



Metropolitan Transportation Authority

Meeting of the Metro-North Railroad Committee

May 2014

Members

J. Sedore, Chair
F. Ferrer, MTA Vice Chairman
J. Ballan
R. Bickford
J. Blair
N. Brown
J. Kay
S. Metzger
C. Moerdler
J. Molloy
M. Pally
A. Saul
C. Wortendyke



Metropolitan Transportation Authority

MEETING AGENDA

METRO-NORTH RAILROAD COMMITTEE

May 19, 2014 – 8:30 a.m.

347 Madison Avenue

Fifth Floor Board Room
New York, NY

AGENDA ITEMS

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PUBLIC COMMENTS PERIOD

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Date of next meeting: **Monday, June 23, 2014 at 8:30 AM**

Minutes of the Regular Meeting
Metro-North Committee
Monday, April 28, 2014

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

8:30 a.m.

The following members were present:

Hon. Fernando Ferrer, Vice Chairman, MTA
Hon. James L. Sedore, Jr., Chairman of the Committee
Hon. Mitchell H. Pally
Hon. Jonathan A. Ballan
Hon. Robert C. Bickford
Hon. James F. Blair
Hon. Norman Brown
Hon. Susan G. Metzger
Hon. Charles G. Moerdler
Hon. John J. Molloy
Hon. Carl V. Wortendyke

Not Present:

Hon. Jeffrey A. Kay
Hon. Andrew M. Saul

Also Present:

Hon. Ira R. Greenberg
Hon. Mark D. Lebow
Hon. Mark Page
Hon. James Redeker, Commissioner, CDOT
Joseph J. Giulietti – President, Metro-North Railroad
Donna Evans – Chief of Staff
Ralph Agritelley – Vice President, Labor Relations
Katherine Betries-Kendall – Vice President Human Resources
Michael R. Coan – Chief, MTA Police Department
Susan Doering – Vice President-Customer Service & Stations
Randall Fleischer – Senior Director, Business Development, Facilities and Marketing
James B. Henly – Vice President and General Counsel
Michael Horodniceanu, President, MTA Capital Construction
John Kesich – Senior Vice President Operations
Anne Kirsch – Chief Safety Officer
Timothy McCarthy – Senior Director, Capital Programs
Kim Porcelain – Vice President - Finance and Information Systems
Robert Rodriguez – Director – Diversity and EEO
Michael Shiffer – Vice President – Operations Planning

The members of the Metro-North Committee met jointly with the members of the Long Island Committee. Mr. Pally, as Chairman of the Long Island Committee, called the joint meeting to order. He acknowledged and welcomed Commissioner Redeker of CDOT.

Seven public speakers addressed the Committee. Orrin Getz of Rockland County discussed west-of-Hudson Metro-North service and the federal process for PTC installations. He stated that President Giulietti should hold a meet and greet with west-of-Hudson riders, commented on Pascack Valley Line delays and noted that New Jersey Transit will be undertaking a review similar to the FRA's "Deep Dive" review of Metro-North operations. Additional details of the comments made by Mr. Getz and the remaining speakers, who did not discuss matters relating to Metro-North, are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records.

Upon motion duly made and seconded, the Committee approved the minutes of the March 24, 2014 Committee meeting. There were no changes to the 2014 work plan.

MTA LONG ISLAND RAIL ROAD PRESIDENT'S REPORT

President Williams reported on Long Island Rail Road matters. She noted that the Long Island Rail Road and Metro-North are working closely on the development of Positive Train Control (PTC) and have worked together to negotiate change orders to accelerate the PTC delivery schedule. The details of President Williams' report are contained in the minutes of the Long Island Rail Road Committee held this day and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

MTA METRO-NORTH RAILROAD PRESIDENT'S REPORT

President Giulietti reported on Metro-North Railroad matters. President Giulietti noted that this is the first joint meeting of the railroad committees he has attended, and expressed his appreciation of the partnership that has developed with the Long Island Rail Road. He also expressed his appreciation to CDOT Commissioner James Redeker and Deputy Commissioner Anna Barry for their attendance at the Committee meeting and for their participation at a recent presidential "meet and greet" held in Connecticut.

President Giulietti discussed the FRA "Deep Dive" review and the important steps Metro-North has taken to reestablish safety as the railroad's unmistakable priority. He reported that a progress meeting was recently held with the FRA and Metro-North will submit a plan to the FRA by May 17 that addresses the concerns raised in the "Deep Dive" review. A number of safety improvements which address the FRA's concerns are to be implemented prior to the May 17 submission date as part of the 100-Day Action Plan.

Continuing the discussion on the railroad's commitment to safety, President Giulietti noted that he has reorganized the Metro-North Safety Department to focus solely on safety. Company-wide safety stand downs were held on March 11 and April 10 with such meetings henceforth to be held on a quarterly basis. Metro-North has heightened the monitoring of speed restrictions by reviewing randomly selected event recorders, utilizing radar gun enforcement and observations made by supervisors riding trains. A plan has been developed to utilize advanced inspection technology to increase the effectiveness of track inspections and ensure that track is maintained to FRA and Metro-

North standards. The Enhanced Employee Protection System (EEPS), an industry-leading system developed in-house that significantly increases the safety of workers on the tracks by putting track block placement and removal in the hands of the worker on the track, has been completed ahead of schedule. Metro-North and Long Island Rail Road are working to accelerate implementation of PTC technology. The railroads are also working toward implementation of an FRA Confidential Close Call Reporting System (C3RS) that allows employees to anonymously report unsafe events and conditions that could lead to serious problems without fear of reprisal.

President Giulietti outlined the status of Metro-North's 100-Day Action Plan, noting that each initiative undertaken will support one or more of four key goals: promoting a culture of safety, adopting concrete safety enhancements, restoring reliable service and improving communication to customers and employees. The action plan will address the findings of the FRA "Deep Dive" report and of the MTA's Blue Ribbon Panel on Safety.

President Giulietti reported on the details of the new train schedules to become effective May 11, after the Bronx track rehabilitation program has been completed. The new timetable, which will be more reliable than the one currently in place, was developed after a detailed analysis of performance and train running times conducted by the Metro-North Planning Department, with particular focus on performance and train running times on the New Haven Line. The schedule changes, among other things, address speed restrictions put in place after the serious incidents that took place in 2013, infrastructure improvement work to be undertaken in New York and Connecticut, and increased delays and overcrowding, especially on the New Haven Line. As per the agreement under which Metro-North operates the New Haven Line, President Giulietti noted that CDOT has approved the schedule changes relating to the New Haven Line and has asked Metro-North to implement further service enhancements in the fall schedule.

President Giulietti reported on informal meetings he has been holding with customers during his first 100 days. The meetings provide President Giulietti and his senior staff with an opportunity to speak with Metro-North's customers and elected officials. President Giulietti has also visited with Metro-North employees at various facilities. He noted that the deadline for the 100-Day Plan is June 11, and that many of the initiatives commenced in the Plan period will continue beyond that date. A scorecard is posted on the internet to inform customers and stakeholders of Metro-North's progress. President Giulietti noted that a Metro-North has a lot of work ahead of it to create a culture in which safety is the most important priority, to fix what is broken with the railroad's physical plant, procedures and organizational structure and to win back the confidence and trust of its customers and other stakeholders. President Giulietti and his senior team are committed to achieving these goals.

President Giulietti announced that he has appointed three seasoned railroad veterans to top operational posts. Glen Hayden, who was a past head of Metro-North's Maintenance of Way Department, has been appointed Vice President of Engineering. Michael Yaeger, who oversaw fleet maintenance, has been appointed Chief Mechanical Officer. Kevin O'Connor, who was responsible for day to day train operations and has experience in implementing C3RS, has been appointed Chief Transportation Officer. President Giulietti is confident that these experienced professionals will provide leadership needed to rebuild Metro-North's reputation for excellence by refocusing its attention on safety, reliability and customer service.

President Giulietti reported on the Mount Vernon Substation Upgrade, which began on April 18. The project, led by Tim McCarthy, head of Metro-North Capital Programs, will upgrade the power supply for the New Haven Line at Metro-North's Mount Vernon East substation to provide additional redundancy and increase capacity and will reconfigure existing controls and metering to take advantage of potential power savings. When completed, the project will enable Metro-North to use the regenerative braking technology on its M-8 rail cars to feed power back into the catenary system each time the cars go into braking mode. This excess electricity reduces Metro-North's overall power demand. In March, a similar upgrade was completed with CDOT, resulting in a doubling of capacity at the Cos Cob West substation. These substation improvements reduce the possibility of a full power outage. In the event of a full power outage, activating the tie and restoring regular train service through the area is estimated to take up to two hours.

President Giulietti reported that total ridership is 1.7% lower year-to-date through March 2014 as compared to the comparable period of 2013. West-of-Hudson ridership increased 1.1% in March 2014 as compared to the comparable period of 2013. West-of-Hudson ridership continues to slowly rebound from the large ridership losses which occurred after 2009. Board member Metzger noted that she is pleased that ridership has increased west-of-Hudson and encouraged Metro-North to work with New Jersey Transit to expand west-of-Hudson service.

In discussing Governor Malloy's approval of the May 11 schedule change, CDOT Commissioner Redeker noted that, while the schedule meets Governor's expectations in terms of safety and reliability, travel times and frequency are not up to the Governor's expectations. CDOT appreciates the work done by President Giulietti and his staff in developing the May 11 schedule and looks forward to working with them to improve future schedules.

Further details concerning President Giulietti's report are contained in the video recording of the meeting produced by the MTA and maintained in the MTA records.

MTA POLICE DEPARTMENT REPORT

Chief Coan reported that the number of incidents has increased, mainly due to an increase in larcenies. The details of Chief Coan's report are contained in the MTA Police Report filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

Long Island Rail Road Information Items:

President Williams presented Long Island Rail Road information items. She reported that, pursuant to an earlier Board authorization, the MTA Director of Safety and Security, on behalf of the MTA PD, will execute an agreement with Amtrak to use the Amtrak Antenna system in the East River Tunnels to provide radio coverage for the MTA Police in the tunnels. The details of President Williams' report and Board Members' comments are contained in the minutes of the Long Island Rail Road held this day and in the video recording of the meeting produced by the MTA and maintained in the MTA records.

MTA Metro-North Railroad Information Items:

Three informational items were reported to the Committee:

- Final Review of 2013 Operating Budget Results
- Annual Inventory Report – Mr. Bombace reported that, since 2008, Metro-North’s Procurement & Material Management Department has put in place efforts and initiatives to improve service to its internal customers while reducing inventory investment. The initiatives have focused intensively on statistical analysis and detailed inventory monitoring while using state-of-the-art forecasting software. Over the five-year period from 2008-2013 service level has increased by 2.4% to a record high of 98.3%. Stock inventory was reduced by 10% while Metro-North’s fleet size grew 9% over the same period.
- Agreements for MTA Police Radio Project

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

President Giulietti recognized Anthony Bombace, Senior Director of Procurement & Material Management, who will be retiring. He noted that during his tenure with Metro-North Mr. Bombace attained vast knowledge of Metro-North’s operations and is viewed by many as the “pillar” of the Procurement Department. Mr. Bombace has continually been acknowledged for his high standard of integrity, strong work ethic and leadership with both internal and external customers. President Giulietti wished him well in his retirement.

Procurements:

Long Island Rail Road

The Committee voted on certain Long Island Rail Road procurements that relate to Metro-North. Among the procurements approved were the following non-competitive procurements:

- A three-year, non-competitive, purchase and public works contract with LB Foster Rail Technologies for the provision of rail lubrication and traction applicators, as well as, replacement parts on an as-needed basis. This is a Long Island Rail Road-led multi-agency procurement with Metro-North and New York City Transit.
- A contract with North American Equipment Sales Co., Inc. (North America) for the supply of parts required on an as-needed basis to maintain Little Giant/Badger cranes, American & Ohio Locomotive cranes, Teleweld rail heaters and Airtec impact tools. This is a Long Island Rail Road-led joint procurement with Metro-North.

The Committee voted on certain Long Island Rail Road procurements that relate to Metro-North. Among the procurements approved was the following competitive procurement:

- Contract modifications to accelerate performance of the PTC System Integrator contract to increase delivery rates for (i) PTC on-board equipment kits for M-7 cars and M-3 cars, (ii) PTC wayside equipment kits and (iii) to obtain delivery of Metro-North wayside transponders. This is a Long Island Rail Road-led joint procurement with Metro-North.

Upon motion duly made and seconded, all the foregoing procurement items were approved for recommendation to the Board. Further details concerning the procurement items noted above are

contained in the minutes of the Long Island Rail Road held this day, the staff summaries and other materials filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between Committee members and staff relating to the above items.

MTA Metro-North Railroad

One non-competitive procurement was presented to the Committee:

- Approval of two, non-competitive, five-year miscellaneous service contracts with Siemens Industry, Inc. for maintenance and system upgrades for the Grand Central Terminal (GCT) Siemens Building Management System (BMS) and the Grand Central Terminal Siemens Fire Alarm and Life Safety System (FAS).

Two competitive procurements were presented to the Committee.

- Approval of a competitive, two-year miscellaneous service contract with Advanced Hermetic, Inc. to provide for the remanufacture of Metro-North's M-2 and M-4 railcar compressors.
- Approval of a competitive, six-year miscellaneous service contract with Masabi, LLC for implementation of a mobile ticketing program, including development and maintenance of all support systems. This is a Metro-North led joint agency RFP with the Long Island Rail Road.

There were four ratifications presented:

- Ratification of the emergency purchase of bulk rock salt for use at locations (i.e. sidewalks, service roads, parking lots and shops & maintenance buildings) throughout Metro-North's operating territory.
- Ratification of the emergency purchase of 3rd rail fiberglass, non-conductive channels needed to preclude electrical arcing.
- Ratification of the emergency purchase of splice covers for Metro-North's 3rd rail system.
- Ratification of the emergency repair of Locomotive No. 225 damaged as a result of the December 2013 derailment.

Upon motion duly made and seconded, all the foregoing procurement items were approved for recommendation to the Board. The details of the above items are contained in staff summaries and reports filed with the records of this meeting and in the video recording of the meeting produced by the MTA and maintained in the MTA records, which recording includes discussions between Committee Members and Metro-North staff relating to the above items.

Reports on Safety, Operations, Finance and Ridership and the Capital Program:

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

Adjournment

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

Respectfully submitted,

A handwritten signature in cursive script that reads "Linda Montanino".

Linda Montanino
Assistant Secretary

Mar 2014 Committee Minutes
Legal/Corporate/Committee Minutes Current



2014 Metro-North Railroad Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

| | |
|----------------------------|----------------------------|
| Approval of Minutes | Committee Chairs & Members |
| 2014 Committee Work Plan | Committee Chairs & Members |
| Information Items (if any) | |
| Action Items (if any) | |
| Procurements | |
| President's Report | President/Senior Staff |
| Safety | |
| Operations | |
| Financial | |
| Ridership | |
| Capital Program | |
| MTA Police Report | |

II. SPECIFIC AGENDA ITEMS

Responsibility

May 2014

| | |
|--|-------------------|
| RCM Fleet Maintenance | Operations |
| Elevator & Escalator Service Report-1 st Quarter 2014 | Operations |
| Diversity/EEO Report – 1 st Quarter 2014 | Diversity and EEO |

June 2014

| | |
|---|-----------------|
| Positive Train Control | President |
| Grand Central Terminal Retail Development | MTA Real Estate |

July 2014

| | |
|---------------------|--------------------------|
| Environmental Audit | Environmental Compliance |
|---------------------|--------------------------|

September 2014

| | |
|--|--------------------------------|
| 2014 Final Mid-Year Forecast | Finance |
| 2015 Preliminary Budget (Public Comment) | Finance |
| 2014 Fall Schedule Change | Operations Planning & Analysis |
| Elevator & Escalator Service Report-2 nd Quarter 2014 | Operations |
| Diversity/EEO Report – 2 nd Quarter 2014 | Diversity and EEO |

October 2014

| | |
|--|---------|
| 2015 Preliminary Budget (Public Comment) | Finance |
|--|---------|

November 2014 (Joint meeting with LIRR)

| | |
|--|--------------------------------|
| 2015 Preliminary Budget (Public Comment) | Finance |
| Annual Committee Charter Review | Committee Chairs & Members |
| Holiday Schedule | Operations Planning & Analysis |
| Elevator & Escalator Service Report–3 rd Quarter 2014 | Operations |
| Diversity/EEO Report – 3 rd Quarter 2014 | Diversity and EEO |

December 2014

| | |
|-----------------------------------|----------------------------|
| 2015 Final Proposed Budget | Finance |
| 2015 Proposed Committee Work Plan | Committee Chairs & Members |

January 2015

| | |
|--------------------------------------|----------------------------|
| Approval of 2015 Committee Work Plan | Committee Chairs & Members |
|--------------------------------------|----------------------------|

February 2015

| | |
|--|------------|
| Adopted Budget/Financial Plan 2015 | Finance |
| 2014 Annual Operating Results | Operations |
| Elevator & Escalator Service Report–4 th Quarter 2014 | Operations |

March 2015

| | |
|--|--------------------------------|
| 2014 Annual Ridership Report | Operations Planning & Analysis |
| Annual Strategic Investments & Planning Studies Report | Capital Planning |
| Diversity/EEO Report – 4 th Quarter 2014 | Diversity and EEO |

April 2015 (Joint meeting with LIRR)

| | |
|---|--------------------------------|
| Final Review of 2014 Operating Budget Results | Finance |
| 2015 Spring/Summer Schedule Change | Operations Planning & Analysis |
| Annual Inventory Report | Procurement |

METRO-NORTH RAIL ROAD COMMITTEE WORK PLAN

DETAILED SUMMARY

I. RECURRING AGENDA ITEMS

Approval of Minutes

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

2014 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.

President's Report

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

Safety

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

Operations

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

Financial

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

Ridership

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

Capital Program

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

Police Activity Report

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

II. SPECIFIC AGENDA ITEMS

MAY 2014

RCM Fleet Maintenance

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

Elevator & Escalator Service Report – 1st Quarter 2014

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

Diversity & EEO Report– 1st Quarter 2014

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

JUNE 2014

Positive Train Control

A brief presentation on Positive Train Control (PTC) will be provided. The status of PTC, including activities to date and the current strategy to meet critical milestones identified in the Rail Safety Improvement Act of 2008 will be discussed. Highlights to include cost of PTC along with operational and implementation risks.

Grand Central Terminal Retail Development

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

JULY 2014

Environmental Audit Report

The Committee will be briefed on the results of the 2014 environmental audit report which is submitted to NYS Department of Environmental Conservation as required by the Environmental Audit Act, as well as the actions implemented to enhance overall compliance, monitoring and reporting.

SEPTEMBER 2014

2014 Final Mid-Year Forecast

The agency will provide the 2014 Mid-Year Forecast financial information for revenue and expense by month.

2015 Preliminary Budget

Public comment will be accepted on the 2015 Budget.

2014 Fall Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines for the Fall of 2014.

Elevator & Escalator Service Report – 2nd Quarter 2014

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

Diversity & EEO Report– 2nd Quarter 2014

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

OCTOBER 2014

2015 Preliminary Budget

Public comment will be accepted on the 2015 Budget.

NOVEMBER 2014

2015 Preliminary Budget

Public comment will be accepted on the 2015 Budget.

Review Committee Charter

Annual review and approval of the MNR Committee Charter.

Holiday Schedule

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

Elevator & Escalator Service Report – 3rd Quarter 2014

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

Diversity & EEO Report– 3rd Quarter 2014

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

DECEMBER 2014

2015 Final Proposed Budget

The Committee will recommend action to the Board on the Final Proposed Budget for 2015.

Proposed 2015 Committee Work Plan

The Committee Chair will present a draft Metro-North Committee Work Plan for 2015 that will address initiatives to be reported throughout the year.

JANUARY 2015

Approval of 2015 Committee Work Plan

The Committee will approve the Proposed Metro-North Railroad Committee Work Plan for 2015 that will address initiatives to be reported on throughout the year.

FEBRUARY 2015

Adopted Budget/Financial Plan 2015

The Agency will present its revised 2015 Financial Plan. These plans will reflect the 2015 Adopted Budget and an updated Financial Plan for 2015 reflecting the out-year impact of any changes incorporated into the 2015 Adopted Budget.

2014 Annual Operating Results

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

Elevator & Escalator Service Report – 4th Quarter 2014

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

MARCH 2015

2014 Annual Ridership Report

A report will be presented to the Committee on Agency ridership trends during 2014 based on monthly ticket sales data and the results of train ridership counts conducted by the Agency.

Annual Strategic Investments & Planning Studies Report

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

Diversity & EEO Report– 4th Quarter 2014

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

APRIL 2015 (Joint Meeting with LIRR)

Final Review of 2014 Operating Results

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

2015 Spring/Summer Schedule Change

The Committee will be informed of the schedule changes taking effect for train service on the Hudson, Harlem, New Haven, Pascack and Port Jervis lines during the spring and summer of 2015.

Annual Inventory Report

The Agency will present its annual report on Inventory.



Metro-North Railroad

**Information Items
May 2014**

MTA Metro-North Railroad

Operations Division

Annual Report on Fleet Maintenance

2013

Maintenance of Equipment

The Maintenance of Equipment (M of E) Department is responsible for providing a safe and reliable fleet, available to support the Metro-North Railroad service plan. The Passenger Fleet consists of 1,210 units, including locomotives, diesel hauled coaches and electric multiple units. M of E is organized to achieve this mission.

M of E performs periodic inspections and maintenance events as defined by our Maintenance Plan. In addition, equipment repairs and modifications are performed. These activities ensure rolling stock safety, reliability, availability and compliance with regulatory agencies requirements.

Maintenance Plan

M of E departmental activities are designed to produce and execute an annualized maintenance plan. This effort supports the 20-Year rolling stock plan.

Each fleet is scheduled for maintenance events at various shop locations. Calendar Day, 45-Day, 60-Day, 92-Day, 184-Day, 368-Day, 1104-Day, 1472-Day, 1840-Day, 6-Year through 10-Year, and 12-Year maintenance events are performed at six equipment maintenance facilities and their respective yards, as well as four outlying yards and Grand Central Terminal.

Reliability Centered Maintenance (RCM) and its elements define the maintenance plan.

Reliability Centered Maintenance

RCM is a process used to determine the maintenance requirements of rolling stock in its operating environment.

RCM at Metro-North Railroad is applied to assure the design level of reliability, safety and regulatory compliance.

Evaluation and adjustment of the Maintenance Plan to improve rolling stock availability and performance is achieved through continuous assessment.

Reliability Centered Maintenance has contributed to the fleets' improved Mean Distance Between Failure (MDBF) and Consist Compliance.

Maintenance Plan

The Maintenance Plan combines federally mandated safety inspection and air brake requirements with Reliability Centered Maintenance activities e.g. inspections, servicing, or replacements relative to vehicle duty cycles.

The following is an overview of the Plan's elements.

Where practicable, rolling stock receives planned maintenance activities in conjunction with federally mandated inspection intervals. These intervals vary by fleet type, but typically receive Calendar Day Mechanical Inspection (CDMI), Quarterly, Semi-Annual, Annual, and higher level scopes based on 3, 4, and 5-Year multiples depending on the age and configuration of the vehicle.

The scope of each higher level interval is cumulative in nature.

Calendar Day Mechanical Inspection

Is the maintenance and inspection activity required once every calendar day to dispatch a train consist for use in service. The CDMI tests, inspects or validates, braking, cab signal, trucks, wheels, lighting, heating ventilation and air conditioning, propulsion and door systems.

Quarterly Inspection

Is a Periodic Inspection (PI) performed on all fleets. It includes an interior and exterior inspection and operational test of all major systems. The federally mandated requirements such as air brake gauge calibration and cab signal tests are satisfied. Renew brake shoes, filters, light bulbs, fluids, contactor tips and other consumable items based on condition assessment for wear or other deficiencies. Clean electrical components, measure wheels, and clean, adjust and test door operations. All work is documented in a comprehensive work packet and federally mandated records.

Semi-Annual Inspection

In addition to the lower level inspection items, this PI includes functional tests of emergency lighting, door operation, and HVAC systems as well as an undercar/pit inspection. A single car brake test is also performed.

Annual Inspection

In addition to the Quarterly and Semi-Annual PI requirements specific filters, strainers and valves for the air brake, and air supply systems are renewed, and additional testing such as Emergency Egress compliance is performed during this inspection. Selectively scheduled component renewals such as batteries, motor alternators are also performed.

| Interval | M-3 EMU | M-7 EMU | M-2 EMU | M-4/6 EMU | M-8 EMU | Shoreliner Coach | All Locomotives |
|------------------------|------------|------------|------------|--------------|------------|------------------------|--------------------|
| 45 Day (8 per yr) | | | | | | X | |
| 60 day (6 per yr) | | | X | X | | Center Door Cab Car | |
| 92 day (4 per yr) | X | X | | | X | End Door Cab Car | X |
| 184 day (2 per yr) | | | | | | Trailer | |
| 368 day (Air Brake) | X | X | X | X | X | X | X |

Maintenance Plan

3-Year, 4-Year, 5-Year and Higher Level Scopes

All lower level inspection requirements are satisfied. These Periodic Inspections (PI) satisfy the federally mandated brake system component overhaul requirements. During these events additional scope coordinated in multiples of the mandated cycle is performed. These scopes become increasingly comprehensive relative to the vehicle age and expected service requirements to maintain equipment performance, reliability, and to maximize facility utilization. Typical higher level scope includes removal, rebuild and replacement of air brake components, couplers, toilets, trucks and suspension components, pantographs, HVAC compressors, air compressors, motors, propulsion control devices, and blowers assemblies. In addition, expansion valves, condenser fan motors, weather stripping, air bags, glazing, batteries, diaphragms, wheels and other components are renewed.

In addition to the progressive component replacements in the higher level scopes, the maintenance plan addresses broader equipment issues such as Cab Signal system upgrades and seats.

