIES

North White Plains Station Access and Parking Garage

Proposals for Construction Supervision & Inspection Services were received and are under review. Proposals for Design-Build are due in early November 2012.

Croton-Harmon/Peekskill Improvements

Croton-Harmon Station:

Work in Progress:

- New roof ventilator.
- New canopy deck installation.
- Additional painting work has commenced.

Work Completed:

- Electrical conduit work.
- New canopy lighting.

Peekskill Station:

Work in Progress:

- Elevator work has commenced.
- Overpass window installation has commenced.
- Overpass roof framing and fascia work.
- Overpass deck reconstruction.
- Outbound platform rub board installation.

Work Completed:

- Canopy deck installation.
- North and south overpass concrete work.

Poughkeepsie Station Improvements

Pedestrian Walkway and Pavilion Repair:

Work in Progress:

- Clean up and demobilize by the end of October 2012.

Work Completed:

- Painting.

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 completed on outbound platform and in progress on inbound 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 - Mt. Vernon East and Pelham (inbound side)

- Platform superstructure rehabilitation
- Electrical upgrades
- Painting

Canine Training Facility, Town of East Fishkill, NY

Bids were received and are under review.

POWER

Substation Replacement Bridge-23

Work in Progress:

- Fabrication of long lead equipment continues. Factory acceptance testing of the SF-6 Switchgear is scheduled for November 2012.
- Excavating for the transformer and SF-6 switchgear foundations at the Bridge-23 site is underway.

Work Complete:

- Second survey for Pelham completed.
- Excavation for Transformer GIS foundation is complete.
- Control Building foundation is complete with the exception of the rock removal.

TRACK AND STRUCTURES

2012 Cyclical Track Program

Work in Progress:

- As of November 1, 2012, a total of 19,450 ties and 1.6 miles of CWR was installed, and 66 miles of track was surfaced. The Rail Gang is scheduled to resume installation at Garrison, Track 1, the first week of November 2012.

Bridge Rehabilitation – Moodna (Work Complete) and Woodbury Viaducts

Woodbury Viaduct:

A bid solicitation was advertised in October with construction bids due end of November 2012. The RFP for construction supervision and inspection was advertised in October 2012, proposals are due mid-November.

Harlem River Lift Bridge-Cable Replacement/Control System

Construction was advertised and bids are due mid-December 2012. Proposals for the Construction Supervision and Inspection Services are due in mid- November 2012.

Inspection and Rehabilitation of Retaining Walls

Construction bids and proposals for Construction Supervision & Inspection Services were received and are under review.

Catenary Painting / Rehabilitate Catenary Structures

Construction bids were received for painting and select structural repairs to the catenary structures along the NYS portion of the New Haven Line and are under review.

Undergrade Bridges – East of Hudson

Work in Progress:

- NH 20.12 and NH 20.39 over Fennimore and Mamaroneck Avenues: Work is at 95% completion.
- HA 22.41 over Main Street: Repairs are at 85% completion.
- HU 4.69 HRLB Walkways adjacent to Tracks 1 and 2: Work is at 10% completion.
- The painting of Oak Street Bridge commenced on October 8, 2012.
- HU 32.81 Track 4 over Croton River: Bids for Construction and proposals for construction supervision and inspection services are due in early November 2012.

Undergrade Bridges – West of Hudson

Design of select Undergrade Bridges - Proposals for design services were received and are under review.

Otisville Tunnel Repairs

Bids for construction and proposals for Construction Supervision and Inspection Services were received and are under review.

Overhead Bridges – East of Hudson

Bridge Street Bridge Replacement (HU 65.18), Poughkeepsie: Construction Bids due in early November 2012.

HU 38.90 Montrose Station Road Bridge: Steel repairs at the north girder are ongoing.

Drainage and Undercutting Program

Bids received for the Sing-Sing Creek Improvements in Ossining are under review. Bids for the Bronx drainage along the Harlem Line are due in mid- November 2012.

SHOPS AND YARDS

Harmon Shop Improvements – Phase IV Stage 1

Work in Progress:

- Roof and masonry repairs on Main Building (Building #6).
- Installation of utilities connections to the trailers are complete except for the electric utilities. These utilities are expected to be completed in November 2012, to facilitate final relocations into the south yard storage areas.

Work Complete:

- Roof replacement at MDC Building #14.

Employee Welfare & Storage Facilities – Brewster Roof Replacement

Work in Progress:

- Perimeter flashing and gutters.