EMU Scheduled Programs

| | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 |
|--------------------|------|------|------|------|------|------|------|------|
| M3 | | | | | | | | |
| 3 Year | 46 | 48 | 46 | 48 | 46 | 48 | 46 | 48 |
| AIR COMPRESSOR | 4 | 5 | 10 | 11 | 11 | 24 | 5 | |
| BATTERY 25-CELLS | 9 | 12 | 10 | 4 | 7 | 7 | 3 | 10 |
| BLOWER SEB B-END | 7 | 10 | 6 | 5 | 5 | 7 | 10 | 13 |
| BLOWER - SEB F-END | 26 | 18 | 10 | 11 | 14 | 17 | 14 | 19 |
| MOTOR ALTERNATOR | 8 | 6 | 16 | 11 | 4 | 12 | 5 | |
| M7 | | | | | | | | |
| 5 Year | | | | | | | | |
| 10 Year | 68 | 66 | 68 | 66 | 44 | | | |
| 15 Year | | | | | 24 | 68 | 66 | 68 |
| M8 | | | | | | | | |
| 5 Year | 30 | 81 | 81 | 81 | 81 | 51 | | |
| 10 Year | | | | | | 30 | 81 | 81 |

Diesel Hauled Scheduled Programs

| | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 |
|---------------------|------|------|------|------|------|------|------|------|
| End Door Coaches | | | | | | | | |
| 4 Year | 21 | | 1 | | | | | 1 |
| 8 Year | 1 | 21 | 30 | 30 | 21 | | 1 | |
| 12 Year | | | | | 1 | 21 | 30 | 30 |
| Center Door Coaches | | | | | | | | |
| 4 Year | 11 | 14 | 12 | 10 | 10 | 4 | 6 | 4 |
| 8 Year | 21 | 8 | 7 | 10 | 16 | 23 | 10 | 10 |
| 12 Year | 5 | 9 | 2 | | 11 | 4 | 5 | 6 |
| P32ACDM | | | | | | | | |
| 5 Year | 5 | 7 | 5 | 7 | 7 | 5 | 7 | 5 |
| 8 Year | 4 | | | | | | | |
| 16 Year | | 3 | 3 | 3 | 3 | 3 | 3 | 3 |
| BL20GH | | | | | | | | |
| 4 Year | | | | | | | 5 | 5 |
| 8 Year | | | 3 | 3 | 3 | 3 | | |

Completed Work Scope Activity

| FLEET | SCOPE | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | TOTAL |
|---------------------|-------------------------|------------|------------|------------|------------|------------|------------|------------|------------|-------------|
| M2 | 3 - YEAR | 72 | 82 | 80 | 72 | 70 | 82 | 58 | 8 | 524 |
| | CSR | 22 | 12 | 12 | 6 | | | | | 52 |
| | BATTERY | 15 | 26 | 14 | 3 | 6 | | | | 64 |
| M3 | 3 - YEAR | 58 | 30 | 44 | 58 | 48 | 46 | 46 | 46 | 374 |
| | 6 - YEAR | 6 | 32 | 44 | 52 | 4 | | | | 138 |
| | AIR COMPRESSOR ASSEMBLY | 1 | | 3 | 1 | | 1 | | | 9 |
| | BATTERY | 10 | 4 | 4 | | | | 1 | 3 | 22 |
| | B END SEB | 5 | 5 | 4 | | 3 | 3 | 3 | 3 | 26 |
| | F END SEB | 15 | 8 | 8 | 3 | 6 | 6 | 5 | 7 | 58 |
| | MOTOR ALTERNATOR | 2 | 2 | 5 | 2 | 3 | 2 | 6 | 2 | 24 |
| M4 | 3 - YEAR | 17 | 22 | 9 | 17 | 23 | 12 | 14 | 20 | 134 |
| | 9 - YEAR | | 9 | | 17 | 17 | 3 | | | 46 |
| | BATTERY | 7 | 6 | 2 | | | 9 | 1 | | 25 |
| M6 | 3 - YEAR | 10 | 4 | 30 | 10 | | | 33 | 9 | 97 |
| | 6 - YEAR | 7 | 3 | 3 | | | | | | 13 |
| | 9 - YEAR | | | | 7 | 3 | 27 | 3 | | 40 |
| | BATTERY | 5 | | | 8 | 11 | 6 | 1 | | 31 |
| M7 | 5 - YEAR | 52 | 14 | 46 | 64 | 80 | 66 | 66 | 34 | 422 |
| | 10 - YEAR | | | | | | | | 26 | 26 |
| P32AC-DM | 4 - YEAR | 7 | 4 | | | | 1 | 4 | 2 | 18 |
| | 5 - YEAR | 10 | 8 | 7 | 5 | 9 | 4 | 8 | 7 | 58 |
| | 8 - YEAR | 1 | 4 | 5 | 5 | 4 | 3 | 2 | 3 | 27 |
| | BATTERY | | | 5 | 7 | 11 | 5 | | | 28 |
| BL20GH | 4 - YEAR | | | | | | | 6 | 4 | 10 |
| End Door Coaches | 3 - YEAR | 6 | 8 | | | | | | | 14 |
| | 4 - YEAR | 4 | 28 | 35 | 40 | 30 | 16 | 33 | 19 | 205 |
| 8 - YEAR OVERHAUL | | | | 1 | | | | | | 1 |
| | | | | 12 | 21 | 39 | 32 | | | 104 |
| | | | | | | | | | | |
| Center Door Coaches | 3 - YEAR | 6 | 5 | | | | | | | 11 |
| | 4 - YEAR | 41 | 27 | 20 | 18 | 45 | 26 | 1 | 18 | 196 |
| | 6 - YEAR | 2 | | | | | | | | 2 |
| | 8 - YEAR | 24 | 10 | 2 | 4 | 23 | 18 | 14 | 10 | 105 |
| | 9 - YEAR | 6 | | | | | | | | 6 |
| | 12 - YEAR SEAT RENEWAL | 8 | 8 | 20 | 13 | 33 | 8 | | 1 | 91 |
| TOTAL | | 463 | 376 | 424 | 449 | 461 | 377 | 281 | 217 | 3038 |

2013 Achievements

- **Overall Fleet Performance**
 - 156,617 MDBF vs. a goal of 155,000
 - 99.7% Consist Compliance vs. a goal of 98.6%
 - 99.9% Consist Compliance on Hudson Line
 - 99.8% Consist Compliance on Harlem Line
 - 99.4% Consist Compliance on New Haven Line
- **MTA Inter-Agency Activities**
 - Continued collaboration with NYCT Central Electronics Shop (CES) for the repair M7 components
 - Continued work under MOU with LIRR to repair the M7 Communications System components, and power supplies
 - Joint Task Force with LIRR, knowledge and experience sharing to execute the M7 RCM program,
 - M9 Joint Procurement
 - Participation in Enterprise Asset Management (EAM)
- **Budget Performance**
 - Overall - \$9.8 M (4.6%) under budget
 - Material - \$ 4.4 M (9.2%) under budget
 - Labor - \$ 382 K (.25%) under budget
 - Vacation Leveling Completed

2013 Achievements

- **M8 Fleet** *as of 5/1/14*
 - Conditional Acceptance of 340 vehicles for Revenue Service
 - 176 M2/M4/M6 units have been retired to date
- **M7 Fleet**
 - Continued implementation of modifications originating from GSA II Agreement with Bombardier, e.g. Anti-roll bar 49%, Swing arm articulation 75%, fuse box. 57% Complete to date
 - Implemented 10 YR RCM Maintenance, e.g. Truck Work Scope - 23% Complete to date, M7 Traction Motor 10 Year Overhaul 22% complete to date
- **Genesis Locomotives**
 - Off-site GE Transportation 8-Year Scheduled Overhaul - 3 units completed in 2013. Total of 27/31 units completed (87%)
 - Begin PTC production application
- **Gp35 Locomotives**
 - Begin overhaul 8 switchers to complete by 2016 1Q
- **Shoreliner Coaches**
 - All Coaches now maintained in RCM Process
 - Super Storm Sandy damaged coaches all returned to service
 - Implement PHW Cab signal – PTC upgrade contract 034/038 Coach Fleet

2014 Activities

- **MTA Inter-Agency Activities**
 - Continue to explore and implement inter-agency component repair: with NYCTA
 - And LIRR
 - Continue to partner with LIRR on M7 RCM investigations and maintenance strategies
 - Participate in Enterprise Asset management activities
- **Fleet Performance**
 - Continue developing RCM plan for new M8 Fleet and establish 5YR RCM activities
 - To reduce frequency of single point failures on Genesis fleet
 - Complete Turbo-Charger and Air Compressor upgrade
 - Complete Equipment Blower re-design
 - Continued mitigation of M-7 traction motor failures through testing and enhanced maintenance
 - BL20 Locomotives RCM Scope Development - Engines and Alternators
- **Implement key elements to support MNR Safety enhancements**
 - Install Alerter devices on M3 and Coach fleets by 4th quarter
 - Review findings of the FRA deep dive and implement corrective actions

2014 Challenges

- **Safety Culture**
 - Develop and Support changes in culture to respond to lessons learned from external Safety review
- **Harmon Shop Replacement**
 - Continued efforts on the design and build new EMU Consist Tracks
 - Required to perform consist-based maintenance activities on Coach, M7 and M3 Replacement fleets
 - Forward design and build of the remaining EMU Maintenance Shop Elements
 - Required to support continued M7/M3 Replacement RCM requirements
- **New Haven Shop Facilities**
 - Work with CDOT to ensure New CCO Shop Facilities are operational by the end of 2014
- **Business Enterprise Systems**
 - Address obsolescence of existing business systems
 - Identify and acquire real-time business tools to support cost-effective maintenance of rolling stock
- **Workforce Attrition**
 - Minimize impact due to loss of experienced personnel
 - Train new maintenance and repair employees

2014 Goals

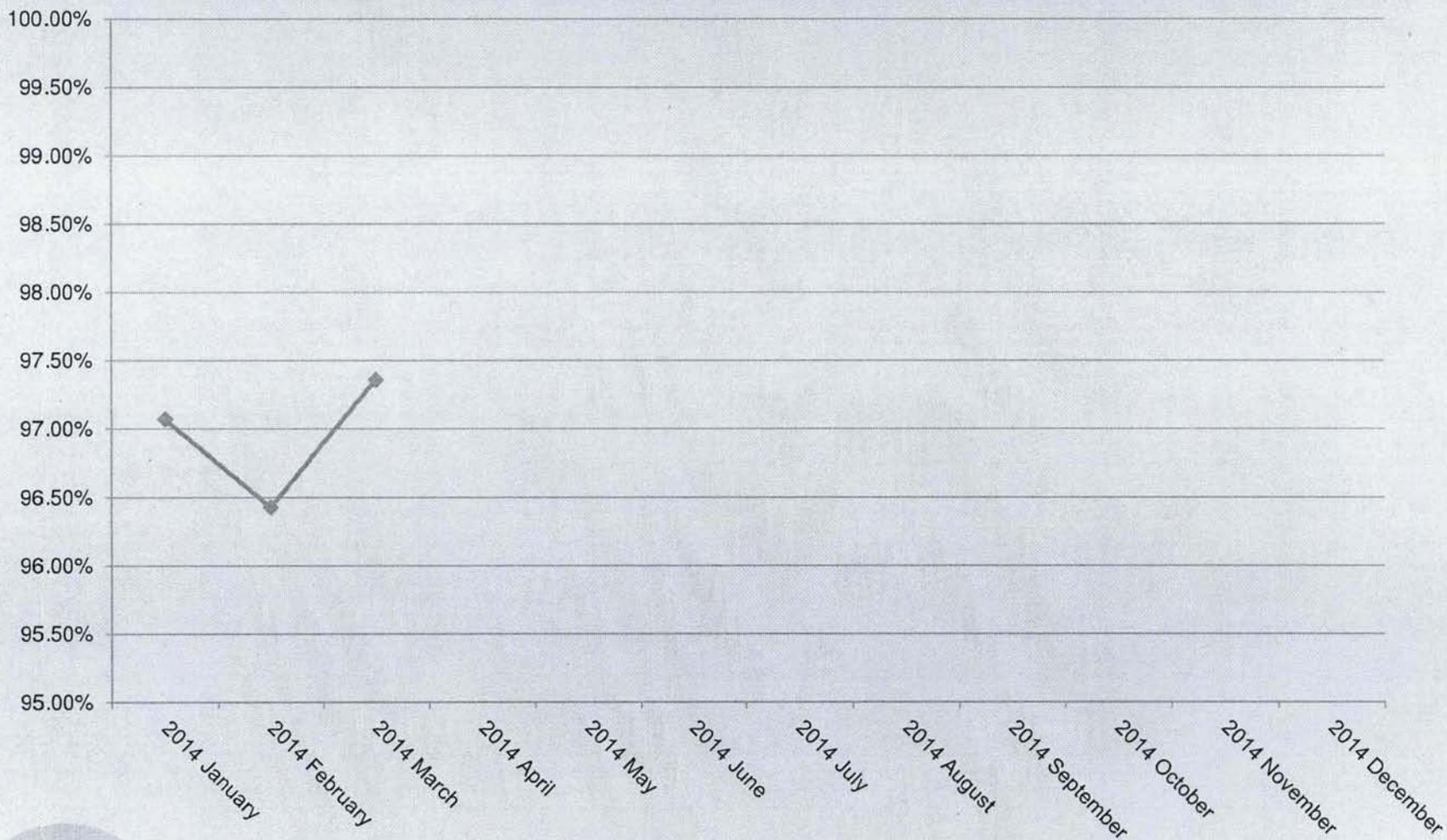
| Description | Target |
|------------------------|---------|
| MDBF – All Fleets | 160,000 |
| M-2/4/6 MDBF | 60,000 |
| M-8 MDBF | 280,000 |
| M-3 MDBF | 135,000 |
| M-7 MDBF | 460,000 |
| Shoreliner Coach | 295,000 |
| P32 Locomotives | 35,000 |
| BL20 Locomotives | 12,000 |
| HVAC Compliance | |
| Heating | 99.8% |
| Air Conditioning | 99.2% |
| Consist Compliance | |
| System | 99.8% |
| Hudson Line AM Peak | 99.8% |
| Harlem Line AM Peak | 99.8% |
| New Haven Line AM Peak | 99.8% |

Metro-North Railroad Elevator/Escalator

1st Quarter Report
2014



Passenger Elevator Availability



Definition: Availability measures the percent of time that a unit is running and available for customer service as of 7:00 AM daily.

MTA Metro-North Railroad

2014 1st Quarter Elevator Availability by Station – Hudson Line

| Elevator Name | Elevator Number | % Available (Mechanical Failures only) | Elevator Name | Elevator Number | % Available (Mechanical Failures only) |
|-------------------|-----------------|--|------------------------------|-----------------|--|
| ARDSLEY-ON-HUDSON | 026N | 98% | HARLEM 125th | 002S | 100% |
| ARDSLEY-ON-HUDSON | 026S | 100% | HASTINGS-ON-HUDSON | 022N | 100% |
| BEACON | 056I | 100% | HASTINGS-ON-HUDSON | 022S | 100% |
| COLD SPRING | 054N | 99% | GRAND CENTRAL TERMINAL | T-6 | 100% |
| COLD SPRING | 054S | 98% | GRAND CENTRAL TERMINAL | T-7 | 100% |
| CORTLANDT | 043P | 100% | GRAND CENTRAL TERMINAL | T-8 | 100% |
| CORTLANDT | 043I | 100% | GRAND CENTRAL TERMINAL | T-9 | 100% |
| CORTLANDT | 043PW | 99% | GRAND CENTRAL TERMINAL | T-10 | 89% |
| CROTON-HARMON | 3813 | 100% | GRAND CENTRAL TERMINAL | T-11 | 100% |
| CROTON-HARMON | 3821 | 98% | GRAND CENTRAL TERMINAL | T-12 | 88% |
| CROTON-HARMON | 3842 | 100% | GRAND CENTRAL TERMINAL | T-18 | 100% |
| CROTON-HARMON | 038P | 100% | GRAND CENTRAL TERMINAL | T-19 | 100% |
| DOBBS FERRY | 024N | 100% | GRAND CENTRAL TERMINAL | T-20 | 97% |
| DOBBS FERRY | 024S | 99% | GRAND CENTRAL TERMINAL | WCL | 91% |
| GARRISON | 050N | 100% | GRAND CENTRAL TERMINAL NORTH | NE-1 | 89% |
| GARRISON | 050S | 98% | GRAND CENTRAL TERMINAL NORTH | NE-2 | 100% |
| GLENWOOD | 018N | 100% | GRAND CENTRAL TERMINAL NORTH | NE-3 | 100% |
| GLENWOOD | 018S | 92% | GRAND CENTRAL TERMINAL NORTH | NE-5 | 100% |
| GREYSTONE | 020N | 99% | GRAND CENTRAL TERMINAL NORTH | NE-6 | 100% |
| GREYSTONE | 020S | 99% | | | |
| HARLEM 125th | 002N | 100% | | | |



2014 1st Quarter Elevator Availability by Station – Hudson Line

| Elevator Name | Elevator Number | % Available (Mechanical Failures only) | Elevator Name | Elevator Number | % Available (Mechanical Failures only) |
|----------------|-----------------|--|---------------------------|-----------------|--|
| MORRIS HEIGHTS | 004I | 100% | RIVERDALE | 012S | 100% |
| OSSINING | 3624 | 100% | SCARBOROUGH | 034N | 100% |
| OSSINING | 363 | 100% | SCARBOROUGH | 034S | 100% |
| OSSINING | 036N | 100% | TARRYTOWN | 030N | 100% |
| OSSINING | 036R | 100% | TARRYTOWN | 030S | 100% |
| PEEKSKILL | 046N | 100% | UNIVERSITY HEIGHTS | 006N | 100% |
| PEEKSKILL | 046S | 100% | YANKEES - E. 153RD STREET | 321 | 100% |
| POUGHKEEPSIE | 058N | 100% | YANKEES - E. 153RD STREET | 364 | 100% |
| POUGHKEEPSIE | 058PE | 100% | YANKEES - E. 153RD STREET | 003P | 100% |
| POUGHKEEPSIE | 058PW | 100% | YANKEES - E. 153RD STREET | 003W | 100% |
| POUGHKEEPSIE | 058S | 96% | YONKERS | 016N | 100% |
| RIVERDALE | 012N | 100% | YONKERS | 016S | 100% |



2014 1st Quarter Elevator Availability by Station – Harlem Line

| Elevator Name | Elevator Number | % Available (Mechanical Failures only) | Elevator Name | Elevator Number | % Available (Mechanical Failures only) |
|------------------|-----------------|--|--------------------|-----------------|--|
| BEDFORD HILLS | 152P | 100% | HAWTHORNE | 142I | 98% |
| BEDFORD HILLS | 152I | 100% | KATONAH | 154P | 100% |
| BOTANICAL GARDEN | 110N | 100% | KATONAH | 154I | 100% |
| BOTANICAL GARDEN | 110S | 100% | MOUNT KISCO | 150P | 100% |
| BREWSTER | 162P | 100% | MOUNT KISCO | 150I | 98% |
| BREWSTER | 162I | 99% | MOUNT VERNON WEST | 118N | 100% |
| CHAPPAQUA | 148P | 100% | MOUNT VERNON WEST | 118S | 99% |
| CHAPPAQUA | 148I | 100% | NORTH WHITE PLAINS | 134N | 100% |
| CRESTWOOD | 126N | 100% | NORTH WHITE PLAINS | 134P | 100% |
| CRESTWOOD | 126P | 100% | NORTH WHITE PLAINS | 134S | 100% |
| CRESTWOOD | 126S | 96% | PLEASANTVILLE | 146I | 100% |
| CROTON FALLS | 160P | 98% | PURDYS | 158P | 100% |
| CROTON FALLS | 160I | 100% | PURDYS | 158I | 100% |
| FLEETWOOD | 120N | 96% | SCARSDALE | 128N | 100% |
| FLEETWOOD | 120S | 100% | SOUTHEAST | 163P | 100% |
| FORDHAM | 108N | 100% | SOUTHEAST | 163I | 100% |
| FORDHAM | 108S | 100% | TUCKAHOE | 124N | 100% |
| GOLDENS BRIDGE | 156P | 100% | VALHALLA | 136P | 99% |
| GOLDENS BRIDGE | 156I | 99% | VALHALLA | 136I | 100% |
| HAWTHORNE | 142P | 98% | WHITE PLAINS | 132I | 100% |



2014 1st Quarter Elevator Availability by Station - New Haven Line

| Elevator Name | Elevator Number | % Available (Mechanical Failures) |
|-------------------|-----------------|-----------------------------------|
| GREENWICH | 218E | 100% |
| GREENWICH | 218T | 100% |
| GREENWICH | 218W | 90% |
| HARRISON | 212E | 99% |
| HARRISON | 212W | 100% |
| LARCHMONT | 208E | 100% |
| LARCHMONT | 208W | 100% |
| MOUNT VERNON EAST | 202E | 100% |
| MOUNT VERNON EAST | 202W | 98% |
| NEW ROCHELLE | 206E | 100% |
| NEW ROCHELLE | 206W | 100% |
| RYE | 214E | 100% |
| RYE | 214W | 100% |

These are the only elevators Metro-North maintains on the New Haven Line.



2014 1st Quarter Escalator Availability

| Escalator Number | Escalator Location | % Available | Escalator Number | Escalator Location | % Available |
|------------------|-------------------------------------|-------------|------------------|---|-------------|
| 1 | West Side near Transit Museum | 100% | NE-8 | 47th ST Cross Passage to East Spine | 100% |
| 2 | West Side near Transit Museum | 100% | NE-9 | East Spine to 48th ST and Park | 37% |
| 3 | East Side near Market | 98% | NE-10 | 45th ST Cross Passage to West Spine | 100% |
| 4 | East Side near Market | 99% | NE-11 | 47th ST Cross Passage to 47th and Madison | 95% |
| 5 | East Side near Market | 60% (a) | NE-12 | 245 Park Ave | 98% |
| 6 | East Side near Market | 60% (a) | N | White Plains | 100% |
| NE-7 | 45th ST Cross Passage to East Spine | 100% | S | White Plains | 100% |

GCT Escalator Summary:

Metro-North has begun a systematic maintenance/rehabilitation program for the eleven original escalators within Grand Central Terminal. Ten of those escalators have already been rehabilitated and returned to service. Escalator 9 (GCT North) was removed from service 2/5/14). Anticipated completion is 2nd Quarter 2014.

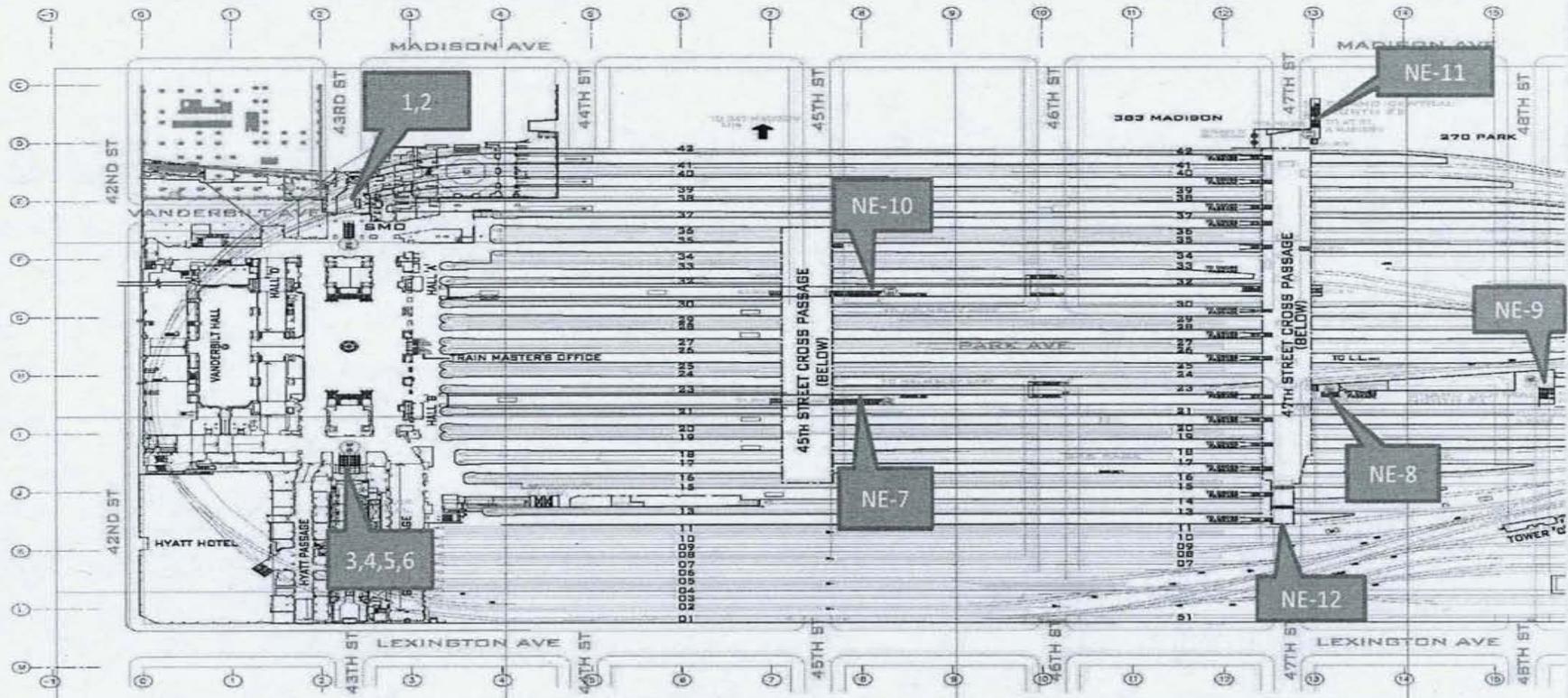
Notes:

(a) Escalators 5 and 6 were removed from service due to a motor failure, and subsequent gear box renewal.

Availability percentages exclude time escalators are out of service for planned long-term repair.



Grand Central Escalator Map



1st Quarter - Elevator Customer Injuries/Entrapments by Station

| Station Name | Mechanical (Injury) | Human Factor (Injury) | Entrapment |
|--------------------------|---------------------|-----------------------|------------|
| Crestwood (126N) | 0 | 0 | 1 |
| Crestwood (126S) | 0 | 0 | 1 |
| Harlem 125st (0025) | 0 | 0 | 1 |
| Fordham (108N) | 0 | 0 | 1 |
| Morris Heights (004I) | 0 | 0 | 1 |
| Chappaqua (148I) | 0 | 0 | 1 |
| Mount Kisco (150P) | 0 | 0 | 1 |
| Mount Vernon East (202E) | 0 | 0 | 1 |
| Yankees – E 153rd | 9 | 0 | 1 |
| GCT | 0 | 0 | 15 |

1st Quarter - Escalator Customer Injuries by Station

| Station Name | Mechanical | Human Factor |
|--------------|------------|--------------|
| GCT | 0 | 2 |
| Stamford | 0 | 1 |

Definitions:

Mechanical includes sudden changes in speed, handrail, alignment. **Human Factor** includes lost balance, encumbrances, slip/trip/fall, pushed/shoved, intoxication, caught between, etc. **Entrapment** includes failure of the elevator to move to a floor landing. The customer is uninjured but needs assistance from an outside party (i.e. MNR employee or MTA PD officer) to exit the elevator cab.

Please note: These numbers are subject to change based upon additional customer injury reports and claims that may be received after the reporting period end date of March 31, 2014.



MNR Diversity/EEO Report

1st Quarter 2014

May 2014

2014, 1ST QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

**WORKFORCE UTILIZATION ANALYSIS
AS OF 3/31/14**

| JOB CATEGORY | FEMALES | | | BLACKS | | | HISPANICS | | | ASIANS | | | AI/AN | | | NHOPI | | | OTHER | | |
|----------------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|-----------|----------|--------------------|
| | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) | Est Avail | Actual % | Met Avail (Yes/No) |
| Officials & Administrators | 26% | 23% | No | 8% | 15% | Yes | 9% | 6% | No | 6% | 6% | Yes | 0% | 0% | Yes | 0% | 0% | Yes | 1% | 2% | Yes |
| Professionals | 33% | 37% | Yes | 8% | 19% | Yes | 7% | 11% | Yes | 9% | 14% | Yes | 0% | 0% | Yes | 0% | 0% | Yes | 1% | 3% | Yes |
| Technicians | 27% | 6% | No | 12% | 22% | Yes | 9% | 4% | No | 13% | 9% | No | 0% | 0% | Yes | 0% | 0% | Yes | 1% | 2% | Yes |
| Protective Services | 0% | 0% | Yes |
| Paraprofessionals | 69% | 47% | No | 13% | 14% | Yes | 12% | 8% | No | 4% | 25% | Yes | 0% | 0% | Yes | 0% | 0% | Yes | 1% | 0% | No |
| Administrative Support | 59% | 44% | No | 15% | 33% | Yes | 15% | 12% | No | 5% | 3% | No | 0% | 1% | Yes | 0% | 0% | Yes | 1% | 3% | Yes |
| Skilled Craft | 3% | 6% | Yes | 13% | 17% | Yes | 10% | 8% | No | 2% | 2% | Yes | 0% | 0% | Yes | 0% | 0% | Yes | 2% | 2% | Yes |
| Service Maintenance | 7% | 14% | Yes | 16% | 35% | Yes | 25% | 16% | No | 3% | 1% | No | 0% | 0% | Yes | 0% | 0% | Yes | 2% | 2% | Yes |

Metro-North Railroad has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing MNR'S *March 31, 2014* workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

*Females are also included in the percentage totals for each of the racial/ethnic groups.

**American Indian/Alaskan Native

***Native Hawaiian Other Pacific Islander

DEFINITIONS OF EEO JOB CATEGORIES:

Officials & Administrators

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

Professionals

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

Technicians

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

Protective Services

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

Paraprofessionals

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

Administrative Support

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

Skilled Craft

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

Service Maintenance

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

2014, 1ST QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

**NEW HIRES
AS OF 3/31/14**

| JOB CATEGORY | TOTAL ¹ | FEMALES ² | | BLACKS | | HISPANICS | | ASIANS | | AI/AN | | NHOPI | | OTHER | |
|----------------------------|--------------------|----------------------|--------------|-----------|--------------|-----------|--------------|----------|-------------|----------|-------------|----------|-------------|----------|-------------|
| | | # | % | # | % | # | % | # | % | # | % | # | % | # | % |
| Officials & Administrators | 10 | 3 | 30.0% | 2 | 20.0% | 0 | 0.0% | 2 | 20.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Professionals | 5 | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 2 | 40.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Technicians | 1 | 1 | 100.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 1 | 100.0% |
| Protective Services | 0 | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Paraprofessionals | 0 | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Administrative Support | 4 | 2 | 50.0% | 0 | 0.0% | 1 | 25.0% | 1 | 25.0% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Skilled Craft | 65 | 3 | 4.6% | 4 | 6.2% | 12 | 18.5% | 1 | 1.5% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Service Maintenance | 34 | 6 | 17.6% | 13 | 38.2% | 8 | 23.5% | 1 | 2.9% | 0 | 0.0% | 0 | 0.0% | 0 | 0.0% |
| Total | 119 | 15 | 12.6% | 19 | 16.0% | 21 | 17.6% | 7 | 5.9% | 0 | 0.0% | 0 | 0.0% | 1 | 0.8% |

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

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

2014, 1ST QUARTER EEO REPORT

AGENCY NAME: METRO-NORTH RAILROAD

EEO AND TITLE VI COMPLAINTS

1/1/14 to 3/31/14

| Category | Race | Disability | Gender | National Origin | Age | Sexual Harassment | Religion | Other ¹ | Total Issues ² | Total Cases | Status (# Open) |
|---------------------|------|------------|--------|-----------------|-----|-------------------|----------|--------------------|---------------------------|-------------|-----------------|
| EEO | 11 | 8 | 6 | 2 | 11 | 0 | 2 | 14 | 54 | 28 | 22 |
| External Complaints | 7 | 7 | 3 | 1 | 9 | 0 | 2 | 11 | 40 | 19 | 15 |
| Internal Complaints | 4 | 1 | 3 | 1 | 2 | 0 | 0 | 3 | 14 | 9 | 7 |

| Category | Race | National Origin | Color | Total Issues ³ | Total Cases | Status (# Open) |
|----------|------|-----------------|-------|---------------------------|-------------|-----------------|
| Title VI | 8 | 0 | 0 | 8 | 8 | 5 |

¹ "Other" contains all EEO categories not otherwise specifically mentioned on the chart.

² In some instances a single complaint may involve two or more EEO categories.

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 3/31/14
EXTERNAL**

| Agency | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| MTA MNR | 2 | | 2 | 0 | 0 | 0 | 4 |

**EEO DISCRIMINATION COMPLAINT RESOLUTION FROM 1/1/14 TO 3/31/14
INTERNAL**

| Agency | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| MTA MNR | 1 | 0 | 1 | 0 | | | 2 |

**TITLE VI COMPLAINT RESOLUTION FROM 1/1/14 TO 3/31/14
DETERMINATION**

| Agency | Decided In Favor of Agency | Decided In Favor of Complainant | Administrative Closure | Withdrawn | Dismissed | Resolved / Settled | Total |
|----------------|-----------------------------------|--|-------------------------------|------------------|------------------|---------------------------|--------------|
| MTA MNR | 2 | 0 | 1 | | | | 3 |

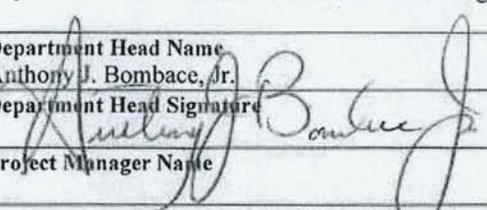
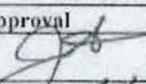
Metro-North Railroad has conducted an availability analysis of females and minorities in its workforce. The availability analysis consists of comparing Metro-North Railroad's March, 31, 2014 workforce percentages for females and minorities to 80 percent of the females and minorities available within the relevant labor market based on the U.S. Census.

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



Metro-North Railroad

**Procurements
May 2014**

| | | | | | | | | | |
|--|-----------------|--------------|-----------------|--------------|-----------------|--------------------------------------|---|--------------|--|
| Subject Request for Authorization to Award Various Procurements | | | | | | Date | | | |
| Department Procurement and Material Management | | | | | | Vendor Name Various | | | |
| Department Head Name Anthony J. Bombace, Jr. | | | | | | Contract Number Various | | | |
| Department Head Signature  | | | | | | Contract Manager Name Various | | | |
| Project Manager Name | | | | | | Table of Contents Ref # | | | |
| Board Action | | | | | | Internal Approvals | | | |
| Order | To | Date | Approval | Info | Other | | Approval | | Approval |
| 1 | M-N Comm. Mtg. | 5-19-14 | X | | | X | President  | | V.P. Planning |
| 2 | MTA Board Mtg. | 5-21-14 | X | | | X | Sr. V.P. Operations  | X | Capital Programs |
| | | | | | | X | V.P. Finance & IT  | X | V.P. General Counsel  |
| | | | | | | X | V.P. Engineering  | X | Chief of Staff  |
| Internal Approvals (cont.) | | | | | | | | | |
| Order | Approval | Order | Approval | Order | Approval | Order | Approval | Order | Approval |
| — | — | — | Safety | — | — | — | — | — | — |

PURPOSE:

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

DISCUSSION:

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

| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u> | <u># of Actions</u> | <u>\$ Amount</u> |
|---|---------------------|-----------------------|
| Schedule A: Non-Competitive Purchases and Public Work Contracts | 1 | \$4,000,000 |
| • Schunk Graphite Technology \$4,000,000 | | |
| <u>Schedules Requiring Majority Vote</u> | | |
| Schedule G: Miscellaneous Service Contracts | 1 | \$341,195 |
| • Zetron, Inc. \$341,195 | | |
| Schedule J: Modifications to Miscellaneous Procurement Contracts | 1 | \$43,889.631 |
| • Bombardier Mass Transit Corp \$43,889,631 | | |
| SUB TOTAL: | | 3 \$48,230,826 |

MNR proposes to award competitive procurements in the following categories:

| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u> | | <u># of Actions</u> | <u>\$ Amount</u> |
|---|---|---------------------|------------------|
| Schedule B: | Competitive Requests for Proposals (Solicitation of Purchase and Public Work Contracts) | 1 | \$TBD |
| | <ul style="list-style-type: none"> • Request to use RFP Process \$TBD | | |
| <u>Schedules Requiring Majority Vote</u> | | | |
| Schedule G: | Miscellaneous Service Contracts | 6 | \$1,597,150 |
| | <ul style="list-style-type: none"> • Wesco Distribution, Inc. \$540,623 • Transaxle, LLC \$150,000 • Dependable Repair, Inc. \$150,000 • FallProof Systems, LLC \$475,000 • Chem-Aqua \$200,000 • Northeast Work & Safety Boats, LLC \$81,527 | | |
| SUB TOTAL: | | 7 | \$1,597,150 |

MNR presents the following procurement actions for Ratification:

| | | | |
|---|---|------|--------------|
| <u>Schedules Requiring Two-Thirds Vote (or more, where noted)</u> | | NONE | |
| <u>Schedules Requiring Majority Vote</u> | | | |
| Schedule K: | Ratification of Completed Procurement Actions | 1 | \$110,000 |
| | <ul style="list-style-type: none"> • AECOM \$110,000 | | |
| SUB TOTAL: | | 1 | \$110,000 |
| TOTAL: | | 11 | \$49,937,976 |

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

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

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

METROPOLITAN TRANSPORTATION AUTHORITY

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

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

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

NOW, the Board resolves as follows:

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

MAY 2014

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. Schunk Graphite Technology \$4,000,000 (not-to-exceed) Staff Summary Attached
Purchase Agreement of OEM Power Collection System Parts for MNR's M-8 Railcar Fleet

Approval is requested to award a non-competitive purchase contract for up to a two-year period (one year base + one year option) to Schunk Graphite Technology. Schunk is the Original Equipment Manufacturer (OEM) for various parts, components, assemblies and repairs for the power collection systems (e.g. - contact shoes and the shoe mechanism assembly) for MNR's M-8 railcars. The parts listing included in this agreement have been fully vetted to reflect only those parts that cannot be acquired from other sources. Also, during the period of this contract, MNR continue the process of a comprehensive evaluation of possible alternate sources.

This is a requirements-based purchase agreement and the first purchase agreement for these parts since the M-8s were delivered, accepted and put into service. MNR is not obligated to generate a minimum amount of purchase orders. The purchase agreement will eliminate the need and expense of individually advertising prospective procurements, will reduce administrative costs and possible procurement lead times for separate purchase orders and will expedite material delivery.

The purchase agreement will have fixed pricing for the base year, and for the option year, if elected by MNR. The total not-to-exceed amount for up to the two-year period is \$4,000,000 and it is to be funded by MNR's Operating Budget.

Schedules Requiring Majority Vote:

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.)

2. Zetron, Inc. \$341,195 (not-to-exceed) Staff Summary Attached
Maintenance & Support of Communications System in the MNR Operations Control Center & Emergency Control Center

Approval is requested to award a non-competitive, five year miscellaneous service contract to Zetron, Inc. for maintenance and support of the Acom Communication System for the Operations Control Center (OCC) and the Emergency Control Center (ECC). Zetron recently furnished, installed, tested and commissioned the Acom Communication System at the ECC and now that the OCC and ECC systems are both operational, MNR requires a maintenance and support contract. The Acom system provides a computer-based console for each rail dispatcher position to interface with all wayside radios, telephone and intercom services in order to communicate with trains and coordinate operations personnel in accordance with FRA guidelines throughout MNR's territory.

Zetron is the Original Equipment Manufacturer (OEM) for MNR's Acom system and the proprietary vendor of the Acom system hardware, database, servers and communications software. Additionally, all consoles, ancillary equipment, microprocessor devices, and software are all proprietary to Zetron, and any requested upgrade services are obtainable only through Zetron. This contract will provide continuous preventive maintenance, technical support, troubleshooting, repairs and replacement, and testing and inspection services.

This maintenance and support for both the OCC and the ECC system over the next five years was negotiated from the original proposal of \$75,821/yr. to \$68,239/yr., providing a 10% discount over the five year term, and it is deemed fair and reasonable for the level of services provided. The total not-to-exceed cost of the agreement is \$341,195 for the five-year term. This procurement is to be funded by the MNR Operating Budget.

J. Modifications to Miscellaneous Procurement Contracts

(Approvals/Staff Summaries required for individual change orders greater than \$250K. Approvals without Staff Summaries required for change orders greater than 15% of previously approved amount which are also at least \$50K)

**3. Bombardier Mass Transit Corp. \$43,889,631 (not-to-exceed) Staff Summary Attached
System Upgrades of MNR and LIRR M-7 Fleet(s)**

Metro-North Railroad, on behalf of itself and Long Island Rail Road, requests approval for additional funding to award a contract change under the current purchase authorization with Bombardier Mass Transit Corporation (Bombardier).

The purpose of this contract change is to provide for the system replacement and upgrades to specific operations & safety-critical components on the M-7 railcars operated by both Railroads. These system replacements and upgrades are specifically for the Central Diagnostics System (CDS), the Train Operator Display (TOD) and the Multi-Function Unit (MFU). Additionally, the contract change will allow the Railroads to utilize Bombardier's expertise and knowledge of the overall car systems to provide engineering and software upgrades to those components on an as-needed basis at the request of, and approval by, the Railroads.

Bombardier's detailed proposal for the hardware elements and all associated system integration efforts equates to \$34,070 per married M-7 pair. By comparison, the average unit price for replacement of the original parts, which are now becoming increasingly difficult to acquire and in some instances, subassemblies can no longer be repaired, is \$49,690 per married M-7 pair. Bombardier's proposal is approximately 30% less than the estimated cost of replacing the original parts and will yield a cost avoidance of \$15,620 per married pair. All of the engineering services under this contract change shall be as directed and approved by the Railroads and are subject to audit; there is no minimum guarantee of work to Bombardier. The total for this procurement change is not-to-exceed \$43,889,631 (\$12,727,992= MNR and \$31,161,639= LIRR), and it is to be funded by each Agency's Operating Budget.

Item Number: A

| |
|--|
| Vendor Name (& Location) Schunk Graphite Technology |
| Description : Purchase Agreement for OEM Replacement Parts |
| Contract Term (including Options, if any) One year with one year option |
| 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 TBD | Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| Total Amount: \$4,000,000 (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: O. Messado, Assistant Director - Operations Procurement, P&MM | |

Discussion:

Approval is requested to award a non-competitive purchase contract for up to a two-year period (one year base + one year option) to Schunk Graphite Technology ("Schunk"). Schunk is the Original Equipment Manufacturer (OEM) for various parts, components, assemblies and repairs for the operations-critical power collection systems (e.g. - contact shoes and the shoe mechanism assembly) for MNR's M-8 railcars. The parts listing included in this agreement have been fully vetted to reflect only those parts that cannot be acquired from other sources. Also, during the period of this contract, MNR continue the process of a comprehensive evaluation of possible alternate sources.

Under this agreement, MNR will be able to support its Reliability Centered Maintenance (RCM) programs, which maintain high car reliability and parts replacement at prescribed intervals. Additionally, parts required to perform unscheduled maintenance and repairs on the railcars are available in this agreement. Further, Schunk will be required to maintain tooling and manufacturing capabilities necessary to produce the parts.

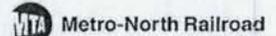
This is a requirements-based purchase agreement and the first purchase agreement for these parts since the M-8s were delivered, accepted and put into service. MNR is not obligated to generate a minimum amount of purchase orders. The purchase agreement will eliminate the need and expense of individually advertising prospective procurements, will reduce administrative costs and possible procurement lead times for separate purchase orders and will 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. Advertisements were placed in the New York State Contract Reporter, The New York Post, El Diario and posted on the Metro-North website, which did not yield interest from other sources.

The purchase agreement will have fixed pricing for the base year, and for the option year, if elected by MNR. The total not-to-exceed amount for up to the two-year period is \$4,000,000 and it is to be funded by MNR's Operating Budget.

Schedule G: Miscellaneous Service Contracts

Staff Summary



| Item Number G | | | | | |
|--|-------------------------------|----------|---------------------------------|------|-------|
| Dept & Dept. Head Name: Procurement & Material Management Anthony J. Bombace, Jr. | | | | | |
| Division & Division Head Name: | | | | | |
| Board Reviews | | | | | |
| Order | To | Date | Approval | Info | Other |
| 1 | M-N Comm.Mtg. | 05-19-14 | x | | |
| 2 | MTA Board Mtg. | 05-21-14 | x | | |
| Internal Approvals | | | | | |
| Order | Approval | Order | Approval | | |
| x | President <i>JJ</i> | x | V.P. General Counsel <i>GBK</i> | | |
| x | Sr. V.P. Operations <i>JH</i> | | V.P. Planning | | |
| x | V.P. Finance & IT <i>GP</i> | x | V.P. Engineering <i>GSH</i> | | |
| | Capital Programs | | | | |

| SUMMARY INFORMATION | |
|---|--------------------------|
| Vendor Name Zetron, Inc. | Contract Number 37086 |
| Description Maintenance & Support of Communications System for the Operations Control Center and Emergency Control Center | |
| Total Amount \$341,195 (not-to-exceed) | |
| Contract Term (including Options, if any) Five 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 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 | |
| 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 a non-competitive, five year miscellaneous service contract to Zetron, Inc. for maintenance and support of the Acom Communication System for the Operations Control Center (OCC) and the Emergency Control Center (ECC).

II. BACKGROUND & DISCUSSION:

Zetron recently furnished, installed, tested and commissioned the Acom Communication System at the ECC and now that the OCC and ECC systems are both operational, MNR requires a maintenance and support contract. The Acom system provides a computer-based console for each rail dispatcher position to interface with all wayside radios, telephone and intercom services in order to communicate with trains and coordinate operations personnel in accordance with FRA guidelines throughout MNR's territory.

Zetron is the Original Equipment Manufacturer (OEM) for MNR's Acom communication system and the proprietary vendor of the Acom system hardware, database, servers and communications software. Additionally, all consoles, ancillary equipment, microprocessor devices, and software are all proprietary to Zetron, and upgrade services are obtainable only through Zetron. This contract will provide continuous preventive maintenance, technical support, troubleshooting, repairs and replacement, and testing and inspection services.

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. Advertisements were placed in the New York State Contract Reporter, The New York Post, El Diario and posted on the Metro-North website, which did not yield interest from other sources.

Staff Summary

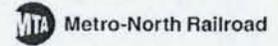
III. BUDGET IMPACT AND FUNDING:

This maintenance and support for both the OCC and the ECC system over the next five years was negotiated from the original proposal of \$75,821/yr. to \$68,239/yr., providing a 10% discount over the five year term, and it is deemed fair and reasonable for the level of services provided. The total not-to-exceed cost of the agreement is \$341,195 for the five year term. All work shall be completed no later than May 31, 2019. This procurement is to be funded by the MNR Operating Budget.

IV. ALTERNATIVES:

MNR does not have the available in-house staff with both the expertise and capability to perform the required maintenance and support of the communication system on the OCC & ECC Systems.

Schedule J: Modifications to Miscellaneous Procurement Contracts



Item Number: J

| | | |
|---|---|-------------------------|
| Vendor Name (& Location) Bombardier Mass Transit Corporation | Contract Number | AWO/Modification # 1 |
| Description System Upgrades of MNR and LIRR M-7 Fleet(s) | Original Amount: | \$ 81,510,000 |
| Contract Term (including Options, if any) N/A | Prior Modifications: | \$ 0.00 |
| Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | Prior Budgetary Increases: | \$ 0.00 |
| Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Non-competitive | Current Amount: | \$ 81,510,000 |
| Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Sole Source | This Request: | \$ 43,889,631 |
| Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other: | % of This Request to Current Amount: | % 53.845 |
| Requesting Dept/Div & Dept/Div Head Name: Procurement & Material Management, Anthony J. Bombace, Jr. | % of Modifications (Including This Request) to Original Amount: | % 53.845 |

Request:

Metro-North Railroad, on behalf of itself and Long Island Rail Road, requests approval for additional funding to award a contract change under the current purchase authorization with Bombardier Mass Transit Corporation (Bombardier).

The purpose of this contract change is to provide for the system replacement and upgrades to specific operations & safety-critical components on the M-7 railcars operated by both Railroads. These system replacements and upgrades are specifically for the Central Diagnostics System (CDS), the Train Operator Display (TOD) and the Multi-Function Unit (MFU). Additionally, the contract change will allow the Railroads to utilize Bombardier's expertise and knowledge of the overall car systems, to provide engineering and software upgrades to those components on an as-needed basis at the request of, and approval by, the Railroads.

Discussion:

Due to the advancement of technology, many of the software based components on the M-7 railcar are faced with obsolescence and are either no longer supportable or commercially available. The required upgrades in the railcar's key systems are necessary to preserve the M-7 fleet's current high reliability levels. As software industry drivers like Microsoft or Oracle develop new operating systems, the Railroads must adapt to these new systems in order to maintain system functionality. The original M-7 MFU software operating systems were written on a Windows NT platform that relied on integrated network components that could not readily be upgraded without encountering system design issues. The revised operating systems on the M-7 will be based on a more stable Linux platform. Using a Linux based operating system provides the Railroads with a more cost effective, secure and flexible solution that requires modularization on some of the supporting components which would make future upgrades easier and less costly. Bombardier, as the Original Equipment Manufacturer (OEM) and system integrator of the M-7 railcar, has detailed knowledge of each system on the car and the impacts on any software changes may have on the cars' overall operation. Bombardier, as the original system integrator, is uniquely qualified to complete these requirements in the most efficient manner with the least risk to the Railroads.

The specific areas that will be addressed under this contract change are as follows:

CDS/TOD: Design changes are needed to replace the obsolete Touch Screens and Personal Computer Memory Card International Association (PCMCIA) Flash Memory Technology used by the M-7 CDS with SD Memory and Ethernet technology. This will provide improved functionality and utilize a more flexible design.

Schedule J: Modifications to Miscellaneous Procurement Contracts



MFU: Design changes are needed to replace the obsolete PCMCIA card and 1xRTT technology used by the M-7 MFU and provide improved functionality and a more flexible design with the use of new technology. This replacement MFU will be electrically and mechanically compatible with the existing car interfaces, while maintaining the existing enclosure space.

Software Support: Continued engineering support will be required to maintain the M-7 railcar's remaining useful life by keeping its monitoring and diagnostics, troubleshooting tools and test equipment through the constant changes in technology. The Engineering support shall include updating software to all diagnostics applications, production servers and database servers. Support shall also be provided to grant the Railroads more flexibility for updating our electronic manuals with less vendor involvement. As part of these engineering and software services, Bombardier, under the direction and approval of both Railroads, shall develop technology based solutions as necessary. The Railroads shall explore opportunities for the software to be designed, to the greatest extent possible, in an open architecture or with nonproprietary software, so as to allow further modification directly by the Railroads or other contractors. Accordingly, alternate suppliers will be evaluated to foster future competition.

Budget Impact:

Bombardier's detailed proposal for the hardware elements and all associated system integration efforts equates to \$34,070 per married M-7 pair. By comparison, the average unit price for replacement of the original parts, which are now becoming increasingly difficult to acquire and in some instances, subassemblies can no longer be repaired, is \$49,690 per married M-7 pair. Bombardier's proposal is approximately 30% less than the estimated cost of replacing the original parts and will yield a cost avoidance of \$15,620 per married pair. All of the engineering services under this contract change shall be as directed and approved by the Railroads and are subject to audit; there is no minimum guarantee of work to Bombardier.

The total for this procurement change is not-to-exceed \$43,889,631 (\$12,727,992= MNR and \$31,161,639= LIRR), and it is to be funded by each Agency's Operating Budget.

MAY 2014

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, Manufacture, and Delivery of an Autonomous Track Geometry Inspection System (ATGIS)

MTA Metro-North Railroad (MNR) requests Board approval to utilize the Request for Proposal (RFP) process to solicit and evaluate proposals from prospective vendors for the design, manufacture, and delivery of an Autonomous Track Geometry Inspection System (ATGIS).

The ATGIS system is an on-board system that can be affixed to enable MNR to independently measure track parameters such as gauge, cross level, alignment, curvature, height, rail surface anomalies, etc., and to collect, display, store, and analyze data related to vertical and lateral accelerations in real time. The ATGIS includes both On-Board Measurements and Off-Board Data Management with provisions for Joint Bar Defect and Rail Base Abrasion measurements. The data will facilitate MNR to early identification of track anomalies preventing track failures. Under an option to be included in the solicitation, the ATGIS system may be applied for use on Long Island Railroad (LIRR) territory.

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 personnel, and cost. This procurement will be funded by the MNR Operating Budget.

Schedules Requiring Majority Vote:

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.)

2. **Wesco Distribution, Inc.** **\$540,623 (not-to-exceed)**

Overhaul of Three Power Traction Transformers

Approval is requested for a competitively solicited, negotiated contract (one bid received; negotiated with vendor) to Wesco Distribution, Inc. to provide for the overhaul of three traction power transformers located along Metro-North Railroad's Harlem Line.

These transformers were originally installed in 1983 and are in need of refurbishment. The scope of work must be completed off-site as MNR in-house forces cannot complete the full range of refurbishment tasks. The refurbishment & remanufacture of these transformers will extend the units'

useful lives and ensure the safe, efficient, and timely operation of MNR's electrical substations along the Harlem Line.

Negotiations resulted in a savings of \$6,490 from Wesco's original bid and the total not-to-exceed cost for the contract of \$540,623 is deemed fair and reasonable for the level of services to be provided. This procurement is to be funded by the MNR Operating Budget.

- 3. **Transaxle, LLC** **\$150,000 (not-to-exceed)**
- 4. **Dependable Repair, Inc.** **\$150,000 (not-to-exceed)**

Repair & Return of M of W Dept. Hydraulic Components

Approval is requested to award two competitively solicited (two bids received) three year miscellaneous service contracts to Transaxle LLC and Dependable Repair Inc. for the repair and return of hydraulic components. The scope of work covers repairs for M of W hydraulic equipment and components (pump motors, cylinder components, including transmission pumps). Metro-North Procurement structured the solicitation to allow for award to more than one qualified contractor and they will receive work based on their productivity, performance, current availability and pricing. These repairs will ensure the efficient, timely, reliable and safe operation of this heavy equipment.

In accordance with MNR and MTA procurement guidelines, an advertisement for the repair and return of hydraulic components was placed in the New York State Contract Reporter, New York Post, the minority publications, El Diario and Daily Challenge, and posted on the Metro-North website. A total of nine vendors received this solicitation and bids were received from both Transaxle LLC and Dependable Repair.

The solicitation was based on the vendor's hourly rate which includes tools, plant, and the equipment necessary to diagnose and rebuild/repair heavy duty hydraulic equipment and components. Each vendor must submit a cost estimate of labor and material to the MNR Engineer for approval before any proposed work is commenced. All estimates are subject to audit and/or third party verification. The pricing for each contract will remain fixed for a three year period and is deemed fair and reasonable. The total estimated cost of this procurement is not-to-exceed \$300,000. This procurement is to be funded by the MNR Operating Budget.

- 5. **FallProof Systems, LLC** **\$475,000**
- Furnish and Install Permanent Fall Protection Netting**

Approval is requested to award a 56-month miscellaneous service contract (two bids received) to Fallproof Systems LLC to install and maintain permanent fall protection netting under the Harlem River Lift Bridge ("HRLB"). MNR's Track & Structures Department will be undertaking a track replacement project in the 2Q 2014 that will traverse the HRLB and safety netting is required. The netting system will be installed 50 ft. above the Harlem River via a barge, with no disruption to train service. Additionally, the contractor will be required to perform annual netting inspection, cleaning, and repairs for the netting installed under this proposed agreement and other netting installed at the bridge under previous agreements. The period of maintenance service is four years.

In accordance with MNR and MTA procurement guidelines, an advertisement for fall protection netting was placed in the New York State Contract Reporter, New York Post, the minority publications, El Diario and Daily Challenge, and posted on the Metro-North website. Three contractors were sent the solicitation; two contractors submitted bids. FallProof Systems LLC (FallProof) was the lowest responsive and responsible bidder. MNR compared the previously paid prices for other netting installed

at the bridge to FallProof's bid price and there is a 3% increase; the bid price is deemed to be fair and reasonable for the level of services to be performed. The total cost to install and maintain the netting is \$475,000 and it is to be funded by the MNR Operating Budget.

6. Chem-Aqua \$200,000 (not-to-exceed)
Water Treatment Services for Grand Central Terminal

Approval is requested to award a competitively solicited and negotiated (RFP process, five proposals received), five year miscellaneous service contract to the firm, Chem-Aqua, Inc. to provide chemical water treatment services for the chilled water, cooling tower/condenser water and hot water heating systems in Grand Central Terminal (GCT). The contractor is to provide all chemicals and a monthly maintenance plan that includes: surveying water conditions for the formation of organic and inorganic deposits, monitoring total bacteria levels in the water systems, testing and analysis of water samples through an independent NYS certified laboratory, and providing written reports of all results.

In accordance with MNR and MTA procurement guidelines, an advertisement for the water treatment services was placed in the New York State Contract Reporter, New York Post, the minority publications, El Diario and Daily Challenge, and posted on the Metro-North website. Four firms were short-listed, and technical evaluations and oral presentations were conducted. Vendor evaluations were based on established selection criteria contained within the RFP documents and included (1) detailed description of how the services would be performed, (2) understanding of work scope requirements, (3) commitment of relevant resources to the water treatment services, including qualifications of key personnel and reliability to perform the services, (4) demonstrated past experience in water treatment, and (5) overall cost.

Chem-Aqua's technical and cost proposal conveyed a comprehensive understanding of MNR requirements, and the Selection Committee unanimously selected them as the best qualified and cost-effective firm for the services. Chem-Aqua provided the most complete approach to providing water treatment services, and demonstrated extensive technical knowledge and project management experience within the chemical water treatment industry. Chem-Aqua's proposed cost of \$200,000 is inclusive of chemicals that may be required during the term of the agreement, and is 10% lower than the Engineer's estimate. The prices proposed by ChemAqua in this agreement are 5% less than those paid in previous agreements. Also, pricing will remain fixed for the five year term of the contract, and it is deemed to be fair and reasonable. The total not-to-exceed five year cost of the contract is \$200,000 and it is to be funded by the MNR Operating Budget.