Work Complete:

- Main roof is complete
- Skylight installation.

GRAND CENTRAL TERMINAL

Grand Central Terminal Train Shed and Park Avenue Tunnel

Work in Progress:

- Work on Track No. 4 is ongoing with masonry repairs proceeding, and measurement for the steel repairs commencing.
- The RFP for train shed and platform design has been advertised with proposals due in mid- November 2012.

ROLLING STOCK

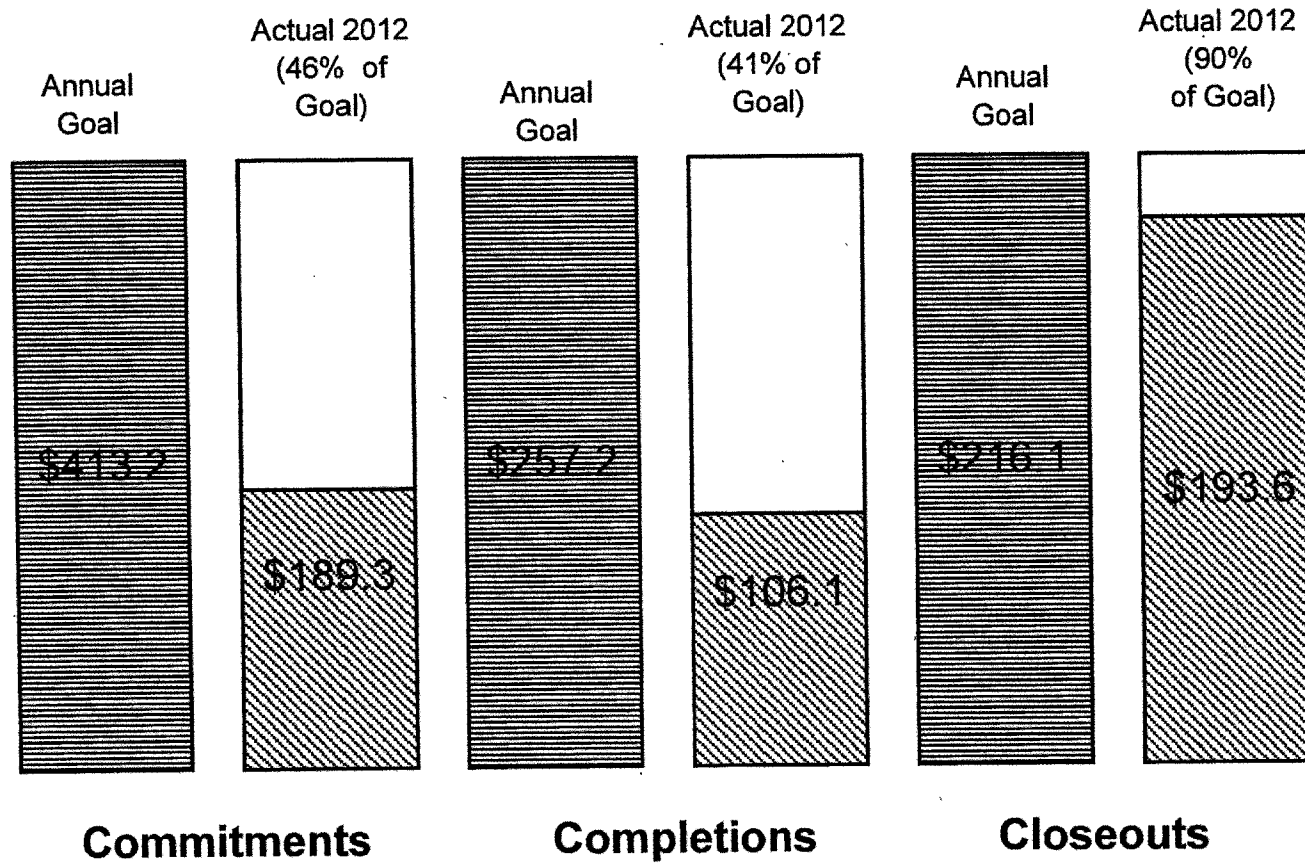
M-8 Car Program

146 cars have been conditionally accepted and placed into revenue service.

2012 MNR Capital Program Goals

As of October 31, 2012

In Millions



☐ Forecast - November 2012 - December 2012
☒ Actual as of October 2012
☒ 2012 Goals