7. Northeast Work & Safety Boats, LLC \$81,527
Safety Boat Service – Devon Bridge, Stratford, CT.

Approval is requested to award a nine-month miscellaneous service contract (six bids received) to provide safety boat services for Metro-North Railroad (MNR) personnel performing ongoing bridge repairs on the Devon Bridge in Stratford, Connecticut. The service requirements include the supply of a lifesaving skiff with a qualified operator in accordance with OSHA guidelines.

In accordance with MNR and MTA procurement guidelines, an advertisement for the safety boat services was placed in the New York State Contract Reporter, New York Post, the minority publications, El Diario and Daily Challenge, and posted on the Metro-North website. Six vendors were sent the solicitation and six bids were received. Northeast Work & Safety Boats, LLC submitted the lowest responsive and responsible bid at \$81,527 which was 4% below MNR's Engineer's estimate. All pricing will remain firm and fixed for the nine-month term of the contract, and it is deemed to be fair and reasonable for the level of service to be provided. The total award of this contract is \$81,527 and it is to be funded 100% by CDOT.

Staff Summary

| Item Number B | | | | | |
|--|----------------------|---------|------------------|------|-------|
| Dept & Dept Head Name: Procurement & Material Management, Anthony J. Bombace, Jr. | | | | | |
| Division & Division Head Name: | | | | | |
| Board Reviews | | | | | |
| Order | To | Date | Approval | Info | Other |
| 1 | M-N Comm. Mtg. | 5-19-14 | X | | |
| 2 | MTA Board Mtg. | 5-21-14 | X | | |
| Internal Approvals | | | | | |
| Order | Approval | Order | Approval | | |
| X | President | | V.P. Planning | | |
| X | Sr. V.P. Operations | | Capital Programs | | |
| X | V.P. General Counsel | X | V.P. Engineering | | |
| X | V.P. Finance & IT | | | | |

| SUMMARY INFORMATION | |
|---|---|
| Vendor Name TBD | Contract Number TBD |
| Description Request to use the RFP process to solicit proposals for On-Board Autonomous Track Geometry Inspection System | |
| Total Amount TBD | |
| Contract Term (including Options, if any) TBD | |
| 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: | |

I. PURPOSE/RECOMMENDATION:

MTA Metro-North Railroad (MNR) requests Board approval to utilize the Request for Proposal (RFP) process to solicit and evaluate proposals from prospective vendors for the design, manufacture, and delivery of an Autonomous Track Geometry Inspection System (ATGIS).

II. DISCUSSION:

The ATGIS system is an on-board system that can be affixed to enable MNR to independently measure track parameters such as gauge, cross level, alignment, curvature, height, rail surface anomalies, etc., and to collect, display, store, and analyze data related to vertical and lateral accelerations in real time. The ATGIS includes both On-Board Measurements and Off-Board Data Management with provisions for Joint Bar Defect and Rail Base Abrasion measurements. The data will facilitate MNR to early identification of track anomalies preventing track failures. Under an option to be included in the solicitation, the ATGIS system may be applied for use on Long Island Railroad (LIRR) territory.

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 personnel, and cost. This procurement will be funded by the MNR Operating Budget.

III. D/M/WBE INFORMATION:

TBD-once the scope of work and technical specifications are completed, MNR Procurement will submit to MTA Department of Diversity & Civil Rights (DDCR) for assignment of any possible goals.

IV. IMPACT ON FUNDING:

TBD

V. ALTERNATIVES:

MNR does not have the available in-house design or capacity to complete the scope of the specified work.

MAY 2014

METRO-NORTH RAILROAD

LIST OF RATIFICATIONS FOR BOARD APPROVAL

Schedules Requiring Majority Vote:

K. Ratification of Completed Procurement Actions

(Staff Summaries required for unusually large or complex items which otherwise would require Board approval)

1. AECOM \$110,000 (not-to-exceed)

Independent Consultant Review and Analysis of the Danbury Grade Crossings Operational Failures

Emergency consulting services contract for an independent review and analysis of the Grade Crossings on the Danbury Branch of the New Haven Line. The Danbury Branch's Grade Crossings have had numerous operational problems and failures at multiple locations since they were installed in late 2012. This condition was exacerbated this winter due to the numerous snow storms with excessive de-icing saltwater runoff from the roadways along MNR's rights-of-way. CDOT requested MNR to retain an independent consultant to work with the original system designer and the manufacturer and installer of the system to identify the root cause(s) of the grade crossing failures.

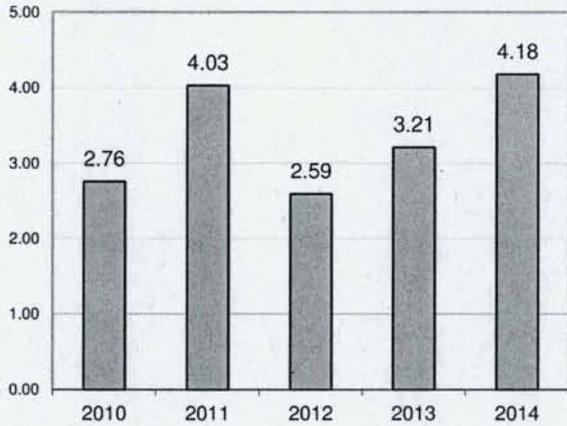
After a review of available signal consultants that had the necessary technical staff available to support the problem solving, testing and subsequent repairs in order to return the grade crossings to service as soon as possible, AECOM was able to provide the staff on an immediate basis. AECOM has been tasked to assist in providing solutions to the current problems, as well as ideas to prevent future operational failures. The cost of the independent review and analysis is not-to-exceed \$110,000 and is funded 100% by CDOT.



Metro-North Railroad

Safety Report
May 2014

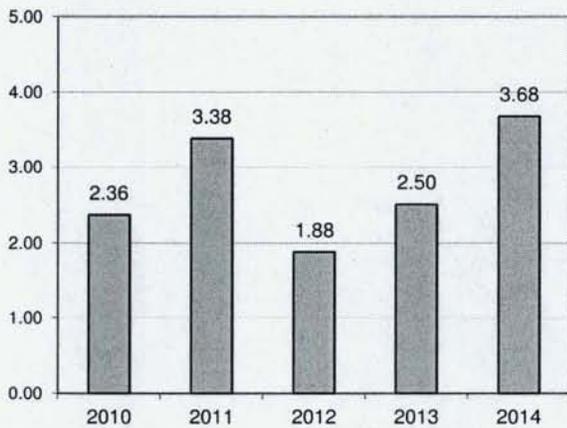
MTA Metro-North Railroad Summary of Employee Injuries thru March



Total Employee Injuries

| Year | Total | Total FI* |
|------|-------|-----------|
| 2010 | 42 | 2.76 |
| 2011 | 62 | 4.03 |
| 2012 | 40 | 2.59 |
| 2013 | 50 | 3.21 |
| 2014 | 67 | 4.18 |

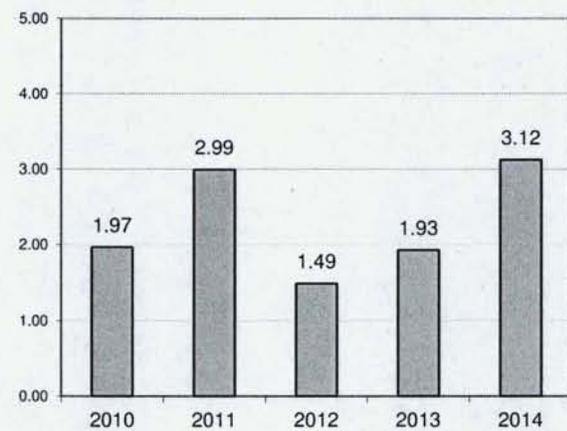
% change from last year: 30.2%
2013 Total FI Goal 2.80



Employee FRA Reportable Injuries

| Year | Total | FRA FI* |
|------|-------|---------|
| 2010 | 36 | 2.36 |
| 2011 | 52 | 3.38 |
| 2012 | 29 | 1.88 |
| 2013 | 39 | 2.50 |
| 2014 | 59 | 3.68 |

% change from last year: 47.0%
2013 FRA FI Goal 2.35



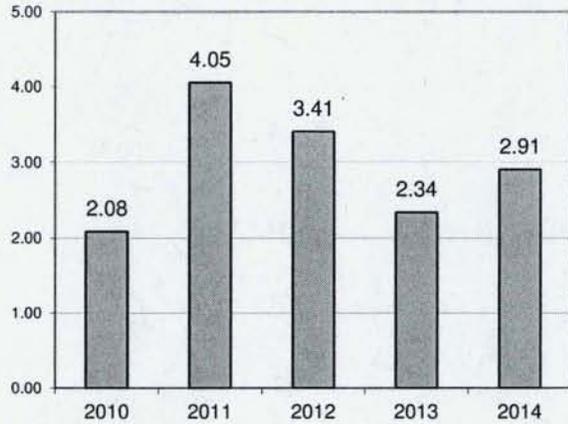
Employee Lost Time and Restricted Duty Injuries

| Year | LT | RD | LT FI* | RD FI* | LT&RD FI* |
|------|----|----|--------|--------|-----------|
| 2010 | 25 | 5 | 1.64 | 0.33 | 1.97 |
| 2011 | 39 | 7 | 2.54 | 0.46 | 2.99 |
| 2012 | 22 | 1 | 1.42 | 0.06 | 1.49 |
| 2013 | 26 | 4 | 1.67 | 0.26 | 1.93 |
| 2014 | 50 | 0 | 3.12 | 0.00 | 3.12 |

% change from last year: 61.9%
2013 LT&RD FI Goal 1.75

* - Injuries per 200,000 hours worked

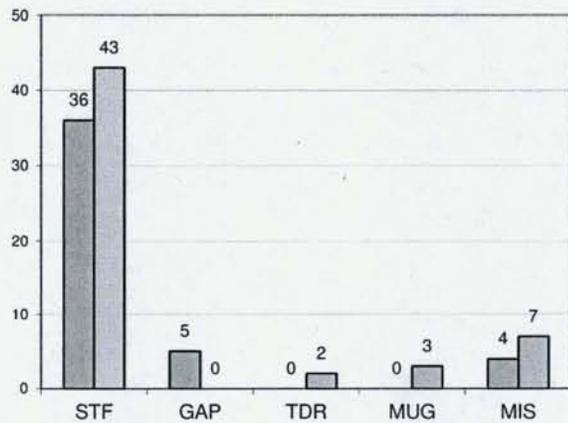
MTA Metro-North Railroad Summary of Customer/Contractor Injuries thru March



Total Customer Injuries

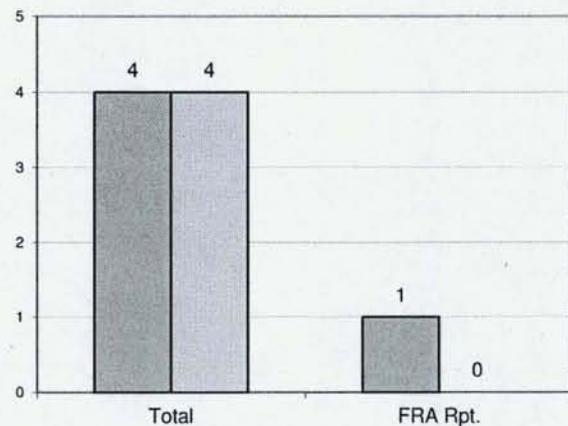
| Year | Total | Total FI* |
|------|-------|-----------|
| 2010 | 38 | 2.08 |
| 2011 | 75 | 4.05 |
| 2012 | 67 | 3.41 |
| 2013 | 45 | 2.34 |
| 2014 | 55 | 2.91 |

% change from last year: 24.4%
2014 Total FI Goal 2.70



Top 5 Customer Injuries by Type

| Year | Slip/Trip/Fall | Gap | Train Doors | Mugging | Misc. |
|------|----------------|-----|-------------|---------|-------|
| 2013 | 36 | 5 | 0 | 0 | 4 |
| 2014 | 43 | 0 | 2 | 3 | 7 |



Contractor Injuries

| Year | Total | FRA Rpt. |
|-------|-------|----------|
| 2013 | 4 | 1 |
| 2014 | 4 | 0 |
| % Chg | 0.0% | 0.0% |

* - Injuries per 1,000,000 rides

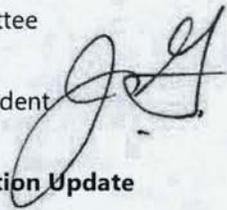
Memorandum



Metro-North Railroad

Date: May 2014

To: Metro-North Committee

From: Joseph Giulietti, President 

Re: **Enhanced safety Action Update**

This is to update you on Metro-North's comprehensive efforts to enhance safety throughout our system:

- Our first Quarterly Corporate Safety Stand-Down for 2014 was held April 10, 2014, reaching over 4,300 employees. (This was in addition to the Stand-Down held March 11, following the tragic fatality of our 3rd rail employee.) Our next Quarterly stand down will be held in June.
- All modifications required under Emergency Order 29 have been completed ahead of our 9/1/14 commitment, although we continue to experience impacts to train running times.
- A draft "Implementing Memorandum of Understanding" (IMOU) is being finalized with our first labor organization so that we may proceed with the rollout of the Confidential Close Call Reporting System (C3RS). We will begin collaborating with other labor organizations on their IMOUs as soon as the initial rollout is complete.

The following progress was made on speed compliance enhancements and Positive Train Control (PTC).

| ACTION ITEM | STATUS |
|---|--|
| Alerters | <ul style="list-style-type: none">• Vendor is PHW/Siemens.• Install new software commencing in July during individual cars inspection cycle |
| NTSB R-14-07 Permanent Speed Restriction Signs | <ul style="list-style-type: none">• Installation of approach permanent speed restrictions signs at identified locations on the Hudson, Harlem, and New Haven lines by June 15, 2014.• Identifying locations for speed restriction signs on the New Canaan, Danbury, Waterbury Branches, and West of Hudson. |
| Speed Compliance | <ul style="list-style-type: none">• For month of April 2014, 255 radar observations completed, 221 event recorder downloads were analyzed and there was 1 exception. |
| PTC | <ul style="list-style-type: none">• Change Orders to accelerate the PTC delivery schedule were approved at the April Board Meeting.• Requesting CDOT funding for signaling Waterbury• Developing plan for New Haven Main Line installation of Wayside Transponders for Civil Speed Restrictions. |



Metro-North Railroad

**Operations Report
May 2014**

| Performance Summary | | | 2014 Data | | | 2013 Data | | |
|--|--|-----------------------|-------------------|---------------|----------------|---------------|----------------|--------------|
| | | | Annual Goal | April | YTD thru April | April | YTD thru April | |
| On Time Performance <i>(Trains that arrive at their final destination within 5 minutes 59 seconds of scheduled arrival time)</i> | System | Overall | 93.0% | 93.0% | 90.6% | 98.1% | 97.7% | |
| | | AM Peak | 93.0% | 91.6% | 87.4% | 98.2% | 96.3% | |
| | | AM Reverse Peak | 93.0% | 98.0% | 91.8% | 98.2% | 97.2% | |
| | | PM Peak | 93.0% | 93.0% | 89.6% | 97.9% | 97.9% | |
| | | Total Peak | 93.0% | 93.1% | 89.0% | 98.1% | 97.1% | |
| | | Off Peak Weekday | 93.0% | 92.5% | 89.8% | 98.0% | 98.0% | |
| | | Weekend | 93.0% | 94.0% | 94.8% | 98.4% | 98.4% | |
| | | Hudson Line | Overall | 94.0% | 93.4% | 91.9% | 98.3% | 98.4% |
| | | | AM Peak | 94.0% | 94.2% | 91.1% | 98.5% | 97.5% |
| | | | AM Reverse Peak | 94.0% | 96.2% | 91.4% | 99.2% | 98.3% |
| | | | PM Peak | 94.0% | 91.3% | 89.0% | 99.1% | 98.6% |
| | | | Total Peak | 94.0% | 93.3% | 90.3% | 98.9% | 98.1% |
| | | | Off Peak Weekday | 94.0% | 92.5% | 91.1% | 97.7% | 98.7% |
| | | | Weekend | 94.0% | 95.4% | 95.8% | 98.5% | 98.5% |
| | | Harlem Line | Overall | 94.0% | 95.7% | 93.0% | 98.5% | 98.2% |
| | | | AM Peak | 94.0% | 92.3% | 89.9% | 99.0% | 97.3% |
| | | | AM Reverse Peak | 94.0% | 99.2% | 95.4% | 99.0% | 98.2% |
| | | | PM Peak | 94.0% | 96.0% | 93.2% | 97.8% | 98.0% |
| | | | Total Peak | 94.0% | 94.9% | 92.1% | 98.5% | 97.7% |
| | | | Off Peak Weekday | 94.0% | 95.4% | 91.8% | 98.5% | 98.5% |
| | | | Weekend | 94.0% | 98.5% | 97.0% | 98.3% | 98.8% |
| | | New Haven Line | Overall | 92.0% | 90.7% | 88.0% | 97.8% | 96.9% |
| | | | AM Peak | 92.0% | 89.5% | 83.3% | 97.5% | 94.8% |
| | | | AM Reverse Peak | 92.0% | 98.1% | 89.0% | 96.8% | 95.8% |
| | | | PM Peak | 92.0% | 91.9% | 87.3% | 97.3% | 97.3% |
| | | | Total Peak | 92.0% | 91.7% | 85.7% | 97.3% | 96.0% |
| | | | Off Peak Weekday | 92.0% | 90.2% | 87.5% | 97.9% | 97.2% |
| | | Weekend | 92.0% | 89.9% | 92.5% | 98.5% | 98.1% | |
| Operating Statistics | Trains Scheduled | | | 19,248 | 74,211 | 18,914 | 71,451 | |
| | Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small> | | | 10.7 | 13.3 | 13.4 | 13.2 | |
| | Trains Over 15 min. Late <small>excluding trains canceled or terminated</small> | | 1,000 | 172 | 1,415 | 73 | 376 | |
| | Trains Canceled | | 160 | 9 | 275 | 3 | 23 | |
| | Trains Terminated | | 160 | 23 | 208 | 20 | 78 | |
| | Percent of Scheduled Trips Completed | | 99.8% | 99.8% | 99.3% | 99.9% | 99.9% | |
| 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 | 99.8% | 98.9% | 98.9% | 99.8% | 99.7% | |
| | | AM Peak | 99.8% | 98.0% | 97.9% | 99.8% | 99.4% | |
| | | AM Reverse Peak | 99.8% | 100.0% | 99.8% | 100.0% | 99.9% | |
| | | PM Peak | 99.8% | 98.0% | 98.1% | 99.7% | 99.6% | |
| | | Total Peak | 99.8% | 98.3% | 98.3% | 99.8% | 99.6% | |
| | | Off Peak Weekday | 99.8% | 99.3% | 99.2% | 99.9% | 99.9% | |
| | | Weekend | 99.8% | 99.3% | 99.6% | 99.7% | 99.8% | |
| | | Hudson Line | AM Peak | 99.8% | 99.7% | 99.2% | 99.9% | 99.9% |
| | | | PM Peak | 99.8% | 100.0% | 99.7% | 100.0% | 99.9% |
| | | Harlem Line | AM Peak | 99.8% | 100.0% | 98.9% | 100.0% | 99.9% |
| | | | PM Peak | 99.8% | 100.0% | 99.7% | 100.0% | 99.9% |
| | | New Haven Line | AM Peak | 99.8% | 95.6% | 96.4% | 99.6% | 98.7% |
| | | | PM Peak | 99.8% | 95.6% | 96.2% | 99.2% | 99.2% |

| Categories of Delay | 2014 Data | | | 2013 Data | |
|--|-----------|-------|----------------|-----------|----------------|
| | March | April | YTD thru April | April | YTD thru April |
| Train Delay Incidents Resulting in Late Trains. | | | | | |
| <i>(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.)</i> | | | | | |
| Maintenance of Way | 1498 | 1785 | 7871 | 183 | 758 |
| Capital Projects | 0 | 8 | 14 | 3 | 8 |
| Maintenance of Equipment | 237 | 206 | 1207 | 119 | 531 |
| Operations Services | 240 | 138 | 719 | 25 | 68 |
| Police Incidents | 378 | 105 | 566 | 37 | 168 |
| Other | 0 | 8 | 14 | 3 | 8 |
| Customers | 98 | 216 | 575 | 29 | 158 |
| 3rd Party Operations <i>(Other railroads, marine traffic, etc.)</i> | 162 | 19 | 203 | 0 | 1 |
| Weather and Environmental | 13 | 37 | 1080 | 17 | 203 |

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

| Date | Day | DESCRIPTION OF EVENT | Number of Late Trains | | | | | | | | | TOTAL | | | | | | | | |
|-------|-----|---|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|------|-------|------|
| | | | AM Peak | | | AM Reverse | | | PM Peak | | | Off Peak | | | Weekend | | | Late | Cxl'd | Term |
| | | | L | C | T | L | C | T | L | C | T | L | C | T | L | C | T | | | |
| 04/01 | Tue | Trains were held due to scheduled trains ahead. | 10 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 7 | 0 | 0 | 0 | 0 | 0 | 17 | 0 | 0 |
| 04/02 | Wed | Trains were held due to scheduled trains ahead. | 11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 |
| 04/02 | Wed | Operating restrictions at various locations on all three lines. | 5 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 11 | 0 | 0 |
| 04/03 | Thu | Operating restrictions at various locations on all three lines. | 8 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 8 | 0 | 0 | 0 | 0 | 0 | 16 | 0 | 0 |
| 04/03 | Thu | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 30 | 0 | 0 | 0 | 0 | 0 | 32 | 0 | 0 |
| 04/03 | Thu | The 4B track circuit down on track 4 in CP's interlocking. | 7 | 0 | 0 | 0 | 0 | 0 | 18 | 0 | 0 | 31 | 0 | 0 | 0 | 0 | 0 | 56 | 0 | 0 |
| 04/03 | Thu | Delays due to 12 Switch stuck on center at CP33. | 0 | 0 | 0 | 0 | 0 | 0 | 4 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 10 | 0 | 0 |
| 04/03 | Thu | Emergency Order 29 at Cos Cob, Walk, Peck, Devon and Saga Bridges also at Yonkers, Port Chester and Jenkins Curves. | 0 | 0 | 0 | 0 | 0 | 0 | 7 | 0 | 0 | 17 | 0 | 0 | 0 | 0 | 0 | 24 | 0 | 0 |
| 04/04 | Fri | Operating restrictions at various locations on all three lines. | 12 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 16 | 0 | 0 |
| 04/04 | Fri | Ground on track 4 from Burr Road to Devon Bridge and on track 1 from Cat. 772 to Bishop Avenue. | 0 | 0 | 0 | 0 | 0 | 0 | 11 | 0 | 1 | 9 | 0 | 0 | 0 | 0 | 0 | 20 | 0 | 1 |

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 | | | |
| 04/04 | Fri | Emergency Order 29 at Cos Cob, Walk, Peck, Devon and Saga Bridges also at Yonkers, Port Chester and Jenkins Curves. | 1 | 0 | 0 | 0 | 0 | 0 | 5 | 0 | 0 | 12 | 0 | 0 | 0 | 0 | 0 | 18 | 0 | 0 |
| 04/04 | Fri | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 21 | 0 | 0 | 0 | 0 | 0 | 22 | 0 | 0 |
| 04/05 | Sat | Operating restrictions at various locations on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 16 | 0 | 0 | 16 | 0 | 0 |
| 04/06 | Sun | Code lines down, intermittently, at CP4, CP5 and CP106. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 15 | 0 | 0 | 15 | 0 | 0 |
| 04/06 | Sun | Operating restrictions at various locations on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 13 | 0 | 0 | 13 | 0 | 0 |
| 04/07 | Mon | 24700 - Trains were held due to scheduled trains ahead. | 3 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 23 | 0 | 0 | 0 | 0 | 0 | 27 | 0 | 0 |
| 04/07 | Mon | Delays at various locations due to programmed Track Work on all three lines. | 3 | 0 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 17 | 0 | 0 | 0 | 0 | 0 | 23 | 0 | 0 |
| 04/08 | Tue | Delays at various locations due to programmed Track Work on all three lines. | 12 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 20 | 0 | 0 | 0 | 0 | 0 | 32 | 0 | 0 |
| 04/08 | Tue | Trains were held due to scheduled trains ahead. | 5 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 13 | 0 | 0 | 0 | 0 | 0 | 18 | 0 | 0 |
| 04/08 | Tue | Operating restrictions at various locations on all three lines. | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 10 | 0 | 0 | 0 | 0 | 0 | 11 | 0 | 0 |
| 04/09 | Wed | Operating restrictions at various locations on all three lines. | 2 | 0 | 0 | 1 | 0 | 0 | 3 | 0 | 0 | 10 | 0 | 0 | 0 | 0 | 0 | 16 | 0 | 0 |

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

| Date | Day | DESCRIPTION OF EVENT | Number of Late Trains | | | | | | | | | TOTAL | | | | | | | | |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|------|-------|------|
| | | | AM Peak | | | AM Reverse | | | PM Peak | | | Off Peak | | | Weekend | | | Late | Cxl'd | Term |
| | | | L | C | T | L | C | T | L | C | T | L | C | T | L | C | T | | | |
| 04/09 | Wed | Trains were held due to scheduled trains ahead. | 5 | 0 | 0 | 2 | 0 | 0 | 1 | 0 | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 12 | 0 | 0 |
| 04/09 | Wed | Delays at various locations due to programmed Track Work on all three lines. | 7 | 0 | 0 | 1 | 0 | 0 | 1 | 0 | 0 | 21 | 0 | 0 | 0 | 0 | 0 | 30 | 0 | 0 |
| 04/10 | Thu | Trains were held due to scheduled trains ahead. | 2 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 12 | 0 | 0 | 0 | 0 | 0 | 15 | 0 | 0 |
| 04/10 | Thu | Congestion due to the 24 Switch at CP106 did not normal. | 0 | 0 | 0 | 0 | 0 | 0 | 4 | 0 | 0 | 31 | 0 | 0 | 0 | 0 | 0 | 35 | 0 | 0 |
| 04/10 | Thu | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 32 | 0 | 0 | 0 | 0 | 0 | 35 | 0 | 0 |
| 04/10 | Thu | Operating restrictions at various locations on all three lines. | 12 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 18 | 0 | 0 |
| 04/11 | Fri | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 5 | 0 | 0 | 31 | 0 | 0 | 0 | 0 | 0 | 36 | 0 | 0 |
| 04/11 | Fri | Heavy travel due to Yankee Red Sox game. | 1 | 0 | 0 | 0 | 0 | 0 | 5 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 12 | 0 | 0 |
| 04/11 | Fri | Trains were held due to scheduled trains ahead. | 3 | 0 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 14 | 0 | 1 | 0 | 0 | 0 | 20 | 0 | 1 |
| 04/11 | Fri | Operating restrictions at various locations on all three lines. | 19 | 0 | 0 | 2 | 0 | 0 | 1 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 28 | 0 | 0 |
| 04/12 | Sat | Operating restrictions at various locations on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 26 | 0 | 0 | 26 | 0 | 0 |

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

| Date | Day | DESCRIPTION OF EVENT | Number of Late Trains | | | | | | | | | | | | TOTAL | | | | | |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|------|-----|------|
| | | | AM Peak | | | AM Reverse | | | PM Peak | | | Off Peak | | | Weekend | | | Late | Cxd | Term |
| | | | L | C | T | L | C | T | L | C | T | L | C | T | L | C | T | | | |
| 04/12 | Sat | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 33 | 0 | 0 | 33 | 0 | 0 |
| 04/12 | Sat | Speed restrictions at various locations due to Grade Crossing work on the Danbury Branch. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 23 | 0 | 0 | 23 | 0 | 0 |
| 04/13 | Sun | Operating restrictions at various locations on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 10 | 0 | 0 | 10 | 0 | 0 |
| 04/13 | Sun | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 27 | 0 | 0 | 27 | 0 | 0 |
| 04/14 | Mon | Delays at various locations due to programmed Track Work on all three lines. | 13 | 0 | 0 | 0 | 0 | 0 | 7 | 0 | 0 | 19 | 0 | 0 | 0 | 0 | 0 | 39 | 0 | 0 |
| 04/14 | Mon | Trains were held due to scheduled trains ahead. | 17 | 0 | 0 | 0 | 0 | 0 | 5 | 0 | 0 | 9 | 0 | 0 | 0 | 0 | 0 | 31 | 0 | 0 |
| 04/15 | Tue | Delays at various locations due to programmed Track Work on all three lines. | 6 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 9 | 0 | 0 | 0 | 0 | 0 | 17 | 0 | 0 |
| 04/15 | Tue | The 3EBK track circuit was down at New Rochelle on track 3 and the 3ATK track circuit dropped intermittently on track 3 in CP217 interlocking. | 9 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 10 | 0 | 0 |
| 04/15 | Tue | Trains were held due to scheduled trains ahead. | 5 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 9 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 |
| 04/16 | Wed | Train 926 on track 2, north of Tremont Station, operated as a failed train account of continuous audible indicator on car 6213. | 12 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 |
| 04/16 | Wed | Delays at various locations due to programmed Track Work on all three lines. | 10 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 15 | 0 | 0 | 0 | 0 | 0 | 27 | 0 | 0 |

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

| Date | Day | DESCRIPTION OF EVENT | Number of Late Trains | | | | | | | | | | | | | | | | | |
|-------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|---|-------|------|------|
| | | | AM Peak | | | AM Reverse | | | PM Peak | | | Off Peak | | | Weekend | | | TOTAL | | |
| | | | L | C | T | L | C | T | L | C | T | L | C | T | L | C | T | Late | Cxld | Term |
| 04/16 | Wed | Trains were held due to scheduled trains ahead. | 15 | 0 | 0 | 1 | 0 | 0 | 2 | 0 | 0 | 21 | 0 | 0 | 0 | 0 | 0 | 39 | 0 | 0 |
| 04/18 | Fri | Foul track on all tracks between CP4 and CP5. | 0 | 0 | 0 | 0 | 0 | 0 | 2 | 0 | 0 | 20 | 0 | 0 | 0 | 0 | 0 | 22 | 0 | 0 |
| 04/23 | Wed | Trains were held due to scheduled trains ahead. | 1 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 12 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 |
| 04/24 | Thu | Operating restrictions at various locations on all three lines. | 13 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 7 | 0 | 0 | 0 | 0 | 0 | 21 | 0 | 0 |
| 04/25 | Fri | Delays at various locations due to programmed Track Work on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 7 | 0 | 0 | 14 | 0 | 0 | 0 | 0 | 0 | 21 | 0 | 0 |
| 04/25 | Fri | Operating restrictions at various locations on all three lines. | 6 | 0 | 0 | 2 | 0 | 0 | 1 | 0 | 0 | 11 | 0 | 0 | 0 | 0 | 0 | 20 | 0 | 0 |
| 04/26 | Sat | Operating restrictions at various locations on all three lines. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 17 | 0 | 0 | 17 | 0 | 0 |
| 04/28 | Mon | Delays at various locations due to programmed Track Work on all three lines. | 10 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 16 | 0 | 0 |
| 04/28 | Mon | Congestion due to track circuits 172 TK and 212 TK were down on track 2 between CP1 and CP3. | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 | 0 | 0 | 0 | 14 | 0 | 0 |
| 04/28 | Mon | Trains were held due to scheduled trains ahead. | 9 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 3 | 0 | 0 | 0 | 0 | 0 | 13 | 0 | 0 |
| 04/29 | Tue | Delays at various locations due to programmed Track Work on all three lines. | 8 | 0 | 0 | 1 | 0 | 0 | 1 | 0 | 0 | 9 | 0 | 0 | 0 | 0 | 0 | 19 | 0 | 0 |

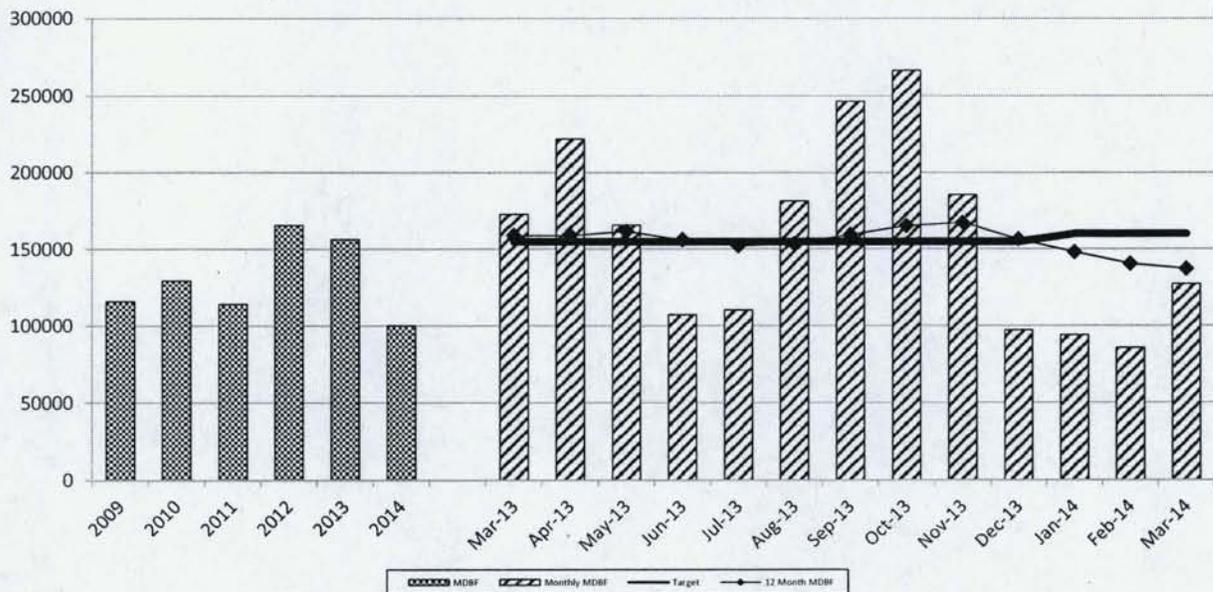
EVENTS RESULTING IN 10 or MORE LATE (L), CANCELED (C) or TERMINATED (T) TRAINS

| Date | Day | DESCRIPTION OF EVENT | Number of Late Trains | | | | | | | | | | | | TOTAL | | | | | |
|------------------------|-----|--|-----------------------|---|---|------------|---|---|---------|---|---|----------|---|---|---------|---|-------------|------|------|------|
| | | | AM Peak | | | AM Reverse | | | PM Peak | | | Off Peak | | | Weekend | | | Late | Cxls | Term |
| | | | L | C | T | L | C | T | L | C | T | L | C | T | L | C | T | | | |
| 04/30 | Wed | Mud slide on track 3 at MP17 between Glenwood and Greystone Stations, with debris fouling tracks 3 and 1. | 0 | 0 | 0 | 0 | 0 | 0 | 12 | 0 | 1 | 11 | 0 | 0 | 0 | 0 | 0 | 23 | 0 | 1 |
| 04/30 | Wed | Train 963 stopped on track 1 at North White Plains Station with compressor issues. | 0 | 0 | 0 | 0 | 0 | 0 | 8 | 0 | 1 | 5 | 0 | 0 | 0 | 0 | 0 | 13 | 0 | 1 |
| 04/30 | Wed | 3rd Rail Fire on track 2 in Park Avenue Tunnel at 75th Street, on track 4 between CP106 and CP112 and on track 1 between 78th and 79th Street. | 0 | 0 | 0 | 0 | 0 | 0 | 75 | 0 | 0 | 41 | 0 | 0 | 0 | 0 | 0 | 116 | 0 | 0 |
| TOTAL FOR MONTH | | | 263 | 0 | 0 | 12 | 0 | 0 | 206 | 0 | 3 | 646 | 0 | 1 | 180 | 0 | 0 | 1307 | 0 | 4 |
| | | | | | | | | | | | | | | | | | 1311 | | | |

| | Equip-ment Type | Total Fleet Size | 2014 Data | | | | | | 2013 Data | | |
|---------------------------------------|-----------------|------------------|-------------------|------------------|----------------------|-----------------------------|---------------------------|-----------------------------------|------------------|-----------------------------|---------------------------|
| | | | MDBF Goal (miles) | Mar MDBF (miles) | Primary Failure Goal | Mar No. of Primary Failures | YTD MDBF thru Mar (miles) | 12 month MDBF Rolling Avg (miles) | Mar MDBF (miles) | Mar No. of Primary Failures | YTD MDBF thru Mar (miles) |
| Mean Distance Between Failures | M246 | 140 | 60,000 | 32,254 | 9 | 16 | 24,884 | 44,665 | 80,097 | 15 | 75,636 |
| | M8 | 324 | 280,000 | 200,532 | 7 | 10 | 168,963 | 196,068 | 206,659 | 6 | 253,256 |
| | M3 | 140 | 135,000 | 108,627 | 2 | 3 | 106,997 | 180,717 | 315,822 | 1 | 221,327 |
| | M7 | 336 | 460,000 | 507,422 | 4 | 4 | 319,445 | 493,750 | 1,865,251 | 1 | 675,857 |
| | Coach | 213 | 295,000 | 155,068 | 5 | 9 | 139,146 | 266,247 | 276,949 | 5 | 233,923 |
| | P-32 | 31 | 35,000 | 27,191 | 5 | 7 | 21,818 | 27,648 | 28,048 | 7 | 29,587 |
| | BL-20 | 12 | 12,000 | 14,882 | 3 | 2 | 12,991 | 12,380 | 25,007 | 1 | 18,373 |
| | Fleet | 1196 | 160,000 | 127,307 | 35 | 51 | 100,222 | 137,149 | 173,016 | 36 | 160,844 |
| | M2/4/6/8 | | 140,000 | 96,976 | 16 | 26 | 74,411 | 94,162 | 116,258 | 21 | 117,784 |
| | M3/7 | | 320,000 | 336,510 | 6 | 7 | 248,629 | 395,368 | 1,090,537 | 2 | 524,347 |
| Diesel/Coach | | 120,000 | 89,762 | 13 | 18 | 75,558 | 110,949 | 123,545 | 13 | 115,308 | |

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 2008 - 2013



| West of Hudson Performance Summary | | | 2014 Data | | | 2013 Data | |
|--|--|-------------------|------------------------|--------------|---------------------------|------------------|---------------------------|
| | | | Annual Goal | April | YTD thru April | April | YTD thru April |
| 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 | 97.0% | 97.6% | 93.8% | 98.0% | 97.2% |
| | | AM Peak | 97.1% | 97.7% | 92.9% | 99.4% | 98.1% |
| | | PM Peak | 96.3% | 97.6% | 93.5% | 98.6% | 98.0% |
| | | Total Peak | 97.6% | 97.6% | 93.1% | 99.0% | 98.0% |
| | | Off Peak Weekday | 97.1% | 97.2% | 94.2% | 97.2% | 96.8% |
| | | Weekend | 97.3% | 98.4% | 93.7% | 98.0% | 96.7% |
| | Pascack Line | Overall | 97.6% | 97.9% | 94.4% | 98.0% | 97.3% |
| | Valley Line | AM Peak | 97.8% | 98.3% | 94.7% | 99.4% | 98.5% |
| | | PM Peak | 97.3% | 95.5% | 93.6% | 99.4% | 98.6% |
| | | Total Peak | 97.0% | 97.0% | 94.2% | 99.4% | 98.6% |
| | | Off Peak Weekday | 97.5% | 97.9% | 94.3% | 97.1% | 96.7% |
| | | Weekend | 97.8% | 99.5% | 94.9% | 97.9% | 96.9% |
| | Port Jervis Line | Overall | 96.2% | 97.1% | 92.8% | 98.0% | 97.0% |
| | | AM Peak | 96.2% | 97.0% | 90.4% | 99.2% | 97.6% |
| | | PM Peak | 95.2% | 100.0% | 93.3% | 97.7% | 97.2% |
| | Total Peak | 96.5% | 98.5% | 91.9% | 98.5% | 97.4% | |
| | Off Peak Weekday | 96.5% | 96.1% | 94.2% | 97.4% | 97.0% | |
| | Weekend | 96.5% | 96.4% | 91.7% | 98.2% | 96.4% | |
| Operating Statistics | Trains Scheduled | | 1,690 | 6,577 | 1,690 | 6,655 | |
| | Avg. Delay per Late Train (min) <small>excluding trains canceled or terminated</small> | | 16.8 | 19.5 | 18.3 | 19.7 | |
| | Trains Over 15 min. Late <small>excluding trains canceled or terminated</small> | 80 | 14 | 161 | 11 | 63 | |
| | Trains Canceled | | 1 | 39 | 3 | 16 | |
| | Trains Terminated | | 4 | 15 | 3 | 14 | |
| | Percent of Scheduled Trips Completed | 99.8% | 99.7% | 99.2% | 99.6% | 99.5% | |

APRIL 2014 STANDEE REPORT

East of Hudson

| | | | APRIL 2013 | YTD 2013 | APRIL 2014 | YTD 2014 |
|---------------------------------------|----------------|-----------------------|---------------|-------------|---------------|-------------|
| Daily Average | Hudson Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 6 | 2 |
| | | Total Standees | 0 | 0 | 6 | 2 |
| AM Peak | Harlem Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 0 | 1 |
| | | Total Standees | 0 | 0 | 0 | 1 |
| | New Haven Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 20 | 37 | 62 | 89 |
| | | Total Standees | 20 | 37 | 62 | 89 |
| EAST OF HUDSON TOTAL - AM PEAK | | | 20 | 37 | 68 | 92 |
| Daily Average | Hudson Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 1 | 0 | 1 |
| | | Total Standees | 0 | 1 | 0 | 1 |
| PM Peak | Harlem Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 3 | 0 | 5 |
| | | Total Standees | 0 | 3 | 0 | 5 |
| | New Haven Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 16 | 20 | 33 | 75 |
| | | Total Standees | 16 | 20 | 33 | 75 |
| EAST OF HUDSON TOTAL - PM PEAK | | | 16 | 24 | 33 | 81 |

West of Hudson

| | | | APRIL 2013 | YTD 2013 | APRIL 2014 | YTD 2014 |
|---------------------------------------|---------------------|-----------------------|---------------|-------------|---------------|-------------|
| Daily Average | Port Jervis Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 0 | 0 |
| | | Total Standees | 0 | 0 | 0 | 0 |
| AM Peak | Pascack Valley Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 0 | 0 |
| | | Total Standees | 0 | 0 | 0 | 0 |
| WEST OF HUDSON TOTAL - AM PEAK | | | 0 | 0 | 0 | 0 |
| Daily Average | Port Jervis Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 0 | 0 |
| | | Total Standees | 0 | 0 | 0 | 0 |
| PM Peak | Pascack Valley Line | Program Standees | 0 | 0 | 0 | 0 |
| | | Add'l Standees | 0 | 0 | 1 | 0 |
| | | Total Standees | 0 | 0 | 1 | 0 |
| WEST OF HUDSON TOTAL - PM PEAK | | | 0 | 0 | 1 | 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.

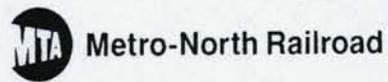
"Additional Standees" reflect the impact of reduced train car consists (as reported in the weekday equipment reports).

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.



Metro-North Railroad

Financial Report May 2014



FINANCIAL STATEMENTS
MONTH ENDED: MARCH 2014

OFFICE OF VICE PRESIDENT OF FINANCE & INFORMATION SYSTEMS

**MTA METRO-NORTH RAILROAD
MARCH 2014 FINANCIAL AND RIDERSHIP REPORT
EXECUTIVE SUMMARY**

Overall, March YTD financial results were within 1% of plan with a net operating deficit that was \$2.0 million higher than the Adopted Budget. Operating Revenues were \$4.9 million lower than the Adopted Budget as a result of lower non-commutation ridership which was affected by the snowstorms in January and February and includes the adverse impact of the East Harlem explosion and building collapse on March 12th. Operating expenses were \$3.0 million lower than projected due to vacant positions and timing differences in non-payroll expenses, partially offset by increased overtime requirements attributable to snowstorm cleanup and coverage.

Reimbursable Capital program expenditures (and reimbursements) were \$8.7 million lower than Budget due to revised timing of various budgeted projects (Positive Train Control, Hurricane Sandy Infrastructure Rehabilitation, West of Hudson Signal Improvements and Track Program work) and the reallocation of forces to non-reimbursable operations during the storm coverage periods.

Ridership

Total ridership was 6.8 million for March and 19.3 million YTD which was 3.2% below the Adopted Budget, reflecting lower non-commutation ridership due to slower than expected overall growth, the impact of snowstorms and the March 12th East Harlem explosion and building collapse.

East of Hudson

- YTD Ridership of 18.9 million was 3.3% lower than the Adopted Budget on all lines and across all ticket types.
- March ridership of 6.7 million was 4.1% lower than the Adopted Budget.
- Commutation ridership was 0.8% lower than the Adopted Budget, respectively, for YTD and the month. Compared to 2013, YTD commutation was 0.2% lower.
- YTD Non-commutation ridership was 6.9% lower than the Adopted Budget and 8.7% lower for the month. Compared to 2013, YTD non-commutation and 4.1% lower.

West of Hudson

- March YTD ridership was 4.1% higher than the Adopted Budget and on target for the month reflecting progressive ridership growth.

Revenue and Reimbursements

Total Revenue and Reimbursements of \$195 million through March was \$13.6 million, or 6.5% lower than the Adopted Budget:

- Fare Box Revenue of \$148.8 million was \$5.3 million lower than the Adopted Budget due to the lower non-commutation ridership noted above.
- Other Operating Revenue of \$13.3 million was \$0.4 million above the Adopted Budget mainly due to timing of GCT net retail revenue.
- Capital and Other Reimbursements of \$33.0 million was \$8.7 million lower than the Adopted Budget due to project scheduling changes previously discussed.

Expenses

Total non-reimbursable and reimbursable expenses of \$309.1 million through March were \$12.1 million (3.8%) lower than the Adopted Budget:

- \$8.7 million was attributable to lower non-labor costs. These were primarily driven by lower contract service expenditures, lower material costs and timing differences of capital projects.
- Total Labor costs (operating and capital) were \$3.4 million lower than the Adopted Budget due to vacancies partly offset by higher overtime requirements.

Financial Performance Measures

The YTD performance indicators reflect the adverse impact of the heavy snowfall on overtime expenses as well as ridership, partly offset by lower non-labor expenses:

- Adjusted Farebox Operating Ratio of 61.8% through March was 0.4% lower than the Adopted Budget.
- Adjusted Cost per Passenger of \$14.05 for the period was \$0.15 higher than the Adopted Budget.
- Revenue per Passenger of \$7.94 for the period was on target to the Adopted Budget.

**MTA METRO-NORTH RAILROAD
MARCH 2014 FINANCIAL REPORT
YEAR-TO-DATE ACTUAL VERSUS ADOPTED BUDGET**

REVENUE

Total Revenue and Reimbursements were \$13.6 million (6.5 %) lower than the Adopted Budget through March:

- **Fare Box Revenue** – year-to-date and the month were lower than the Adopted Budget by \$5.3 million and \$2.5 million, respectively, primarily due to a significant decrease in non-commutation ridership reflecting lower ridership growth than projected, the impact of harsh winter weather and the March 12th Harlem building collapse.
- **Other Operating Revenue** – year-to-date and the month were higher than the Adopted Budget by \$0.4 million and \$0.3 million, respectively, primarily due to higher GCT net retail revenue.
- **Capital and Other Reimbursements** – year-to-date and the month were lower by \$8.7 million and \$0.2 million, respectively, due to timing differences/rescheduling in expenditures for capital projects (Positive Train Control, Hurricane Sandy Infrastructure, West of Hudson Signal Improvements and Track Program work) and the reallocation of forces to operations for storm coverage.

EXPENSES

Total Expenses – Year-to-date expenses of \$383.7 million were \$11.7 million (3.0%) lower than the Adopted Budget. For the month, expenses were \$6.3 million (4.7%) lower than Adopted Budget.

- **Labor expenses** (including fringes and overhead recoveries) were \$213.8 million YTD. This was \$3.4 million below the Adopted Budget primarily due to vacancies and lower than anticipated capital project work partly offset by higher overtime requirements and associated fringe costs related to snow storm cleanup, coverage and repairs.
- **Non-Labor Expenses**
YTD non-labor expenses were \$95.4 million, \$8.7 million lower than Adopted Budget and \$1.9 million lower for the month.
 - **Electric Power** – \$0.2 million higher year-to-date than Adopted Budget due to slightly higher rates. For the month, expenses were \$1.2 million lower than the Adopted Budget.
 - **Fuel** – year-to-date was \$0.9 million above the Adopted Budget due to higher heating fuel consumption attributable to colder than normal weather conditions. For the month, expenses were \$0.6 million above than the Adopted Budget.
 - **Maintenance & Other Operating Contracts** – \$4.9 million lower year-to date than the Adopted Budget primarily due to timing differences for maintenance contracts, telephone usage, locomotive overhaul costs, and reimbursable project activity. For the month, these expenses were \$2.7 million lower than the Adopted Budget.
 - **Professional Services** – YTD was \$2.1 million below the Adopted Budget primarily due to timing differences in IT related work, legal fees, engineering services, advertising, and reimbursable project activity. For the month, expenses were \$0.5 million below the Adopted Budget.
 - **Materials & Supplies** – year-to-date expenditures were \$4.8 million below the Adopted Budget due to timing differences in reimbursable project activity and lower rolling stock material usage and purchases. For the month, expenses were slightly unfavorable to the Adopted Budget.
 - **Other Business Expenses** –YTD and the month were, respectively, \$1.5 million higher than the Adopted Budget due to higher than budgeted material purchases for reimbursable capital projects.
- **Depreciation and Other Non-Cash Liability Adjustments** – \$74.5 million in total which was \$0.5 million higher than the Adopted Budget due to a quarterly accrual for remediation projects.

CASH DEFICIT

The Cash Deficit through March of \$110.0 million is \$6.5 million favorable to the Adopted Budget. This is due to lower cash payments of \$17.7 million (mainly due to the lower overall expenses) and \$2.9 million higher cash collections of non-passenger revenue (timing); these were partly offset by lower farebox receipts of \$5 million (primarily snowstorm related), and lower capital reimbursements of \$9.1 million (timing).

MTA METRO-NORTH RAILROAD
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
March 2014
(\$ in millions)

SCHEDULE I - A

| | Nonreimbursable | | | | Reimbursable | | | | Total | | | |
|---|-------------------|-------------------|-------------------------|--------------|------------------|-----------------|-------------------------|--------------|-------------------|-------------------|-------------------------|--------------|
| | Adopted Budget | Actual | Favorable (Unfavorable) | | Adopted Budget | Actual | Favorable (Unfavorable) | | Adopted Budget | Actual | Favorable (Unfavorable) | |
| | | | Variance | Percent | | | Variance | Percent | | | Variance | Percent |
| Revenue | | | | | | | | | | | | |
| Farebox Revenue | \$54,256 | \$51,724 | (\$2,531) | (4.7) | \$0,000 | \$0,000 | \$0,000 | - | \$54,256 | \$51,724 | (\$2,531) | (4.7) |
| Vehicle Toll Revenue | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - |
| Other Operating Revenue | 4,024 | 4,354 | 0,330 | 8.2 | 0,000 | 0,000 | 0,000 | - | 4,024 | 4,354 | 0,330 | 8.2 |
| <i>Capital & Other Reimbursements:</i> | | | | | | | | | | | | |
| MTA | 0,000 | 0,000 | 0,000 | - | 8,865 | 7,423 | (1,442) | (16.3) | 8,865 | 7,423 | (1,442) | (16.3) |
| CDOT | 0,000 | 0,000 | 0,000 | - | 4,488 | 6,343 | 1,855 | 41.3 | 4,488 | 6,343 | 1,855 | 41.3 |
| Other | 0,000 | 0,000 | 0,000 | - | 1,390 | 0,752 | (0,638) | (45.9) | 1,390 | 0,752 | (0,638) | (45.9) |
| Total Capital and Other Reimbursements | 0,000 | 0,000 | 0,000 | - | 14,742 | 14,517 | (0,225) | (1.5) | 14,742 | 14,517 | (0,225) | (1.5) |
| Total Revenue/Receipts | \$58,279 | \$56,078 | (\$2,201) | (3.8) | \$14,742 | \$14,517 | (\$0,225) | (1.5) | \$73,022 | \$70,595 | (\$2,426) | (3.3) |
| Expenses | | | | | | | | | | | | |
| <i>Labor:</i> | | | | | | | | | | | | |
| Payroll | \$35,249 | \$32,138 | \$3,111 | 8.8 | \$3,377 | \$2,877 | \$0,500 | 14.8 | \$38,626 | \$35,016 | \$3,611 | 9.3 |
| Overtime | 4,980 | 5,243 | (0,262) | (5.3) | 1,114 | 1,202 | (0,088) | (7.9) | 6,094 | 6,445 | (0,350) | (5.8) |
| Health and Welfare | 8,692 | 7,605 | 1,087 | 12.5 | 1,107 | 0,938 | 0,170 | 15.3 | 9,799 | 8,543 | 1,256 | 12.8 |
| OPEB Current Payment | 1,837 | 1,975 | (0,137) | (7.5) | 0,000 | 0,000 | 0,000 | - | 1,837 | 1,975 | (0,137) | (7.5) |
| Pensions | 6,211 | 5,763 | 0,447 | 7.2 | 0,666 | 0,582 | 0,085 | 12.8 | 6,877 | 6,345 | 0,532 | 7.7 |
| Other Fringe Benefits | 8,278 | 8,382 | (0,103) | (1.2) | 0,768 | 0,700 | 0,069 | 8.9 | 9,047 | 9,082 | (0,035) | (0.4) |
| Reimbursable Overhead | (2,908) | (3,229) | 0,321 | 11.0 | 2,841 | 2,958 | (0,117) | (4.1) | (0,067) | (0,271) | 0,204 | * |
| Total Labor | \$62,339 | \$57,877 | \$4,463 | 7.2 | \$9,875 | \$9,256 | \$0,618 | 6.3 | \$72,214 | \$67,133 | \$5,081 | 7.0 |
| <i>Non-Labor:</i> | | | | | | | | | | | | |
| Electric Power | \$8,120 | \$6,948 | \$1,172 | 14.4 | \$0,000 | \$0,006 | (\$0,006) | - | \$8,120 | \$6,954 | \$1,166 | 14.4 |
| Fuel | 2,223 | 2,783 | (0,560) | (25.2) | 0,000 | 0,000 | 0,000 | - | 2,223 | 2,783 | (0,560) | (25.2) |
| Insurance | 1,440 | 1,398 | 0,042 | 2.9 | 0,256 | 0,258 | (0,002) | (0.6) | 1,696 | 1,655 | 0,040 | 2.4 |
| Claims | 0,059 | 0,406 | (0,347) | * | 0,000 | 0,000 | 0,000 | - | 0,059 | 0,406 | (0,347) | * |
| Paratransit Service Contracts | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - |
| Maintenance and Other Operating Contracts | 10,613 | 8,073 | 2,541 | 23.9 | 1,015 | 0,882 | 0,133 | 13.1 | 11,628 | 8,955 | 2,673 | 23.0 |
| Professional Service Contracts | 2,524 | 1,621 | 0,903 | 35.8 | 1,068 | 1,511 | (0,443) | (41.5) | 3,592 | 3,132 | 0,461 | 12.8 |
| Materials & Supplies | 5,993 | 7,361 | (1,368) | (22.8) | 2,470 | 1,137 | 1,333 | 54.0 | 8,463 | 8,498 | (0,035) | (0.4) |
| Other Business Expenses | 2,013 | 2,067 | (0,054) | (2.7) | 0,059 | 1,467 | (1,408) | * | 2,071 | 3,534 | (1,462) | (70.6) |
| Total Non-Labor | \$32,984 | \$30,656 | \$2,329 | 7.1 | \$4,868 | \$5,261 | (\$0,393) | (8.1) | \$37,852 | \$35,917 | \$1,935 | 5.1 |
| <i>Other Adjustments:</i> | | | | | | | | | | | | |
| Other | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - | 0,000 | 0,000 | 0,000 | - |
| Total Other Adjustments | \$0,000 | \$0,000 | \$0,000 | - | \$0,000 | \$0,000 | \$0,000 | - | \$0,000 | \$0,000 | \$0,000 | - |
| Total Expenses before Non-Cash Liability Adjs. | \$95,324 | \$88,533 | \$6,791 | 7.1 | \$14,742 | \$14,517 | \$0,225 | 1.5 | \$110,066 | \$103,050 | \$7,016 | 6.4 |
| Depreciation | 18,936 | 18,941 | (0,004) | (0.0) | 0,000 | 0,000 | 0,000 | - | 18,936 | 18,941 | (0,004) | (0.0) |
| OPEB Obligation | 5,425 | 5,425 | 0,000 | 0.0 | 0,000 | 0,000 | 0,000 | - | 5,425 | 5,425 | 0,000 | 0.0 |
| Environmental Remediation | 0,950 | 1,640 | (0,690) | (72.6) | 0,000 | 0,000 | 0,000 | - | 0,950 | 1,640 | (0,690) | (72.6) |
| Total Expenses | \$120,635 | \$114,538 | \$6,097 | 5.1 | \$14,742 | \$14,517 | \$0,225 | 1.5 | \$135,377 | \$129,055 | \$6,322 | 4.7 |
| Net Surplus/(Deficit) | (\$62,356) | (\$58,460) | \$3,896 | 6.2 | (\$0,000) | \$0,000 | \$0,000 | - | (\$62,356) | (\$58,460) | \$3,896 | 6.2 |
| <i>Cash Conversion Adjustments:</i> | | | | | | | | | | | | |
| Depreciation | 18,936 | 18,941 | 0,004 | 0.0 | 0,000 | 0,000 | 0,000 | - | 18,936 | 18,941 | 0,004 | 0.0 |
| Operating/Capital | (2,581) | (2,514) | 0,067 | 2.6 | 0,000 | 0,000 | 0,000 | - | (2,581) | (2,514) | 0,067 | 2.6 |
| Other Cash Adjustments | 1,871 | 10,070 | 8,199 | * | 0,000 | 0,000 | 0,000 | - | 1,871 | 10,070 | 8,199 | * |
| Total Cash Conversion Adjustments | \$18,226 | \$26,497 | \$8,270 | 45.4 | \$0,000 | \$0,000 | \$0,000 | - | \$18,226 | \$26,497 | \$8,270 | 45.4 |
| Net Cash Surplus/(Deficit) | (\$44,129) | (\$31,963) | \$12,166 | 27.6 | (\$0,000) | \$0,000 | \$0,000 | - | (\$44,130) | (\$31,963) | \$12,167 | 27.6 |

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

MTA METRO-NORTH RAILROAD
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
March Year-To-Date
(\$ in millions)

SCHEDULE I - B

| | Nonreimbursable | | | | Reimbursable | | | | Total | | | |
|---|--------------------|--------------------|----------------------------------|--------------|-----------------|-----------------|----------------------------------|---------------|--------------------|--------------------|----------------------------------|--------------|
| | Adopted Budget | Actual | Favorable (Unfavorable) Variance | Percent | Adopted Budget | Actual | Favorable (Unfavorable) Variance | Percent | Adopted Budget | Actual | Favorable (Unfavorable) Variance | Percent |
| Revenue | | | | | | | | | | | | |
| Farebox Revenue | \$154.058 | \$148.753 | (\$5.305) | (3.4) | \$0.000 | \$0.000 | \$0.000 | - | \$154.058 | \$148.753 | (\$5.305) | (3.4) |
| Vehicle Toll Revenue | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Other Operating Revenue | 12.906 | 13.284 | 0.378 | 2.9 | 0.000 | 0.000 | 0.000 | - | 12.906 | 13.284 | 0.378 | 2.9 |
| <i>Capital & Other Reimbursements:</i> | | | | | | | | | | | | |
| MTA | 0.000 | 0.000 | 0.000 | - | 26.865 | 19.529 | (7.336) | (27.3) | 26.865 | 19.529 | (7.336) | (27.3) |
| CDOT | 0.000 | 0.000 | 0.000 | - | 11.099 | 10.772 | (0.326) | (2.9) | 11.099 | 10.772 | (0.326) | (2.9) |
| Other | 0.000 | 0.000 | 0.000 | - | 3.724 | 2.692 | (1.032) | (27.7) | 3.724 | 2.692 | (1.032) | (27.7) |
| Total Capital and Other Reimbursements | 0.000 | 0.000 | 0.000 | - | 41.688 | 32.994 | (8.694) | (20.9) | 41.688 | 32.994 | (8.694) | (20.9) |
| Total Revenue/Receipts | \$166.964 | \$162.038 | (\$4.927) | (3.0) | \$41.688 | \$32.994 | (\$8.694) | (20.9) | \$208.652 | \$195.031 | (\$13.621) | (6.5) |
| Expenses | | | | | | | | | | | | |
| <i>Labor:</i> | | | | | | | | | | | | |
| Payroll | \$106.473 | \$103.178 | \$3.294 | 3.1 | \$9.894 | \$7.464 | \$2.430 | 24.6 | \$116.367 | \$110.642 | \$5.725 | 4.9 |
| Overtime | 14.556 | 19.788 | (5.232) | (35.9) | 3.130 | 2.949 | 0.181 | 5.8 | 17.686 | 22.737 | (5.051) | (28.6) |
| Health and Welfare | 26.299 | 24.848 | 1.451 | 5.5 | 3.208 | 2.381 | 0.827 | 25.8 | 29.508 | 27.229 | 2.279 | 7.7 |
| OPEB Current Payment | 5.512 | 5.633 | (0.120) | (2.2) | 0.000 | 0.000 | 0.000 | - | 5.512 | 5.633 | (0.120) | (2.2) |
| Pensions | 18.682 | 18.520 | 0.161 | 0.9 | 1.941 | 1.512 | 0.430 | 22.1 | 20.623 | 20.032 | 0.591 | 2.9 |
| Other Fringe Benefits | 25.458 | 26.081 | (0.623) | (2.4) | 2.231 | 1.785 | 0.446 | 20.0 | 27.689 | 27.866 | (0.177) | (0.6) |
| Reimbursable Overhead | (8.453) | (7.805) | (0.648) | (7.7) | 8.249 | 7.452 | 0.797 | 9.7 | (0.204) | (0.353) | 0.150 | 73.3 |
| Total Labor | \$188.527 | \$190.244 | (\$1.717) | (0.9) | \$28.654 | \$23.542 | \$5.112 | 17.8 | \$217.181 | \$213.786 | \$3.395 | 1.6 |
| <i>Non-Labor:</i> | | | | | | | | | | | | |
| Electric Power | \$22.479 | \$22.626 | (\$0.147) | (0.7) | \$0.000 | \$0.017 | (\$0.017) | - | \$22.479 | \$22.643 | (\$0.164) | (0.7) |
| Fuel | 7.068 | 7.938 | (0.870) | (12.3) | 0.000 | 0.000 | 0.000 | - | 7.068 | 7.938 | (0.870) | (12.3) |
| Insurance | 4.294 | 4.190 | 0.104 | 2.4 | 0.730 | 0.598 | 0.132 | 18.1 | 5.024 | 4.788 | 0.236 | 4.7 |
| Claims | 0.173 | 0.880 | (0.707) | * | 0.000 | 0.000 | 0.000 | - | 0.173 | 0.880 | (0.707) | * |
| 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 | 25.818 | 21.869 | 3.949 | 15.3 | 2.531 | 1.618 | 0.913 | 36.1 | 28.348 | 23.486 | 4.862 | 17.2 |
| Professional Service Contracts | 6.427 | 4.852 | 1.575 | 24.5 | 3.205 | 2.727 | 0.478 | 14.9 | 9.632 | 7.579 | 2.053 | 21.3 |
| Materials & Supplies | 18.525 | 17.245 | 1.280 | 6.9 | 6.392 | 2.877 | 3.515 | 55.0 | 24.917 | 20.122 | 4.795 | 19.2 |
| Other Business Expenses | 6.289 | 6.311 | (0.022) | (0.4) | 0.176 | 1.615 | (1.438) | * | 6.465 | 7.926 | (1.461) | (22.6) |
| Total Non-Labor | \$91.072 | \$85.911 | \$5.161 | 5.7 | \$13.034 | \$9.452 | \$3.582 | 27.5 | \$104.106 | \$95.362 | \$8.744 | 8.4 |
| <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. | \$279.599 | \$276.155 | \$3.445 | 1.2 | \$41.688 | \$32.994 | \$8.694 | 20.9 | \$321.287 | \$309.149 | \$12.138 | 3.8 |
| Depreciation | 56.809 | 56.594 | 0.216 | 0.4 | 0.000 | 0.000 | 0.000 | - | 56.809 | 56.594 | 0.216 | 0.4 |
| OPEB Obligation | 16.275 | 16.275 | 0.000 | 0.0 | 0.000 | 0.000 | 0.000 | - | 16.275 | 16.275 | 0.000 | 0.0 |
| Environmental Remediation | 0.950 | 1.640 | (0.690) | (72.6) | 0.000 | 0.000 | 0.000 | - | 0.950 | 1.640 | (0.690) | (72.6) |
| Total Expenses | \$353.633 | \$350.663 | \$2.971 | 0.8 | \$41.688 | \$32.994 | \$8.694 | 20.9 | \$395.321 | \$383.657 | \$11.665 | 3.0 |
| Net Surplus/(Deficit) | (\$186.669) | (\$188.625) | (\$1.956) | (1.0) | \$0.000 | \$0.000 | \$0.000 | - | (\$186.669) | (\$188.625) | (\$1.956) | (1.0) |
| <i>Cash Conversion Adjustments:</i> | | | | | | | | | | | | |
| Depreciation | 56.809 | 56.594 | (0.216) | (0.4) | 0.000 | 0.000 | 0.000 | - | 56.809 | 56.594 | (0.216) | (0.4) |
| Operating/Capital | (5.205) | (3.310) | 1.895 | 36.4 | 0.000 | 0.000 | 0.000 | - | (5.205) | (3.310) | 1.895 | 36.4 |
| Other Cash Adjustments | 18.537 | 25.332 | 6.796 | 36.7 | 0.000 | 0.000 | 0.000 | - | 18.537 | 25.332 | 6.796 | 36.7 |
| Total Cash Conversion Adjustments | \$70.142 | \$78.616 | \$8.475 | 12.1 | \$0.000 | \$0.000 | \$0.000 | - | \$70.142 | \$78.616 | \$8.475 | 12.1 |
| Net Cash Surplus/(Deficit) | (\$116.527) | (\$110.009) | \$6.518 | 5.6 | \$0.000 | \$0.000 | \$0.000 | - | (\$116.527) | (\$110.009) | \$6.519 | 5.6 |

-- 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 ADOPTED BUDGET AND ACTUAL RESULTS
 FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
 MARCH 2014
 (\$ in millions)

| Generic Revenue or Expense Category | Non Reimb. or Reimb. | Current Month vs. Adopted Budget | | | Year to Date vs. Adopted Budget | | |
|--|-------------------------|----------------------------------|--------|---|---------------------------------|---------|--|
| | | Variance Fav (Unfav) | | Reason for Variance | Variance Fav (Unfav) | | Reason for Variance |
| | | \$ | % | | \$ | % | |
| FAREBOX REVENUE | Non-Reimb | (\$2.531) | (4.7%) | Primarily lower non-commutaiton ridership due to the service interruption resulting from the East Harlem explosion and colder-than-normal temperatures. | (\$5.305) | (3.4%) | Primarily reflects lower non-commutation ridership across all three lines primarily due to inclement winter weather and the residual effects of previous service interruptions. |
| OTHER OPERATING REVENUE | Non-Reimb | \$0.330 | 8.2% | Primarily due to higher net GCT retail revenues. | \$0.378 | 2.9% | |
| CAPITAL AND OTHER REIMBURSEMENTS | Reimb | (\$0.225) | (1.5%) | | (\$8.694) | (20.9%) | Lower reimbursements reflect scheduling changes in capital project expenditures. |
| PAYROLL | Non-Reimb | \$3.111 | 8.8% | Primarily due to vacancies. | \$3.294 | 3.1% | Primarily due to vacancies. |
| | Reimb | \$0.500 | 14.8% | Reflects vacant administrative positions, lower activity on GCT Turnout Renewal project and Misc. I&C H & H projects and timing differences for the following projects: C-29 Track Project, 2013 Cyclical Track Program, H & H Lines Power Imp, Harmon Shop Improvements, Positive Train Control. | \$2.430 | 24.6% | Reflects vacant administrative positions, reallocation of forces to operations coverage for inclement weather conditions, and timing differences for the following projects: 2013 Cyclical Track Program, Positive Train Control, H & H Lines Power Imp., NH Rail Yard - Component Change Out Shop. |
| OVERTIME | Non-Reimb | (\$0.262) | (5.3%) | Primarily due to higher overtime requirements for service coverage, car fleet maintenance and the implementation of mandated signal system modifications. | (\$5.232) | (35.9%) | Primarily due to higher overtime requirements due to snow storm cleanup, coverage and repairs. |
| | Reimb | (\$0.088) | (7.9%) | Reflects higher than projected activity on the NHL - Bridge Timbers and Mitre Rail - Walk SAGA and CDOT Bridge and Catenary C1B and partially offset by delays on the C -29 Track Project and 2013 Cyclical Track Program. | \$0.181 | 5.8% | Reflects timing of the 2013 Cyclical Track Program, NH Rail Yard - Component Change Out Shop, C-29 Track Project and Positive Train Control and partially offset by higher activity on the CDOT Bridge and Catenary C1B, NHL - Bridge Timbers and Mitre Rail - Walk SAGA and the Replacement 5 Anchor Bridge Substation with Wayside Substation. |
| HEALTH AND WELFARE | Non-Reimb | \$1.087 | 12.5% | Primarily lower than projected premiums and lower payroll costs. | \$1.451 | 5.5% | Primarily lower than projected premiums and lower payroll costs. |
| | Reimb | \$0.170 | 15.3% | Reflects lower project activity. | \$0.827 | 25.8% | Reflects lower project activity. |
| OPEB CURRENT PAYMENT | Non-Reimb | (\$0.137) | (7.5%) | Reflects additional retirees. | (\$0.120) | (2.2%) | |

MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN ADOPTED BUDGET AND ACTUAL RESULTS
 FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
 MARCH 2014
 (\$ in millions)

| Generic Revenue or Expense Category | Non Reimb. or Reimb. | Current Month vs. Adopted Budget | | | Year to Date vs. Adopted Budget | | |
|--|-------------------------|----------------------------------|---------|--|---------------------------------|---------|---|
| | | Variance Fav (Unfav) | | Reason for Variance | Variance Fav (Unfav) | | Reason for Variance |
| | | \$ | % | | \$ | % | |
| PENSIONS | Non-Reimb | \$0.447 | 7.2% | Primarily lower payroll costs. | \$0.161 | 0.9% | |
| | Reimb | \$0.085 | 12.8% | Reflects lower project activity. | \$0.430 | 22.1% | Reflects lower project activity. |
| OTHER FRINGE BENEFITS | Reimb | \$0.069 | 8.9% | Reflects rate differentials and project adjustments. | \$0.446 | 20.0% | Reflects rate differentials and project adjustments. |
| REIMBURSABLE OVERHEAD | Non-Reimb | \$0.321 | 11.0% | The non-reimbursable and reimbursable variances reflect lower activity on the following projects: Positive Train Control, Hurricane Sandy Infrastructure, Replace Timbers Undergrade Bridge and Track Program work. | (\$0.648) | (7.7%) | The non-reimbursable and reimbursable variances reflect lower activity on the following projects: Positive Train Control, Hurricane Sandy Infrastructure, Replace Timbers Undergrade Bridge, H&H Lines Power Improvements and Track Program work. |
| | Reimb | (\$0.117) | (4.1%) | | \$0.797 | 9.7% | |
| ELECTRIC POWER | Non-Reimb | \$1.172 | 14.4% | Primarily due to lower rates and consumption. | (\$0.147) | (0.7%) | |
| FUEL | Non-Reim | (\$0.560) | (25.2%) | Reflects higher heating fuel usage resulting from colder than normal temperatures for the period. | (\$0.870) | (12.3%) | Primarily due to higher heating fuel consumption resulting from colder weather conditions. |
| INSURANCE | Reimb | (\$0.002) | (0.6%) | | \$0.132 | 18.1% | Reflects higher project activity. |
| CLAIMS | Non-Reimb | (\$0.347) | * | Primarily reflects payments for Spuyten Duyvil derailment claims. | (\$0.707) | * | Primarily reflects payments for Bridgeport and Spuyten Duyvil derailment claims. |
| MAINTENANCE AND OTHER OPERATING CONTRACTS | Non-Reimb | \$2.541 | 23.9% | Primarily reflects timing of expenses for maintenance contracts and Genesis Locomotive overhaul. | \$3.949 | 15.3% | Reflects timing of expenses for maintenance contracts, telephone usage and Genesis Locomotive overhaul. |
| | Reimb | \$0.133 | 13.1% | Reflects delay on the GCT Leaks Remediation and Undergrade Bridge projects partially offset by higher than anticipated activity on the NHL Substation and UI Supply and the NH Independent Wheel True Shop projects. | \$0.913 | 36.1% | Reflects delay on the GCT Leaks Remediation and Replace Timbers Undergrade Bridge projects. |

MTA METRO-NORTH RAILROAD
 ACCRUAL STATEMENT OF OPERATIONS BY CATEGORY
 EXPLANATION OF VARIANCE BETWEEN ADOPTED BUDGET AND ACTUAL RESULTS
 FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
 MARCH 2014
 (\$ in millions)

| Generic Revenue or Expense Category | Non Reimb. or Reimb. | Current Month vs. Adopted Budget | | | Year to Date vs. Adopted Budget | | |
|--|-------------------------|----------------------------------|---------|---|---------------------------------|---------|---|
| | | Variance Fav (Unfav) | | Reason for Variance | Variance Fav (Unfav) | | Reason for Variance |
| | | \$ | % | | \$ | % | |
| PROFESSIONAL SERVICE CONTRACTS | Non-Reimb | \$0.903 | 35.8% | Favorable variance reflects the timing of expenses for IT costs, outside training and engineer services. | \$1.575 | 24.5% | Favorable variance reflects the timing of expenses for IT costs, legal expenses, advertising and engineer services. |
| | Reimb | (\$0.443) | (41.5%) | Reflects higher than projected activity on the NHL Signal System - CP229 Greenwich to New Haven, MNR Technology Move and the NHL - EMU Fleet Replacement M8 partially offset by timing of the Positive Train Control and the WOH Signal Improvements project. | \$0.478 | 14.9% | Reflects timing of the Positive Train Control and WOH Signal Improvements partially offset by higher than anticipated activity on the MNR Technology Move, Overhead Bridge Program - EOH and the NHL - Stamford Station Real Time Information System. |
| MATERIAL AND SUPPLIES | Non-Reimb | (\$1.368) | (22.8%) | Unfavorable variance reflects quarterly accrual for excess & obsolete inventory. | \$1.280 | 6.9% | Lower rolling stock mechanical material usage and purchases partly offset by quarterly accrual for excess & obsolete inventory. |
| | Reimb | \$1.333 | 54.0% | Reflects timing of Stamford Station Improvements, Positive Train Control, C-29 Track Project and the 2013 Cyclical Track Program. | \$3.515 | 55.0% | Reflects a correction of a material charge from 2013 on the Cyclical insulated Joints Replacement project and timing of the Positive Train Control, Stamford Station Improvement project, Hurricane Sandy Power Infrastructure Restoration project, NH Rail Yard - Component Change Out Shop and the Bronx Stations/Capacity Imp. Program. |
| OTHER BUSINESS EXPENSES | Reimb | (\$1.408) | * | Reflects higher than budgeted material purchases for the following projects: New Haven Independent Wheel True Shop, PBX Equipment Upgrade and the 525 North Broadway, White Plains Projects. | (\$1.438) | * | Reflects higher than budgeted material purchases for the following projects: New Haven Independent Wheel True Shop, PBX Equipment Upgrade and the 525 North Broadway, White Plains Projects. |
| ENVIRONMENTAL REMEDIATION | Non-Reimb | (\$0.690) | (72.6%) | Reflects quarterly accrual for projects requiring remediation. | (\$0.690) | (72.6%) | Reflects quarterly accrual for projects requiring remediation. |
| OPERATING CAPITAL | Non-Reim | \$0.067 | 2.6% | Reflects lower activity during the period on the Locomotive Overhaul - 6 GP 35 Locos, Ticket Issuing Machines (TIMs), and the Expand Real-Time Train Status Information - NYS, partially offset by higher than anticipated activity on the Purchase Snowmelter Cabinets, Park Ave Tunnel (Fire Alarm System), Purchase A Trailor and Generator, Vehicle Replacement projects and the GCT Escalators Heavy Repair And Maintenance. | \$1.895 | 36.4% | Reflects lower activity during the period on the Locomotive Overhaul - 6 GP 35 Locos, Ticket Issuing Machines (TIMs), Employee Welfare Facility Improvements, Expand Real-Time Train Status Information - NYS, Ticket Vending Machines (TVMs), the delay of the OW Tower Demolition - Tarrytown project, partially offset by higher activity on the Purchase Snowmelter Cabinets, Vehicle Replacement project, Park Ave Tunnel (Fire Alarm System), Purchase A Trailor and Generator and higher than anticipated payment on prior year project carryover costs. |

* Variance exceeds 100%.

MTA Metro-North Railroad
February Financial Plan - 2014 Adopted Budget
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

| | March | | | | | | March Year-to-Date | | | | | |
|---|----------------|--------------|----------------|--------------|---------------------|----------------|--------------------|---------------|----------------|---------------|---------------------|----------------|
| | Adopted Budget | | Actuals | | Var. - Fav./(Unfav) | | Adopted Budget | | Actuals | | Var. - Fav./(Unfav) | |
| | Hours | \$ | Hours | \$ | Hours | \$ | Hours | \$ | Hours | \$ | Hours | \$ |
| NON-REIMBURSABLE OVERTIME | | | | | | | | | | | | |
| <u>Scheduled Service</u> ¹ | 50,113 | \$1.9 | 36,926 | \$2.0 | 13,187 | (\$0.1) | 163,558 | \$6.4 | 140,071 | \$7.7 | 23,487 | (\$1.3) |
| | | | | | 26.3% | -3.5% | | | | | 14.4% | -20.6% |
| <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> | 37,308 | \$1.7 | 41,016 | \$1.9 | (3,708) | (\$0.2) | 95,911 | \$4.4 | 103,889 | \$5.0 | (7,978) | (\$0.6) |
| | | | | | -9.9% | -14.2% | | | | | -8.3% | -13.8% |
| <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 | 14,241 | \$0.8 | 24,986 | \$1.1 | (10,745) | (\$0.3) | 39,018 | \$2.3 | 68,174 | \$3.1 | (29,156) | (\$0.8) |
| | | | | | -75.5% | -36.1% | | | | | -74.7% | -34.8% |
| <u>Weather Emergencies</u> | 7,355 | \$0.4 | 7,804 | \$0.4 | (449) | \$0.1 | 19,790 | \$1.2 | 78,714 | \$3.6 | (58,924) | (\$2.5) |
| | | | | | -6.1% | 16.4% | | | | | | |
| <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 | 1,902 | \$0.1 | 228 | (\$0.2) | 1,674 | \$0.3 | 8,162 | \$0.4 | 890 | \$0.4 | 7,272 | (\$0.0) |
| | | | | | 88.0% | * | | | | | 89.1% | -12.9% |
| Subtotal | 110,919 | \$5.0 | 110,959 | \$5.2 | (40) | (\$0.3) | 326,439 | \$14.6 | 391,738 | \$19.8 | (65,299) | (\$5.2) |
| | | | | | 0.0% | -5.3% | | | | | -20.0% | -36.0% |
| REIMBURSABLE OVERTIME | 22,163 | \$1.1 | 30,386 | \$1.2 | (8,223) | (\$0.1) | 62,278 | \$3.1 | 65,134 | \$2.9 | (2,856) | \$0.2 |
| | | | | | -37.1% | -7.9% | | | | | -4.6% | 5.8% |
| TOTAL OVERTIME | 133,082 | \$6.1 | 141,345 | \$6.4 | (8,264) | (\$0.4) | 388,717 | \$17.7 | 456,872 | \$22.7 | (68,155) | (\$5.1) |
| | | | | | -6.2% | -5.8% | | | | | -17.5% | -28.6% |

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 Scheduled Service category)

³ Not Applicable

⁴ Reflects overtime for administrative functions. Also reflects timing differences related to payroll and calendar cutoff dates.

MTA Metro-North Railroad
February Financial Plan - 2014 Adopted Budget
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

| | March | | | March Year To Date | | |
|---|---------------------|----------------|--|---------------------|----------------|---|
| | Var. - Fav./(Unfav) | | Explanations | Var. - Fav./(Unfav) | | Explanations |
| | Hours | \$ | | Hours | \$ | |
| NON-REIMBURSABLE OVERTIME | | | | | | |
| <u>Scheduled Service</u> ¹ | 13,187 | (\$0.1) | Increased overtime requirements for service coverage. | 23,487 | (\$1.3) | Train service coverage for weather related events. |
| | 26.3% | -3.5% | | 14.4% | -20.6% | |
| <u>Unscheduled Service</u> | 0 | \$0.0 | | 0 | \$0.0 | |
| | - | - | | - | - | |
| <u>Programmatic/Routine Maintenance</u> | (3,708) | (\$0.2) | Primarily due to higher requirements for rolling stock maintenance and the implementation of mandated signal system modifications to ensure automatic speed enforcement. | (7,978) | (\$0.6) | Primarily due to higher requirements for snow storm coverage, implementation of mandated signal system modifications to ensure automatic speed enforcement, incremental rail testing and rolling stock maintenance. |
| | -9.9% | -14.2% | | -8.3% | -13.8% | |
| <u>Unscheduled Maintenance</u> | 0 | \$0.0 | | 0 | \$0.0 | |
| | - | - | | - | - | |
| <u>Vacancy/Absentee Coverage</u> ² | (10,745) | (\$0.3) | Vacancy and sick time coverage. | (29,156) | (\$0.8) | Vacancy and sick time coverage. |
| | -75.5% | -36.1% | | -74.7% | -34.8% | |
| <u>Weather Emergencies</u> | (449) | \$0.1 | | (58,924) | (\$2.5) | Due to increased operations coverage and cleanup requirements for multiple snow storms. |
| | -6.1% | 16.4% | | * | * | |
| <u>Safety/Security/Law Enforcement</u> ³ | 0 | \$0.0 | | 0 | \$0.0 | |
| | - | - | | - | - | |
| <u>Other</u> ⁴ | 1,674 | \$0.3 | Reflects timing differences related to payroll and calendar cutoff dates. | 7,272 | (\$0.0) | Reflects timing differences related to payroll and calendar cutoff dates. |
| | 88.0% | * | | 89.1% | -12.9% | |
| Subtotal | (40) | (\$0.3) | | (65,299) | (\$5.2) | |
| | 0.0% | -5.3% | | -20.0% | -36.0% | |
| REIMBURSABLE OVERTIME | (8,223) | (\$0.1) | | (2,856) | \$0.2 | |
| | -37.1% | -7.9% | | -4.6% | 5.8% | |
| TOTAL OVERTIME | (8,264) | (\$0.4) | | (68,155) | (\$5.1) | |

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.
* Exceeds 100%

¹ Includes Service Delay and Tour Length related overtime.

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

³ Not Applicable

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
2013 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
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

SCHEDULE III

| | March 2014 | | | | Year-to-Date | | | |
|--|-------------------|-------------------|----------------------------|---------------|--------------------|--------------------|----------------------------|---------------|
| | Adopted Budget | Actual | Favorable (Unfavorable) | | Adopted Budget | Actual | Favorable (Unfavorable) | |
| | | | Variance | Percent | | | Variance | Percent |
| Receipts | | | | | | | | |
| Farebox Receipts | \$54.772 | \$51.178 | (\$3.594) | (6.6) | \$155.571 | \$150.594 | (\$4.977) | (3.2) |
| Toll Receipts | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Other Operating Receipts | 4.740 | 4.417 | (0.323) | (6.8) | 16.206 | 19.075 | 2.869 | 17.7 |
| <i>Capital & Other Reimbursements:</i> | | | | | | | | |
| MTA | 7.551 | 12.157 | 4.606 | 61.0 | 23.211 | 22.272 | (0.939) | (4.0) |
| CDOT | 4.376 | 2.917 | (1.459) | (33.3) | 12.726 | 5.838 | (6.888) | (54.1) |
| Other | 1.238 | 0.925 | (0.313) | (25.3) | 3.317 | 2.058 | (1.259) | (38.0) |
| Total Capital and Other Reimbursements | 13.165 | 15.999 | 2.834 | 21.5 | 39.254 | 30.168 | (9.086) | (23.1) |
| Total Receipts | \$72.677 | \$71.594 | (\$1.083) | (1.5) | \$211.031 | \$199.837 | (\$11.194) | (5.3) |
| Expenditures | | | | | | | | |
| <i>Labor:</i> | | | | | | | | |
| Payroll | \$36.651 | \$35.021 | \$1.630 | 4.4 | \$120.645 | \$112.510 | \$8.135 | 6.7 |
| Overtime | 5.720 | 6.265 | (0.545) | (9.5) | 18.103 | 23.423 | (5.320) | (29.4) |
| Health and Welfare | 10.609 | 6.447 | 4.162 | 39.2 | 31.526 | 25.479 | 6.047 | 19.2 |
| OPEB Current Payment | 1.837 | 2.007 | (0.170) | (9.2) | 5.512 | 7.312 | (1.800) | (32.6) |
| Pensions | 7.132 | 6.691 | 0.441 | 6.2 | 7.625 | 8.456 | (0.831) | (10.9) |
| Other Fringe Benefits | 9.166 | 8.713 | 0.453 | 4.9 | 30.778 | 28.680 | 2.098 | 6.8 |
| GASB Account | 0.743 | 0.000 | 0.743 | 100.0 | 2.229 | 1.486 | 0.743 | 33.3 |
| Reimbursable Overhead | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Total Labor | \$71.858 | \$65.144 | \$6.714 | 9.3 | \$216.418 | \$207.346 | \$9.072 | 4.2 |
| <i>Non-Labor:</i> | | | | | | | | |
| Electric Power | \$8.291 | \$9.944 | (\$1.653) | (19.9) | \$22.967 | \$19.400 | \$3.567 | 15.5 |
| Fuel | 1.924 | 2.824 | (0.900) | (46.8) | 6.172 | 8.251 | (2.079) | (33.7) |
| Insurance | 1.031 | 1.959 | (0.928) | (90.0) | 4.369 | 5.910 | (1.541) | (35.3) |
| Claims | 0.057 | 1.278 | (1.221) | * | 0.171 | 2.390 | (2.219) | * |
| Paratransit Service Contracts | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Maintenance and Other Operating Contracts | 14.824 | 6.563 | 8.261 | 55.7 | 26.136 | 22.764 | 3.372 | 12.9 |
| Professional Service Contracts | 5.768 | 2.673 | 3.095 | 53.7 | 11.706 | 8.567 | 3.139 | 26.8 |
| Materials & Supplies | 9.145 | 7.853 | 1.292 | 14.1 | 26.718 | 21.608 | 5.110 | 19.1 |
| Other Business Expenditures | 3.909 | 5.319 | (1.410) | (36.1) | 12.902 | 13.610 | (0.708) | (5.5) |
| Total Non-Labor | \$44.949 | \$38.413 | \$6.536 | 14.5 | \$111.141 | \$102.500 | \$8.641 | 7.8 |
| <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 | \$116.807 | \$103.557 | \$13.250 | 11.3 | \$327.559 | \$309.846 | \$17.713 | 5.4 |
| Net Cash Deficit (excludes Opening Cash Balance) | (\$44.130) | (\$31.963) | \$12.167 | 27.6 | (\$116.528) | (\$110.009) | \$6.519 | 5.6 |
| Subsidies | | | | | | | | |
| MTA | 34.354 | 25.823 | (8.531) | (24.8) | 87.918 | 62.753 | (25.165) | (28.6) |
| CDOT | 9.776 | 1.066 | (8.710) | (89.1) | 28.610 | 34.124 | 5.514 | 19.3 |
| Total Subsidies | \$44.130 | \$26.889 | (\$17.241) | (39.1) | \$116.528 | \$96.877 | (\$19.651) | (16.9) |
| Cash Timing and Availability Adjustment | \$0.000 | \$8.263 | \$8.263 | - | \$0.000 | \$16.334 | \$16.334 | - |

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

MTA METRO-NORTH RAILROAD
 FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
 CASH RECEIPTS AND EXPENDITURES
 EXPLANATION OF VARIANCE BETWEEN BUDGET AND ACTUAL RESULTS
 (\$ in millions)

\$ Detail

| Generic Receipt or Expense Category | March Month vs Budget | | | Year-To-Date as of March 31, 2014 | | |
|-------------------------------------|-----------------------|---------|---|-----------------------------------|---------|---|
| | Variance Fav (Unfav) | | Reason for Variance | Variance Fav (Unfav) | | Reason for Variance |
| | \$ | % | | \$ | % | |
| FARE REVENUE | (3.594) | (6.6%) | Lower ridership combined with timing of cash receipts. | (4.977) | (3.2%) | Lower ridership partially offset by timing of cash receipts. |
| OTHER OPERATING REVENUE | (0.323) | (6.8%) | Timing of March Amtrak reimbursement and lower Other Misc. Revenue partially offset by timing of payments to reimburse MTA for LaSalle Charges. | 2.869 | 17.7% | Timing of quarterly payment to MTA for LaSalle charges and CSX reimbursement for 2013 derailment partially offset by timing of March Amtrak reimbursement and recording of receipts from Greystone. |
| CAPITAL AND OTHER REIMBURSEMENTS: | | | | | | |
| MTA | 4.606 | 61.0% | Higher cash receipts due to timing partially offset by lower project activity. | (0.939) | (4.0%) | |
| CDOT | (1.459) | (33.3%) | Lower cash receipts due to timing partially offset by higher project activity. | (6.888) | (54.1%) | Lower cash receipts due to timing as well as lower project activity. |
| OTHER | (0.313) | (25.3%) | Lower receipts than anticipated due to timing of I & C related projects. | (1.259) | (38.0%) | Lower receipts than anticipated due to timing of I & C related projects. |
| PAYROLL | 1.630 | 4.4% | Position vacancies and revised scheduling of capital projects. | 8.135 | 6.7% | Position vacancies, revised scheduling of capital projects, lower payroll taxes associated with vacancies and lower vacation payouts. |
| OVERTIME | (0.545) | (9.5%) | Higher vacancy/absentee coverage, programmatic/routine maintenance and scheduled service. | (5.320) | (29.4%) | Higher overtime necessitated by inclement weather, scheduled service, vacancy/absentee coverage and programmatic/routine maintenance. |
| HEALTH & WELFARE | 4.162 | 39.2% | Lower premium rates as well as higher vacancies. | 6.047 | 19.2% | Lower premium rates and higher vacancies partially offset by prepayment of April NYSHIP/Empire premiums. |
| OPEB CURRENT PAYMENT | (0.170) | (9.3%) | Higher retiree health benefits payments. | (1.800) | (32.7%) | Prepayment to NYSHIP for April. |
| PENSIONS | 0.441 | 6.2% | Position vacancies as well as timing of payments for MTA Defined Benefit Plan. | (0.831) | (10.9%) | Reflects additional payments to meet the final 2013 Actuarial Required Contribution (MTA Defined Benefit and Retirement Contribution) partially offset by position vacancies and timing of payments for MTA Defined Benefit Plan. |
| OTHER FRINGE BENEFITS | 0.453 | 4.9% | | 2.098 | 6.8% | Lower FELA claims than anticipated combined with lower railroad retirement tax payments. |
| GASB ACCOUNT | 0.743 | 100.0% | Delay in March payment to be made in April. | 0.743 | 33.3% | Delay in March payment to be made in April. |
| ELECTRIC POWER | (1.653) | (19.9%) | Timing of February payment made in March. | 3.567 | 15.5% | Payment timing partially offset by higher rates on the New Haven Line. |
| FUEL | (0.900) | (46.8%) | Payment timing difference for both non-revenue and revenue fuel. | (2.079) | (33.7%) | Timing of payments combined with higher consumption on the Harlem/Hudson line as well as higher overall rates. |

MTA METRO-NORTH RAILROAD
 FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
 CASH RECEIPTS AND EXPENDITURES
 EXPLANATION OF VARIANCE BETWEEN BUDGET AND ACTUAL RESULTS
 (\$ in millions)

\$ Detail

| Generic Receipt or Expense Category | March Month vs Budget | | | Year-To-Date as of March 31, 2014 | | |
|---|-----------------------|---------|--|-----------------------------------|---------|--|
| | Variance Fav (Unfav) | | Reason for Variance | Variance Fav (Unfav) | | Reason for Variance |
| | \$ | % | | \$ | % | |
| INSURANCE | (0.928) | (90.0%) | Timing of All Agency Property and Auto insurance (budgeted in February paid in March) offset by force account insurance. | (1.541) | (35.3%) | Timing of insurance payments for the last quarter of 2013 (Excess Liability, property - terrorism premium). |
| CLAIMS | (1.221) | * | Passenger injury settlements relating to various passenger injuries as well as Spuyten Dyvil incident. | (2.219) | * | Passenger injury settlements relating to New Haven Line derailment, the Spuyten Dyvil incident and other passenger injury claims. |
| MAINTENANCE & OTHER OPERATING CONTRACTS | 8.261 | 55.7% | Timing of payments for MTA Police Service, Maintenance for Revenue Vehicles (GE Locomotive), capital related projects, Maintenance & Repair and Escalator and Elevator Repair. | 3.372 | 12.9% | Timing of payments for MTA Police Service and Maintenance for Revenue Vehicles (GE Locomotive) partially offset by timing of 2013 expenses paid in 2014 including Bus & Transfer Services, Real Estate Rentals and Non-Vehicle Maintenance Repair. |
| PROFESSIONAL SERVICE CONTRACTS | 3.095 | 53.7% | Timing of capital related projects, NHL BSC costs and I.T. Hardware. | 3.139 | 26.8% | Timing of capital related projects, NHL BSC costs, Locomotive Simulator, Outside Audit and Data Center charges partially offset by I.T. Hardware. |
| MATERIALS & SUPPLIES | 1.292 | 14.1% | Timing of material purchases partially offset by lower capital projects. | 5.110 | 19.1% | Timing of capital related projects (including PTC, Cyclical Replace Insulated Joints, and Hurricane Sandy restoration) and material purchases for inventory partially offset by higher operating capital projects (Snow Melter Cabinets). |
| OTHER BUSINESS EXPENSES | (1.410) | (36.1%) | Purchase of optical equipment for 525 N. Broadway Project and Shunter Locomotive. | (0.708) | (5.5%) | Higher capital related projects (525 N. Broadway Project). |
| MTA SUBSIDY RECEIPTS | (8.531) | (24.8%) | Lower subsidy draw due to lower monthly cash deficit and a higher cash timing adjustment partially offset by lower CDOT subsidy payment and closing available cash balance. | (25.165) | (28.6%) | Lower subsidy draw due to a higher cash timing adjustment, lower YTD cash deficit and higher CDOT subsidy payments partially offset by a higher closing cash available balance. |
| CDOT SUBSIDY RECEIPTS | (8.710) | (89.1%) | March subsidy prepaid in February partially offset by administrative asset subsidy. | 5.514 | 19.3% | Higher subsidy draw driven by customer fare credit recognized in January and higher than anticipated deficit for December 2013 which was recognized in February 2014. |
| TOTAL SUBSIDY RECEIPTS | (17.241) | (39.1%) | | (19.651) | (16.9%) | |

* Variance exceeds 100%

MTA METRO-NORTH RAILROAD
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
CASH CONVERSION (CASH FLOW ADJUSTMENT)
(\$ in millions)

| | March 2014 | | | | Year-to-Date | | | |
|---|-------------------|------------------|----------------------------|-------------|-------------------|------------------|----------------------------|--------------|
| | Adopted Budget | Actual | Favorable (Unfavorable) | | Adopted Budget | Actual | Favorable (Unfavorable) | |
| | | | Variance | Percent | | | Variance | Percent |
| Receipts | | | | | | | | |
| Farebox Revenue | \$0.516 | (\$0.546) | (\$1.063) | * | \$1.513 | \$1.841 | \$0.328 | 21.7 |
| Toll Revenue | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Other Operating Revenue | 0.716 | 0.063 | (0.653) | (91.2) | 3.300 | 5.791 | 2.491 | 75.5 |
| <i>Capital & Other Reimbursements:</i> | | 0.000 | | | 0.000 | 0.000 | | |
| MTA | (1.314) | 4.734 | 6.048 | * | (3.654) | 2.743 | 6.397 | * |
| CDOT | (0.112) | (3.426) | (3.314) | * | 1.627 | (4.934) | (6.562) | * |
| Other | (0.152) | 0.173 | 0.325 | * | (0.407) | (0.634) | (0.227) | (55.9) |
| Total Capital and Other Reimbursements | (1.577) | 1.482 | 3.059 | * | (2.434) | (2.826) | (0.392) | (16.1) |
| Total Revenue/Receipts | (\$0.345) | \$0.999 | \$1.343 | * | \$2.379 | \$4.806 | \$2.427 | * |
| Expenditures | | | | | | | | |
| <i>Labor:</i> | | | | | | | | |
| Payroll | \$1.975 | (\$0.005) | (\$1.981) | * | (\$4.278) | (\$1.868) | \$2.410 | 56.3 |
| Overtime | 0.374 | 0.180 | (0.195) | (52.0) | (0.417) | (0.686) | (0.269) | (64.5) |
| Health and Welfare | (0.809) | 2.096 | 2.905 | * | (2.018) | 1.750 | 3.768 | * |
| OPEB Current Payment | 0.000 | (0.032) | 0.000 | | 0.000 | (1.679) | (1.679) | - |
| Pensions | (0.255) | (0.346) | (0.091) | (35.8) | 12.998 | 11.576 | (1.422) | (10.9) |
| Other Fringe Benefits | (0.119) | 0.369 | 0.488 | * | (3.089) | (0.814) | 2.275 | 73.7 |
| GASB Account | (0.743) | 0.000 | 0.743 | 100.0 | (2.229) | (1.486) | 0.743 | 33.3 |
| Reimbursable Overhead | (0.067) | (0.271) | (0.204) | * | (0.204) | (0.353) | (0.150) | (73.3) |
| Total Labor | \$0.356 | \$1.989 | \$1.633 | * | \$0.763 | \$6.440 | \$5.677 | * |
| <i>Non-Labor:</i> | | | | | | | | |
| Electric Power | (\$0.171) | (\$2.990) | (\$2.819) | * | (\$0.488) | \$3.243 | \$3.731 | * |
| Fuel | 0.299 | (0.041) | (0.340) | * | 0.896 | (0.313) | (1.209) | * |
| Insurance | 0.665 | (0.304) | (0.968) | * | 0.655 | (1.122) | (1.777) | * |
| Claims | 0.002 | (0.872) | (0.874) | * | 0.002 | (1.510) | (1.512) | * |
| Paratransit Service Contracts | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Maintenance and Other Operating Contracts | (3.196) | 2.392 | 5.588 | * | 2.212 | 0.722 | (1.490) | (67.4) |
| Professional Service Contracts | (2.175) | 0.459 | 2.634 | * | (2.074) | (0.988) | 1.085 | 52.3 |
| Materials & Supplies | (0.682) | 0.645 | 1.327 | * | (1.801) | (1.486) | 0.315 | 17.5 |
| Other Business Expenses | (1.838) | (1.785) | 0.052 | 2.9 | (6.437) | (5.684) | 0.753 | 11.7 |
| Total Non-Labor | (\$7.096) | (\$2.496) | \$4.600 | 64.8 | (\$7.034) | (\$7.138) | (\$0.103) | (1.5) |
| <i>Other Adjustments:</i> | | | | | | | | |
| Other | 0.000 | 0.000 | 0.000 | - | 0.000 | 0.000 | 0.000 | - |
| Total Other Adjustments | \$0.000 | \$0.000 | \$0.000 | - | \$0.000 | \$0.000 | \$0.000 | - |
| Total Expenditures Adjustments before Non-Cash Liability Adjs. | (\$6.740) | (\$0.507) | \$6.233 | 92.5 | (\$6.271) | (\$0.697) | \$5.574 | 88.9 |
| Depreciation | 18.936 | 18.941 | 0.004 | 0.0 | 56.809 | 56.594 | (0.216) | (0.4) |
| OPEB Obligation | 5.425 | 5.425 | 0.000 | 0.0 | 16.275 | 16.275 | 0.000 | 0.0 |
| Environmental Remediation | 0.950 | 1.640 | 0.690 | 72.6 | 0.950 | 1.640 | 0.690 | (72.6) |
| Total Expenditures Adjustments | \$18.571 | \$25.498 | \$6.927 | 37.3 | \$67.763 | \$73.811 | \$6.048 | 8.9 |
| Total Cash Conversion Adjustments | \$18.226 | \$26.497 | \$8.270 | 45.4 | \$70.142 | \$78.616 | \$8.475 | 12.1 |

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

MTA METRO-NORTH RAILROAD
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
UTILIZATION
(in millions)

| | <u>Month of March</u> | | <u>Variance</u> | | <u>Year-to-Date March</u> | | <u>Variance</u> | | |
|--------------------------------|-----------------------|-------------------------|--------------------|---------------|---------------------------|---------------|--------------------------|--------------------|----------|
| | <u>Budget</u> | <u>Actual</u> | <u>Fav (Unfav)</u> | <u>Amount</u> | <u>%</u> | <u>Budget</u> | <u>Actual</u> | <u>Fav (Unfav)</u> | <u>%</u> |
| <u>Farebox Revenue</u> | | | | | | | | | |
| Harlem Line | \$16.298 | \$15.533 | (\$0.766) | | -4.7 | \$46.819 | \$45.012 | (\$1.807) | -3.9 |
| Hudson Line | \$11.793 | \$11.089 | (\$0.704) | | -6.0 | \$33.296 | \$31.816 | (\$1.480) | -4.4 |
| New Haven Line | \$26.122 | \$25.065 | (\$1.057) | | -4.0 | \$73.821 | \$71.816 | (\$2.005) | -2.7 |
| Total Farebox Revenue | \$54.214 | \$51.687 ⁽¹⁾ | (\$2.527) | | -4.7 | \$153.937 | \$148.644 ⁽¹⁾ | (\$5.293) | -3.4 |
| <u>Ridership</u> | | | | | | | | | |
| Harlem Line | 2.324 | 2.225 | (0.099) | | -4.2 | 6.552 | 6.320 | (0.232) | -3.5 |
| Hudson Line | 1.350 | 1.289 | (0.061) | | -4.5 | 3.779 | 3.653 | (0.126) | -3.3 |
| New Haven Line | 3.297 | 3.170 | (0.127) | | -3.8 | 9.245 | 8.956 | (0.289) | -3.1 |
| Total Ridership East of Hudson | 6.971 | 6.684 | (0.287) | | -4.1 | 19.576 | 18.929 | (0.647) | -3.3 |
| West of Hudson | 0.135 | 0.135 | 0.000 | | 0.0 | 0.365 | 0.380 | 0.015 | 4.1 |
| Total Ridership | 7.106 | 6.819 | (0.287) | | -4.0 | 19.942 | 19.309 | (0.632) | -3.2 |

(1) Excludes West of Hudson Mail & Ride revenue totaling \$0.037 million for the month and \$0.109 million year-to-date.

East of Hudson:

East of Hudson ridership for the month fell by 4.1%, or a reduction of 287 thousand rides, and 2.1% lower than March 2013, reflecting the cumulative effects of severe winter weather, the service interruption as a result of the East Harlem explosion and building collapse, as well as the Easter/Passover calendar impact on ridership. Year-to-date ridership was 18.9 million, 3.3% lower than Budget and 1.8% lower than 2013 resulting from severe winter weather and slower than projected ridership growth.

Commutation ridership was 0.8% lower for the month and 0.8% lower for the year-to-date. Compared to 2013, March year-to-date commutation ridership was 0.2% lower. Non-commutation ridership was 6.9% below budget year-to-date and 4.1% lower than 2013. For the month, non-commutation ridership was 8.7% lower than budget and 5.4% worse than 2013.

West of Hudson:

West of Hudson ridership was even to the budget for the month and 4.1% higher year-to-date vs. 2014 Budget.

MTA METRO-NORTH RAILROAD
2014 ADOPTED BUDGET VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
March 31, 2014

| <u>Department</u> | <u>Budget</u> | <u>Actual</u> | <u>Favorable (Unfavorable) Variance</u> |
|---|---------------|---------------|---|
| Administration | | | |
| President | 3 | 3 | - |
| Labor Relations | 9 | 6 | 3 |
| Safety (1) | 45 | 31 | 14 |
| COS/Corporate & Public Affairs | 17 | 15 | 2 |
| Legal | 18 | 18 | - |
| Claims Services (2) | 14 | 11 | 4 |
| Environmental Compliance & Svce | 7 | 7 | - |
| VP Administration | 3 | 2 | 1 |
| VP Human Resources | 7 | 6 | 1 |
| Human Resources (2) | 28 | 24 | 4 |
| Training (3) | 58 | 49 | 9 |
| Employee Relations & Diversity | 5 | 4 | 1 |
| VP Planning | 2 | 2 | - |
| Operations Planning & Analysis | 18 | 16 | 2 |
| Capital Planning & Programming | 16 | 14 | 3 |
| GCT & Corporate Development (4) | 26 | 29 | (3) |
| Long Range Planning | 8 | 8 | - |
| VP Finance & Information Systems | 3 | 1 | 2 |
| Controller (2) | 80 | 74 | 6 |
| Information Technology & Project Mgmt (2) | 121 | 99 | 22 |
| Budget | 18 | 17 | 1 |
| Customer Service (2) | 49 | 44 | 5 |
| Procurement & Material Mgmt (2) | 42 | 29 | 14 |
| Corporate | 2 | - | 2 |
| Total Administration | 599 | 507 | 92 |
| Operations | | | |
| Operations Administration (2) | 61 | 54 | 8 |
| Operations Services (2) | 1,426 | 1,421 | 6 |
| Customer Service (2) | 236 | 231 | 6 |
| GCT & Corporate Development (4) | 38 | 37 | 1 |
| Metro-North West (5) | 27 | 31 | (4) |
| Total Operations | 1,788 | 1,773 | 16 |
| Maintenance | | | |
| GCT & Corporate Development (4) | 174 | 167 | 7 |
| Maintenance of Equipment (2) | 1,691 | 1,621 | 71 |
| Maintenance of Way (2) | 1,910 | 1,833 | 77 |
| Procurement & Material Mgmt | 124 | 124 | 0 |
| Total Maintenance | 3,899 | 3,744 | 155 |
| Engineering/Capital | | | |
| Construction Management (2) | 42 | 37 | 5 |
| Engineering & Design (2) | 68 | 58 | 11 |
| Total Engineering/Capital | 110 | 95 | 16 |
| Total Positions | 6,396 | 6,117 | 279 |
| Non-Reimbursable | 5,855 | 5,713 | 143 |
| Reimbursable | 541 | 405 | 136 |
| Total Full-Time | 6,395 | 6,116 | 279 |
| Total Full-Time-Equivalents (of part-time positions) | 1 | 1 | - |

(1) Variance reflects 10 new positions included in the 2014 budget for the Safety Security Initiative and 4 existing vacant positions.

(2) Variance reflects existing vacant positions.

(3) Variance reflects 8 new positions included in the 2014 budget for hiring initiative and 1 existing vacant position.

(4) Variance reflects positions within the GCT & Corporate Development department that were transferred from a management center that performs a maintenance function to a management center that performs an administrative function. As a whole, the department possesses 5 existing vacant positions.

(5) Metro-North West unfavorable variance is due to Operation Services providing T&E staff to perform flag work on various projects on MNR's West of Hudson services.

MTA METRO-NORTH RAILROAD
2014 ADOPTED BUDGET VS. ACTUALS
TOTAL FULL-TIME POSITIONS AND FULL-TIME EQUIVALENTS
March 31, 2014

| FUNCTION/OCCUPATION | Budget | Actual | Favorable (Unfavorable) Variance |
|-----------------------------------|--------------|--------------|--|
| Administration (1) | | | |
| Managers/Supervisors | 196 | 160 | 37 |
| Professional, Technical, Clerical | 402 | 347 | 55 |
| Operational Hourlies | - | - | - |
| Total Administration | 599 | 507 | 92 |
| Operations (1) | | | |
| Managers/Supervisors (2) | 149 | 145 | 4 |
| Professional, Technical, Clerical | 238 | 227 | 12 |
| Operational Hourlies (2) | 1,402 | 1,401 | 1 |
| Total Operations | 1,788 | 1,773 | 16 |
| Maintenance (1) | | | |
| Managers/Supervisors (2) | 545 | 486 | 58 |
| Professional, Technical, Clerical | 500 | 479 | 21 |
| Operational Hourlies (2) | 2,855 | 2,778 | 76 |
| Total Maintenance | 3,899 | 3,744 | 155 |
| Engineering/Capital | | | |
| Managers/Supervisors | 49 | 41 | 8 |
| Professional, Technical, Clerical | 61 | 54 | 7 |
| Operational Hourlies | - | - | - |
| Total Engineering/Capital | 110 | 95 | 16 |
| Public Safety | | | |
| Managers/Supervisors | - | - | - |
| Professional, Technical, Clerical | - | - | - |
| Operational Hourlies | - | - | - |
| Total Public Safety | - | - | - |
| Total Positions | | | |
| Managers/Supervisors | 939 | 832 | 107 |
| Professional, Technical, Clerical | 1,201 | 1,107 | 95 |
| Operational Hourlies | 4,256 | 4,179 | 77 |
| Total Positions | 6,396 | 6,117 | 279 |

Notes

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

(2) Headcount actuals adjusted to reflect the budgeted re-organization of the Car Appearance unit from Operations Services to the Maintenance of Equipment department.

**MTA METRO-NORTH RAILROAD
2014 ADOPTED BUDGET VS. ACTUALS**

March 31, 2014

| <u>Agency-wide (Non-Reimbursable and Reimbursable)</u> | <u>Budget</u> | <u>Actual</u> | <u>Favorable (Unfavorable) Variance</u> | <u>Explanation of Variances</u> |
|--|---------------|---------------|---|---|
| <i>Functional Classification:</i> | | | | |
| Operations (1) | 1,788 | 1,773 | 16 | Reflects vacancies in Operation Services (train operations staff), Operations Administration (project managers, asst. directors and automotive staff) and Customer Service staffing (assistant directors and ticket sellers). |
| Maintenance (1) | 3,899 | 3,744 | 155 | Reflects vacancies in Maintenance of Way (trackmen, mechanics, vehicle & machine operators and signal maintainers) and Maintenance of Equipment positions (electricians, carmen, machinists and sheetmetal workers). |
| Administration (1) | 599 | 507 | 92 | Reflects vacancies in Information Technology (computer support analysts, application developers and network analysts), Safety (fire EMS and safety officers primarily related to the Safety Security Initiative), Procurement (procurement managers and specialists) and Training personnel (training officers and managers). |
| Engineering / Capital | 110 | 95 | 16 | Reflects vacancies in Engineering & Design (engineers and project directors) and Construction Management (engineers and site construction managers) positions. |
| Total Agency-wide Headcount | 6,396 | 6,117 | 279 | |
| Non-Reimbursable | 5,855 | 5,713 | 143 | |
| Reimbursable | 541 | 405 | 136 | |

Notes

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

MTA METRO-NORTH RAILROAD
FEBRUARY FINANCIAL PLAN - 2014 ADOPTED BUDGET
MONTHLY PERFORMANCE INDICATORS *
 March 2014

| | <u>MONTH</u> | | | <u>VARIANCE</u> | |
|--|---------------------|---------------|-------------|-----------------|-------------|
| | <u>2014</u> | <u>BUDGET</u> | <u>2013</u> | <u>BUDGET</u> | <u>2013</u> |
| Farebox Operating Ratio | | | | | |
| Standard ⁽¹⁾ | 59.4% | 57.6% | 68.3% | 1.8% | -8.9% |
| Adjusted ⁽²⁾ | 67.1% | 64.1% | 76.2% | 3.0% | -9.1% |
| Cost per Passenger | | | | | |
| Standard ⁽¹⁾ | \$13.16 | \$13.66 | \$11.32 | \$0.50 | (\$1.84) |
| Adjusted ⁽²⁾ | \$12.92 | \$13.46 | \$11.13 | \$0.54 | (\$1.79) |
| Passenger Revenue/Passenger ⁽³⁾ | \$7.82 | \$7.87 | \$7.72 | (\$0.05) | \$0.10 |
| | <u>YEAR-TO-DATE</u> | | | <u>VARIANCE</u> | |
| | <u>2014</u> | <u>BUDGET</u> | <u>2013</u> | <u>BUDGET</u> | <u>2013</u> |
| Farebox Operating Ratio | | | | | |
| Standard ⁽¹⁾ | 55.2% | 56.2% | 59.0% | -1.0% | -3.8% |
| Adjusted ⁽²⁾ | 61.8% | 62.2% | 65.6% | -0.4% | -3.8% |
| Cost per Passenger | | | | | |
| Standard ⁽¹⁾ | \$14.40 | \$14.15 | \$12.78 | (\$0.25) | (\$1.62) |
| Adjusted ⁽²⁾ | \$14.05 | \$13.90 | \$12.56 | (\$0.15) | (\$1.49) |
| Passenger Revenue/Passenger ⁽³⁾ | \$7.94 | \$7.96 | \$7.54 | (\$0.02) | \$0.40 |

(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.



Metro-North Railroad

**Ridership Report
May 2014**

MTA METRO-NORTH RAILROAD

MONTHLY RIDERSHIP REPORT

MARCH 2014

Operations Planning & Analysis Department
May, 2014

MARCH 2014 RIDERSHIP REPORT MTA METRO-NORTH RAILROAD

EXECUTIVE SUMMARY

March

- March 2014 **Total MNR System Ridership** was 6.861 million vs. 7.005 million in March 2013, a decrease of 143,927 passengers (-2.1%).
- March 2014 **Total Rail Ridership** was 6.819 million vs. 6.961 million in March 2013, a decrease of 142,136 passengers (-2.0%).
 - **Rail Commutation Ridership** was (+0.3%) vs. 2013
 - **Rail Non-commutation Ridership** was (-5.3%) vs. 2013
- March 2014 **East of Hudson Ridership** was 6.684 million vs. 6.827 million in March 2013, a decrease of 143,611 passengers (-2.1%).
- March 2014 **West of Hudson Ridership** was 0.135 million vs. 0.134 million in March 2013, an increase of 1,475 passengers (+1.1%)
- March 2014 **Connecting Services Ridership** was 0.042 million vs. 0.044 million in March 2013, a decrease of 1,791 passengers (-4.1%).
- March 2014 **Rail Revenue** was \$52.8 million vs. \$53.2 million in March 2013, a decrease of \$420,765 (-0.8%).

Year To Date

- 2014 YTD **Total MNR System Ridership** was 1.7% below 2013 and 3.2% below budget.
- 2014 YTD **Total Rail Ridership** was 1.7% below 2013 and 3.2% below budget.
- 2014 YTD **East of Hudson Ridership** was 1.8% below 2013 and 3.3% below budget.
- 2014 YTD **West of Hudson ridership** was 4.7% above 2013 and 4.1% above budget.
- 2014 YTD **Connecting Services Ridership** was 7.9% below 2013 and 10.2% below budget.
- 2014 YTD **Rail Revenue** was 3.6% above 2013 and 3.3% below budget.

MARCH RAIL RIDERSHIP ⁽¹⁾

- March's Total Rail Ridership was 2.0% below 2013 and 4.0% below budget.



| | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Y-T-D Total |
|----------|-------|-------|-------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------------|
| 2014 | 6.53 | 5.96 | 6.82 | | | | | | | | | | 19.31 |
| 2013 | 6.68 | 6.00 | 6.96 | | | | | | | | | | 19.63 |
| PCT CHG. | -2.3% | -0.5% | -2.0% | | | | | | | | | | -1.7% |

1) Includes East and West of Hudson

MARCH RAIL COMMUTATION RIDERSHIP ⁽¹⁾

• March's Rail Commutation Ridership was 0.3% above 2013 and 0.8% below budget.



| | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Y-T-D Total |
|----------|------|-------|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------------|
| 2014 | 4.01 | 3.64 | 4.10 | | | | | | | | | | 11.75 |
| 2013 | 4.01 | 3.66 | 4.09 | | | | | | | | | | 11.76 |
| PCT CHG. | 0.0% | -0.6% | 0.3% | | | | | | | | | | -0.1% |

1) Includes East and West of Hudson.

MARCH RAIL NON-COMMUTATION RIDERSHIP ⁽¹⁾

- March's Rail Non-Commutation Ridership was 5.3% below 2013 and 8.6% below budget.



| | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Y-T-D Total |
|----------|-------|-------|-------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------------|
| 2014 | 2.51 | 2.33 | 2.72 | | | | | | | | | | 7.56 |
| 2013 | 2.66 | 2.34 | 2.87 | | | | | | | | | | 7.87 |
| PCT CHG. | -5.7% | -0.4% | -5.3% | | | | | | | | | | -4.0% |

1) Includes East and West of Hudson.

MARCH RAIL REVENUE ⁽¹⁾

- March's Total Rail Revenue was 0.8% below 2013 and 4.6% below budget.



| | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Y-T-D Total |
|----------|--------|--------|--------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------------|
| 2014 | \$50.7 | \$48.4 | \$52.8 | | | | | | | | | | \$151.8 |
| 2013 | \$48.2 | \$45.1 | \$53.2 | | | | | | | | | | \$146.5 |
| PCT CHG. | 5.1% | 7.3% | -0.8% | | | | | | | | | | 3.6% |

1) Includes East and West of Hudson

**MTA METRO-NORTH RAILROAD
RIDERSHIP SUMMARY
MARCH 2014**

| TICKET TYPE/SERVICE | MARCH 2014 | MARCH 2013 (1) | CHANGE VS. 2013 | |
|---|------------------|-------------------|------------------|--------------|
| | | | AMOUNT | PERCENT |
| RAIL COMMUTATION RIDERSHIP | | | | |
| East of Hudson | 4,021,309 | 4,011,775 | 9,534 | 0.2% |
| West of Hudson | 77,499 | 75,959 | 1,540 | 2.0% |
| Total Rail Commutation Ridership | 4,098,808 | 4,087,734 | 11,074 | 0.3% |
| RAIL NON-COMMUTATION RIDERSHIP | | | | |
| East of Hudson | 2,662,860 | 2,816,005 | (153,145) | -5.4% |
| West of Hudson | 57,571 | 57,636 | (65) | -0.1% |
| Total Rail Non-Commutation Ridership | 2,720,431 | 2,873,641 | (153,210) | -5.3% |
| TOTAL RAIL RIDERSHIP | | | | |
| East of Hudson | 6,684,169 | 6,827,780 | (143,611) | -2.1% |
| West of Hudson | 135,070 | 133,595 | 1,475 | 1.1% |
| TOTAL RAIL RIDERSHIP | 6,819,239 | 6,961,375 | (142,136) | -2.0% |
| CONNECTING SERVICES RIDERSHIP (2) | 42,326 | 44,117 | (1,791) | -4.1% |
| TOTAL MNR SYSTEM RIDERSHIP | 6,861,565 | 7,005,492 | (143,927) | -2.1% |

Notes:

1) 2013 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
2014 YEAR-TO-DATE**

| TICKET TYPE/SERVICE | 2014 YTD | 2013 YTD (1) | CHANGE VS. 2013 | |
|---|-------------------|-------------------|------------------|--------------|
| | | | AMOUNT | PERCENT |
| RAIL COMMUTATION RIDERSHIP | | | | |
| East of Hudson | 11,523,936 | 11,547,591 | (23,655) | -0.2% |
| West of Hudson | 226,027 | 212,980 | 13,047 | 6.1% |
| Total Rail Commutation Ridership | 11,749,963 | 11,760,571 | (10,608) | -0.1% |
| RAIL NON-COMMUTATION RIDERSHIP | | | | |
| East of Hudson | 7,405,080 | 7,723,520 | (318,440) | -4.1% |
| West of Hudson | 154,430 | 150,423 | 4,007 | 2.7% |
| Total Rail Non-Commutation Ridership | 7,559,510 | 7,873,943 | (314,433) | -4.0% |
| TOTAL RAIL RIDERSHIP | | | | |
| East of Hudson | 18,929,016 | 19,271,111 | (342,095) | -1.8% |
| West of Hudson | 380,457 | 363,403 | 17,054 | 4.7% |
| TOTAL RAIL RIDERSHIP | 19,309,473 | 19,634,514 | (325,041) | -1.7% |
| CONNECTING SERVICES RIDERSHIP (2) | 121,471 | 131,917 | (10,446) | -7.9% |
| TOTAL MNR SYSTEM RIDERSHIP | 19,430,944 | 19,766,431 | (335,487) | -1.7% |

Notes:

1) 2012 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
MARCH 2014**

| LINE | MARCH 2014 ACTUAL | MARCH 2014 BUDGET | VARIANCE VS. BUDGET | | MARCH 2013 RESTATE ⁽¹⁾ | CHANGE FROM 2013 | |
|--|-------------------------|-------------------------|------------------------|--------------|---|------------------|--------------|
| | | | AMOUNT | PERCENT | | AMOUNT | PERCENT |
| EAST OF HUDSON | | | | | | | |
| Harlem Line | 2,225,318 | 2,323,839 | (98,521) | -4.2% | 2,262,611 | (37,293) | -1.6% |
| Hudson Line | 1,288,797 | 1,350,156 | (61,359) | -4.5% | 1,316,583 | (27,786) | -2.1% |
| New Haven Line | 3,170,054 | 3,296,804 | (126,750) | -3.8% | 3,248,586 | (78,532) | -2.4% |
| Total East of Hudson | 6,684,169 | 6,970,799 | (286,630) | -4.1% | 6,827,780 | (143,611) | -2.1% |
| WEST OF HUDSON | | | | | | | |
| Port Jervis Line | 81,892 | 83,182 | (1,290) | -1.6% | 82,466 | (574) | -0.7% |
| Pascack Valley Line | 53,178 | 52,104 | 1,074 | 2.1% | 51,129 | 2,049 | 4.0% |
| Total West of Hudson | 135,070 | 135,286 | (216) | -0.2% | 133,595 | 1,475 | 1.1% |
| TOTAL RAIL RIDERSHIP | 6,819,239 | 7,106,085 | (286,846) | -4.0% | 6,961,375 | (142,136) | -2.0% |
| CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS | | | | | | | |
| Hudson Rail Link | 30,910 | 29,286 | 1,624 | 5.5% | 28,350 | 2,560 | 9.0% |
| Haverstraw-Ossining Ferry | 8,252 | 10,709 | (2,457) | -22.9% | 10,540 | (2,288) | -21.7% |
| Newburgh-Beacon Ferry | 3,164 | 5,227 | (2,063) | -39.5% | 5,227 | (2,063) | -39.5% |
| Total Connecting Services | 42,326 | 45,222 | (2,896) | -6.4% | 44,117 | (1,791) | -4.1% |
| TOTAL MNR SYSTEM | 6,861,565 | 7,151,307 | (289,742) | -4.1% | 7,005,492 | (143,927) | -2.1% |

Notes:

1) 2013 ridership figures have been restated to eliminate calendar impacts on ridership.

**MTA METRO-NORTH RAILROAD
RIDERSHIP BY LINE
2014 YEAR-TO-DATE**

| TICKET TYPE/SERVICE | 2014 YTD ACTUAL | 2014 YTD BUDGET | VARIANCE VS. BUDGET | | 2013 YTD RESTATED (1) | CHANGE FROM 2013 | |
|--|-----------------------|-----------------------|------------------------|---------------|-----------------------------|------------------|--------------|
| | | | AMOUNT | PERCENT | | AMOUNT | PERCENT |
| EAST OF HUDSON | | | | | | | |
| Harlem Line | 6,319,751 | 6,551,900 | (232,149) | -3.5% | 6,424,842 | (105,091) | -1.6% |
| Hudson Line | 3,652,913 | 3,779,400 | (126,487) | -3.3% | 3,718,473 | (65,560) | -1.8% |
| New Haven Line | 8,956,352 | 9,244,983 | (288,631) | -3.1% | 9,127,796 | (171,444) | -1.9% |
| Total East of Hudson | 18,929,016 | 19,576,283 | (647,267) | -3.3% | 19,271,111 | (342,095) | -1.8% |
| WEST OF HUDSON | | | | | | | |
| Port Jervis Line | 230,953 | 225,921 | 5,032 | 2.2% | 225,585 | 5,368 | 2.4% |
| Pasack Valley Line | 149,504 | 139,542 | 9,962 | 7.1% | 137,818 | 11,686 | 8.5% |
| Total West of Hudson | 380,457 | 365,463 | 14,994 | 4.1% | 363,403 | 17,054 | 4.7% |
| TOTAL RAIL RIDERSHIP | 19,309,473 | 19,941,746 | (632,273) | -3.2% | 19,634,514 | (325,041) | -1.7% |
| CONNECTING SERVICES PROVIDED BY METRO-NORTH CONTRACTORS | | | | | | | |
| Hudson Rail Link | 92,272 | 90,028 | 2,244 | 2.5% | 87,152 | 5,120 | 5.9% |
| Haverstraw-Ossining Ferry | 21,425 | 30,284 | (8,859) | -29.3% | 29,807 | (8,382) | -28.1% |
| Newburgh-Beacon Ferry | 7,774 | 14,958 | (7,184) | -48.0% | 14,958 | (7,184) | -48.0% |
| Total Connecting Services | 121,471 | 135,270 | (13,799) | -10.2% | 131,917 | (10,446) | -7.9% |
| TOTAL MNR SYSTEM | 19,430,944 | 20,077,016 | (646,072) | -3.2% | 19,766,431 | (335,487) | -1.7% |

Notes:

1) 2013 ridership figures have been restated to eliminate calendar impacts on ridership.



Metro-North Railroad

Capital Program Report
May 2014

CAPITAL PROGRAM

HIGHLIGHTS

May 21, 2014

STATIONS/PARKING/FACILITIES

North White Plains Station Access and Parking Garage (Design-Build)

Design is nearing completion. The MEP (Mechanical, Electrical and Engineering) design was received and is under review by Metro-North. Formwork, rebar and concrete placement for pile caps and grade beams are progressing.

Poughkeepsie Station Improvements

Designer completed field investigation and data collection; conceptual report is due in early May.

New Haven Line Station Improvements

Mount Vernon East, Pelham, New Rochelle, Larchmont, Mamaroneck, and Harrison Stations: Non-track outage related work activities continue for the New Rochelle Station Node House installation, as well as non-track outage related work activities at Mamaroneck and Harrison Stations for platform ramps and stairs replacement and electrical upgrades.

Two Small Business Mentoring Projects are underway:

- *Pelham-New Rochelle Platform & Guardrail Replacement & Pelham New Bicycle Parking Area:*
 - Platform guardrail installation on the outbound platform is complete and inbound platform guardrail is in fabrication.
- *Larchmont Platform, Ramp Stairs and Guardrail Replacement:*
 - Platform guardrail installation is complete and handrails installation is in progress.

Fordham Station Improvements

Submittal process and the following work are underway: site survey, concrete wall and platform repairs, ramp installation, temporary lighting, foundation excavation and soil disposal. Demolition of the boiler room was completed.

Harlem Line Station Renewal for Select Components

Review comments on the 30% design are being addressed in the design for phase I stations (Botanical Gardens, Williams Bridge, and Woodlawn) and review comments on the conceptual design report are being addressed in the design for phase II stations (Wakefield, Mount Vernon West, Fleetwood, Bronxville, and Tuckahoe).

POWER

Substation Replacement Bridge-23

Fabrication of the long lead equipment including New Rochelle's switchgear is on-going. Phase II GIS/Transformer cutover and Con Edison outage commenced in April. The East/West Cos Cob and Rye Harrison tie has been accepted as a third contingency feed. Commissioning for Pelham balancing substation is anticipated to commence third quarter of 2014. Construction review of activities at Pelham, New Rochelle and Signal station S-14 continues on new vendor submittals, equipment procurement and design coordination.

Harlem River Lift Bridge-Cable Replacement/Control System

Project coordination meetings and submittal process continues. Procurement of long lead items is on-going. Bridge outage has been coordinated with the United States Coast Guard and is scheduled for August 2014. Fabrication of temporary platforms for bridge access around the tracks has commenced. Coordination on the AC Facility Houses design for SANDY Hardening is ongoing; 100% design drawings are complete and under review.

TRACK AND STRUCTURES

2013 Cyclical Track Program

Ties and rail are being laid out along the New Haven Line in preparation of the track work to commence in June of 2014. Surfacing on the Harlem and Hudson lines is on-going. Rail has been replaced on Track #4 on the Hudson line south of Marble Hill station.

Rehabilitation - Woodbury Viaduct

Work resumed after winter shut down, with mobilization at the site and the continuation of lead abatement activities.

Rehabilitate Catenary Structures

Repair work of catenary structures along Track 4 commenced.

Undergrade Bridges – East of Hudson

NH 20.39 (Mamaroneck Ave, Mamaroneck) – Work is 95% complete.

Painting of select undergrade bridges – one bridge remaining and is scheduled to be painted in the spring of 2014.

Design of 5 Undergrade Bridges – design is progressing on the 100% submittal for NH 25.74 (Willet Ave., Port Chester); and the 60% design for the replacement HA 61.06 and HA 61.36 (Patterson, NY). The 100% design for HU 3.41 (110th St, NY) was submitted and is under review. MNR provided comments on the 60% for HA 14.57 (Bronxville, NY).

Undergrade Bridges – West of Hudson

Design of repairs to seven (7) undergrade bridges on the Port Jervis Line: Construction documents for JS 51.00 (Highland Mills) are complete. Procurement for construction contracts is in progress.

Overhead Bridges – East of Hudson

Replacement of Bridge Street Bridge in Poughkeepsie - drainage work continues at the approaches to the bridge. Testing of the superstructure steel commenced at the shop.

SHOPS AND YARDS

Harmon Shop Improvements

- *Phase V, Preliminary Design (Consist Shop)* – The Preliminary Design documents are complete.
- *Phase V, Stage I Pre-demo work* – Punch list work to interior of all trailers, construction of all exterior stairs and ramps, and paving at the new training campus are in progress.
- *Phase V, Stage I Design-Build* – The selection process continues. Site Tour and pre-proposal conference have been scheduled for May 2014.

Employee Welfare & Storage Facilities

Mobilization commenced and submittal process continues for the North White Plains Maintenance of Way & Maintenance of Equipment Facility Roof replacement.

GRAND CENTRAL TERMINAL

Grand Central Terminal Train Shed and Park Avenue Tunnel

Advertisement for the construction of the Train Shed Repairs project is anticipated for the 3rd quarter of 2014.

GCT Elevator Rehabilitation Phase 4

The 100% submittal for SE1 and SE2 elevators incorporating "A" car elevator as an option has been received and is under review by MNR. The 100% submittal for "T-35" elevator is anticipated to be received in May.

GCT Utilities

- *Domestic Water System* - Shop drawing submittal process continues. Electrical work has commenced. Fabrication of Sencillo pump to commence.
- *Fire Suppression Design* - 90% design drawings have been received and are under review.

GCT Leaks Remediation

Mobilization is anticipated to commence in May pending receipt of construction permits. Submittals of hazardous abatement plan, various safe work plans, and the baseline schedule are under review by MNR.

ROLLING STOCK

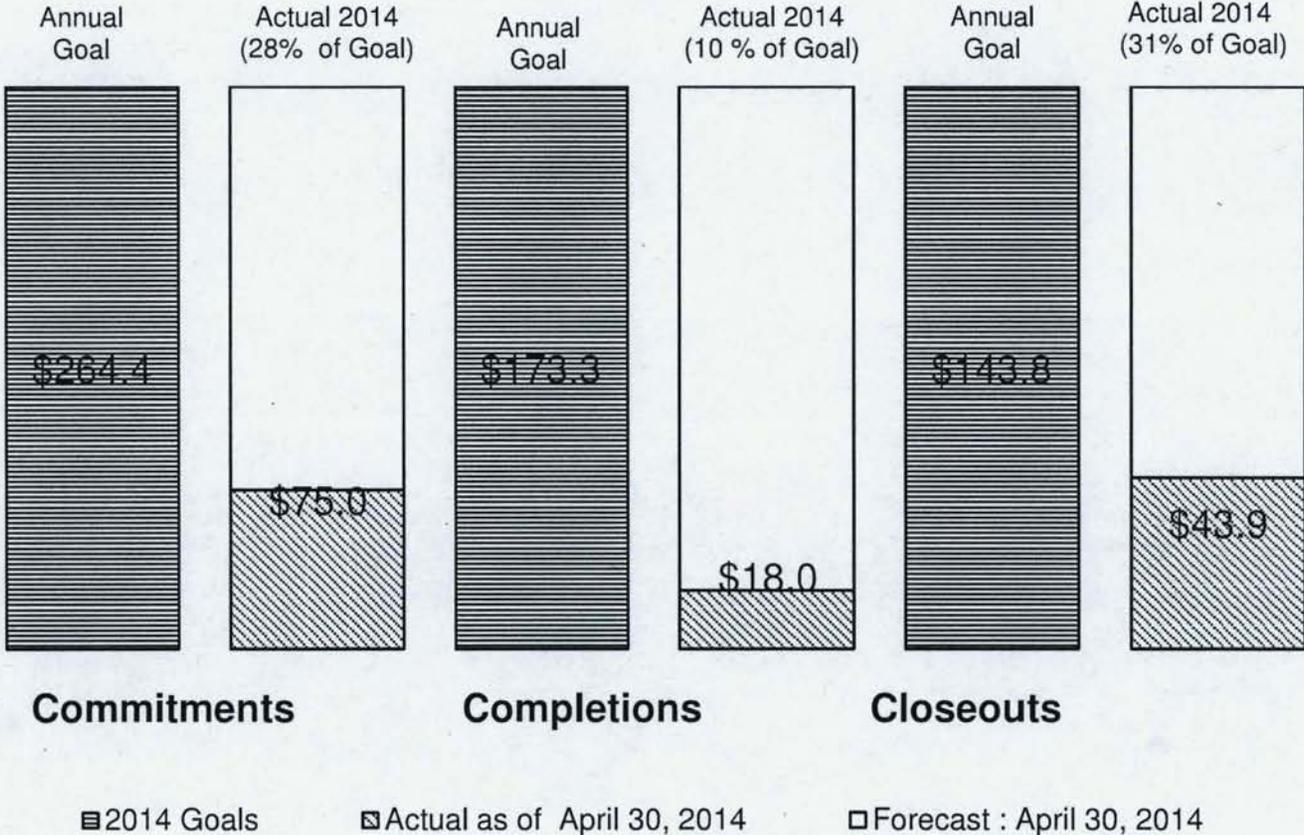
M-8 Car Program

As of April 30, 2014, 340 cars have been conditionally accepted and placed into revenue service.

2014 MNR Capital Program Goals

As of April 30, 2014

In Millions





Police Report

May 2014



METROPOLITAN TRANSPORTATION AUTHORITY

Police Department

Metro North Railroad

April 2014 vs. 2013

| | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder | 0 | 0 | 0 | 0% |
| Rape | 0 | 0 | 0 | 0% |
| Robbery | 1 | 1 | 0 | 0% |
| Felony Assault | 2 | 2 | 0 | 0% |
| Burglary | 1 | 0 | 1 | 100% |
| Grand Larceny | 9 | 10 | -1 | -10% |
| Grand Larceny Auto | 1 | 1 | 0 | 0% |
| Total Major Felonies | 14 | 14 | 0 | 0% |

Year to Date 2014 vs. 2013

| | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder | 0 | 0 | 0 | 0% |
| Rape | 0 | 1 | -1 | -100% |
| Robbery | 8 | 5 | 3 | 60% |
| Felony Assault | 5 | 4 | 1 | 25% |
| Burglary | 5 | 3 | 2 | 67% |
| Grand Larceny | 33 | 30 | 3 | 10% |
| Grand Larceny Auto | 1 | 4 | -3 | -75% |
| Total Major Felonies | 52 | 47 | 5 | 11% |



**METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
System Wide**

April 2014 vs. 2013

| | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder | 0 | 0 | 0 | 0% |
| Rape | 0 | 0 | 0 | 0% |
| Robbery | 5 | 5 | 0 | 0% |
| Felony Assault | 4 | 2 | 2 | 100% |
| Burglary | 1 | 0 | 1 | 100% |
| Grand Larceny | 22 | 20 | 2 | 10% |
| Grand Larceny Auto | 1 | 1 | 0 | 0% |
| Total Major Felonies | 33 | 28 | 5 | 18% |

Year to Date 2014 vs. 2013

| | 2014 | 2013 | Diff | % Change |
|----------------------|------|------|------|----------|
| Murder | 0 | 0 | 0 | 0% |
| Rape | 0 | 1 | -1 | -100% |
| Robbery | 17 | 14 | 3 | 21% |
| Felony Assault | 13 | 10 | 3 | 30% |
| Burglary | 6 | 5 | 1 | 20% |
| Grand Larceny | 75 | 73 | 2 | 3% |
| Grand Larceny Auto | 1 | 4 | -3 | -75% |
| Total Major Felonies | 112 | 107 | 5 | 5% |

INDEX CRIME REPORT
Per Day Average
April 2014

| | Systemwide | LIRR | MNRR | SIRT |
|-----------------------|------------|------|------|------|
| Murder | 0 | 0 | 0 | 0 |
| Rape | 0 | 0 | 0 | 0 |
| Robbery | 5 | 4 | 1 | 0 |
| Fel. Assault | 4 | 2 | 2 | 0 |
| Burglary | 1 | 0 | 1 | 0 |
| Grand Larceny | 22 | 13 | 9 | 0 |
| GLA | 1 | 0 | 1 | 0 |
| Total | 33 | 19 | 14 | 0 |
| Crimes Per Day | 1.10 | 0.63 | 0.47 | 0.00 |



MTA Police Department
Arrest Summary: Department Totals

1/1/2014 to 4/30/2014

| Arrest Classification | Total Arrests |
|-------------------------------------|---------------|
| Robbery | 17 |
| Felony Assault | 10 |
| Burglary | 3 |
| Grand Larceny | 25 |
| Grand Larceny Auto | 1 |
| Aggravated Harassment | 1 |
| Aggravated Unlicensed Operator | 14 |
| Assault-Misdemeanor | 27 |
| Breach of Peace | 3 |
| Child Endangerment | 1 |
| Criminal Impersonation | 1 |
| Criminal Mischief | 14 |
| Criminal Possession Stolen Property | 3 |
| Criminal Trespass | 8 |
| Disorderly Conduct | 2 |
| Drug Offenses | 20 |
| DUI Offenses | 5 |
| Falsely Reporting an Incident | 2 |
| Forgery | 21 |
| Fraud | 2 |
| Graffiti | 8 |
| Harassment | 4 |
| Menacing | 6 |
| Obstruct Government | 3 |
| Petit Larceny | 24 |
| Public Lewdness | 13 |
| Reckless Endangerment | 4 |
| Resisting Arrest | 24 |
| Sex Offenses | 4 |
| Stalking | 1 |
| Theft of Services | 44 |
| Unlawful Surveillance | 1 |
| VTL Offenses | 2 |
| Warrant Arrest | 20 |
| Weapons Offenses | 3 |
| Arrest Totals | 341 |